



# Fleet Operator Recognition Scheme Rules and Procedures

## Version 5.2

July 2019

Summary of main changes to this document between version 5 December 2018 and version 5.1 and 5.2 July 2019

Item	Version 5.1	Version 5.2	Summary of changes
6.2.4	The initial MOCA Bronze expiry date for all the OCs will be set to the latest audit date plus one year	The initial MOCA Bronze expiry date for all the OCs will be set to the HO audit approval date plus one year	Change in the setting of the initial MOCA Bronze expiry date
7.1 Table 1	Change of status or permanent fleet increase of 10% or more - notified to certification body	Change of status or permanent fleet increase of 10% or more – notified to FORS	Notification is now to FORS
Item	Version 5	Version 5.1	Summary of changes
4	FORS Silver and Gold progression	Renewal/progression to higher accreditation levels	Restructuring to accommodate introduction of unified audit and alignment of dates. This has impacted the numbering of other sections
4.3	Downgrade process for Bronze, Silver and Gold	Now section 5	Now a separate section as part of the restructuring. No content change
4.3	Downgrade process for Bronze, Silver and Gold	New Silver/Gold accreditation process	For organisations with single operating centre accreditation (SOCA): <ul style="list-style-type: none"> <li>• Introduction of unified Silver/Gold audit</li> <li>• Introduction of option to align Bronze/Silver/Gold expiry dates</li> </ul>
Annex 1	Person specification - auditor  Auditor competence requirements checklist	Person specification - auditor  Auditor competence requirements checklist	Revised in line with <a href="#">FORS Requirements for certification body manual version 3</a>

If you have printed this document, please check the FORS website ([www.fors-online.org.uk](http://www.fors-online.org.uk)) to ensure that you are using the latest version.

# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	How to use this guide	1
1.2	FORS Community Partnership	1
1.3	Terminology	1
1.4	Transitional provision	1
<b>2</b>	<b>Joining FORS</b>	<b>2</b>
2.1	Eligibility and scope	2
2.2	How to apply	2
2.3	Accreditation levels	2
<b>3</b>	<b>FORS Bronze accreditation</b>	<b>3</b>
3.1	Attaining FORS accreditation	3
3.2	Failure to progress to FORS Bronze accreditation	3
3.3	Audit process	3
3.4	Failure to maintain FORS Bronze accreditation	5
<b>4</b>	<b>Renewal/progression to higher accreditation levels</b>	<b>6</b>
4.1	Silver accreditation process	6
4.2	Gold accreditation process	7
4.3	Unified Silver/Gold accreditation process	8
<b>5</b>	<b>Downgrade process for Bronze, Silver and Gold</b>	<b>10</b>
<b>6</b>	<b>Routes to FORS accreditation</b>	<b>11</b>
6.1	Single operating centre accreditation (SOCA)	11
6.2	Multi-operating centre accreditation (MOCA)	11
6.3	Internal audit fleet accreditation (IAFA)	14
<b>7</b>	<b>Guidance for accredited operators</b>	<b>19</b>
7.1	Changing your details	19
7.2	Use of the FORS logo	20
7.3	Removal of FORS accreditation	20
7.4	Complaints / Audit appeal	20
7.5	Additional general information	20
7.6	FORS Terms and Conditions	20

<b>Annex 1 Internal audit fleet accreditation documents</b>	<b>21</b>
A1 Application for internal audit fleet accreditation	21
A2 Declaration of intent	23
A3 Declaration of auditor competence	25
A4 Quality management audit criteria	28
A5 Person specification - auditor	32
A6 Witnessed audit form	34
<b>Annex 2 Glossary of terms</b>	<b>36</b>

# 1 Introduction

## 1.1 How to use this guide

This document has been produced to explain the rules and procedures involved in attaining and maintaining Fleet Operator Recognition Scheme (FORS) accreditation.

FORS has been developed to suit different organisation types and structures across all industry sectors. There are a number of routes to accreditation available depending on whether you want to achieve FORS across some or all of your operating centres (OCs).

Detailed information is provided on the different FORS accreditation levels, the audit process and the different routes to accreditation.

The FORS Rules and Procedures should be read in conjunction with the following documents:

- FORS Standard
- FORS Terms and Conditions
- FORS Compliance and Enforcement Guidance for Operators
- [FORS membership and audit fees](#)

## 1.2 FORS Community Partnership

The Fleet Operator Recognition Scheme is administered by the FORS Community Partnership (FCP). The FCP comprises:

- AECOM - scheme administrator
- The Chartered Institute of Logistics and Transport (CILT) - Governance
- Fleet Source – certification body

For all enquiries, please contact:

FORS  
c/o AECOM  
Sunley House  
4 Bedford Park Croydon  
CR0 2AP  
[www.fors-online.org.uk](http://www.fors-online.org.uk)  
Email: [enquiries@fors-online.org.uk](mailto:enquiries@fors-online.org.uk)

## 1.3 Terminology

A full glossary of terms can be found at Annex 2.

## 1.4 Transitional provision

A transitional provision is in place for existing MOCAs regarding the audit ratio and audit requirement. This means that the current version 4 ratio will apply throughout 2019 without an audit at the head office. However, any MOCA re-approval audits in 2020 will fall under the updated rules and procedures, including the version 5 ratio and head office requirement.

The provisional transition does not apply to organisations becoming MOCAs from 14 January 2019.

## 2 Joining FORS

FORS accreditation is awarded to fleet operations which comply with the requirements of the FORS Standard. The FORS Standard is based upon legal compliance, safety, efficiency and environmental protection. Operations are audited against the requirements of the FORS Standard by an approved FORS certification body.

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

### 2.1 Eligibility and scope

All vehicles used for servicing and delivery must be registered and will fall under the scope of FORS accreditation.

Organisations can register vehicles not used for servicing and delivery however, these vehicles will be included in the audit and drivers will fall under all FORS requirements.

Vehicles which can be registered are:

- Heavy goods vehicles (HGVs)
- Wheeled plant
- Passenger carrying vehicles (PCVs)
- Vans
- Cars
- Powered two-wheelers (P2Ws)

Organisations can choose which OC(s) to include in their FORS accreditation.

However, all vehicles used for servicing and delivery in the chosen OC(s) must be included in the scope of accreditation.

Organisation applying for FORS must be a legal entity (or part thereof).

The scheme administrator is not obliged to accept your membership application.

### 2.2 How to apply

If you would like to join FORS, you must register by completing the FORS application form. It can be accessed via the [FORS website](#) or a hard copy can be requested via email from: [enquiries@fors-online.org.uk](mailto:enquiries@fors-online.org.uk).

At registration and on each anniversary you will need to pay the relevant annual membership fee, details of which are available on [the FORS membership and audit fees page](#).

Once you have completed and submitted the FORS application form, you will be bound by the FORS Terms and Conditions.

### 2.3 Accreditation levels

There are three levels of FORS accreditation. These are:

- a) Bronze – good operators demonstrating lawfulness and best practice - this is the entry level of accreditation
- b) Silver – quality operators committing to improving safety, environmental impact and efficiency – this is the intermediate level of accreditation
- c) Gold – exceptional operators providing evidence of improvements in safety, environmental impact and efficiency – this is the highest level of accreditation

## 3 FORS Bronze accreditation

### 3.1 Attaining FORS accreditation

The following steps indicate the basic process a fleet operator must follow in order to attain accreditation.

- a) Complete the FORS application form
- b) Request, undertake and pass your Bronze audit within 90 days of registration

It is recommended that organisations self-assess prior to the Bronze audit using the checklist provided in the FORS Audit Toolkit

- If the audit is successful, you will receive your electronic certificate confirming your Bronze status
- If the audit is unsuccessful, you will need to pass a follow-up audit/s within 30 calendar days of notification of failure of the initial audit, to address all major action points. If you have 16 major action points or more, the company will need to undertake another initial Bronze audit as opposed to a follow-up audit. This means that all requirements will be audited again.

Minor action points must be resolved within 90 calendar days of the initial notification of audit. Any unresolved minor action points will escalate to major action points at the Bronze re-approval audit the following year.

### 3.2 Failure to progress to FORS Bronze accreditation

Failure to progress from registered to Bronze within 90 calendar days will result in your organisation being downgraded to dormant, and removed from FORS even if

- an audit is booked
- an audit has been conducted and you are awaiting results
- you have failed an audit and you are in the follow-up process

If you have been downgraded to dormant while waiting for your audit result, and your audit (or follow-up audit) result is a pass, you will automatically be granted Bronze accreditation when your audit is processed. You will receive your electronic certificate confirming your Bronze status.

### 3.3 Audit process

#### 3.3.1 Requesting an audit

Audits must be requested online, via the organisation's dashboard.

Neither FORS nor the certification body can offer consultancy services in relation to your FORS audit, as this would cause a conflict of interest.

The certification body will review the online audit request, send audit date options and, if accepted, set up the audit. An invoice will be issued in line with the FORS Terms and Conditions.

### 3.3.2 Undertaking the audit

The audit team can be a single person or a team of people.

The certification body will send representation of the audit team to your OC at a mutually agreed time and date to undertake the audit. The audit process includes:

- a) The auditor contacting the operator at least 48 hours prior to audit to confirm address, audit start time and company details
- b) An on-site audit to check that your organisation meets all the FORS Bronze requirements as laid out in the most up to date version of the FORS Standard
- c) The auditor(s) writing an audit report
- d) The certification body submitting an electronic copy of the audit report to the scheme administrator with the audit outcome
- e) FORS notifying the organisation of the outcome within 10 working days of the audit

### 3.3.3 Types of audits

There are four types of Bronze audits as detailed below:

- Initial audit
- Re-approval audit
- Follow-up audit
- Enhanced audit

#### a) Initial audit

An initial audit is conducted when:

- You are being accredited with FORS for the first time

or

- Your accreditation previously lapsed or your organisation was downgraded to dormant and you have rejoined the scheme

or

- You had 16 or more major action points at your last Bronze audit

or

- You failed your follow-up audit(s) within the 30 day follow-up period

#### b) Re-approval audit

FORS Bronze accreditation is time-limited and must be renewed on an annual basis for Bronze operators. Renewal is achieved via a re-approval audit to demonstrate that your operation is still compliant.

The audit covers all Bronze requirements as well as any minor action points raised at the previous year's audit. Any unresolved minor action points from the previous audit will turn into major action points which will result in a failed audit.

Re-approval audits must be undertaken at least 45 calendar days - but no more than 75 calendar days - before the expiry of your accreditation.

#### c) Follow-up audit

If you fail your Bronze audit, you will need to request a follow-up audit via your FORS dashboard.

This audit can either be field-based or desk-based depending on the type and number of major action point(s) that need correcting. This will be at the discretion of the certification body. Once rectified, all major action points will turn into minor action points.

Follow-up audit(s) must be passed within 30 calendar days of initial notification of failure. Failure to do so will result in the company having to conduct another initial Bronze audit.

This means that all requirements will be audited again.

If an organisation has 16 major action points or more, it is required to undertake another initial Bronze audit as opposed to a follow-up audit.

#### **d) Enhanced audit**

An enhanced audit will be necessary in the event of a compliance issue being raised against the organisation. For information, check the FORS Compliance and Enforcement Guidance for Operators.

#### **3.4.4 Accreditation decision**

The scheme administrator will email the primary contact within 10 working days with the results of the audit attaching a copy of the audit report, together with your electronic Bronze certificate if the audit result is a pass. The audit report will outline the action plan with any action points that have been found and require attention.

The auditor will not be able to inform you of the result or consult you about any corrective actions.

The audit outcome can be:

- a) Pass - certify the organisation as a FORS accredited operator  
Pass with minor action point(s) – certify the organisation as a FORS accredited operator. However, minor action points must be resolved within 90 calendar days of the initial notification of audit result. Any unresolved minor action points will escalate to major action points at the Bronze re-approval audit the following year
- b) Fail - not certify the operator as a FORS compliant operator, giving reasons for such a decision

### **3.4 Failure to maintain FORS Bronze accreditation**

Failure to maintain your FORS Bronze accreditation will result in your organisation being downgraded to dormant, and removed from FORS.

Your organisation will be downgraded on the date of your Bronze expiry, even if:

- an audit is booked
- an audit has been conducted and you are awaiting results
- you have failed an audit and you are in the follow-up process

When an organisation is downgraded to dormant, it is no longer able to log in to FORS online, use the FORS benefits such as displaying the FORS logo on vehicles, or company stationery, website etc. Continued use of these benefits is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

# 4 Renewal/progression to higher accreditation levels

Progression to Silver and Gold is not mandatory. There are two routes available to organisations:

- Progression to Silver (Section 4.1) and then Gold (Section 4.2) at different times and with separate applications
- Progression to Gold with a single combined Silver/Gold application covering both levels (Section 4.3). This option is not currently available for organisations with multi-operating centre accreditation (MOCA) and internal audit fleet accreditation (IAFA)

You can align your expiry dates, as follows:

- Bronze and Silver
- Bronze, Silver and Gold
- Silver and Gold

## 4.1 Silver accreditation process

### 4.1.1 Application

FORS operators applying for initial FORS Silver accreditation must have at least 45 calendar days left on their Bronze accreditation.

To gain Silver accreditation, FORS operators must provide evidence for every OC in scope of FORS Silver accreditation, demonstrating that they meet the specific requirements for Silver.

Where multiple OCs are in scope of the Silver accreditation, this may be evidenced in one upload.

The Silver audit is done through FORS online via a Silver application form available on the evidencing page.

You will be required to submit evidence to demonstrate that you meet all the Silver requirements (please refer to section 4 of the FORS Standard for details of the Silver requirements).

### 4.1.2 Accreditation decision

You will be informed of the outcome within 15 working days of submission of your Silver application.

If your application is not successful you will be asked to provide further evidence. This is done via a follow-up application which must be submitted within 30 calendar days of initial notification of your result.

If you do not achieve Silver within the 30 calendar day follow-up period, a new full submission is necessary.

### 4.1.3 Certification

The scheme administrator will email the primary contact with the application outcome, attaching a copy of the FORS Silver electronic certificate if successful. The certificate includes all locations in scope of accreditation.

For organisations with single operating centre accreditation (SOCA), once Silver accreditation is achieved, one extra year will be added to the Bronze accreditation, meaning Silver accredited organisations will only need a Bronze re-approval audit every two years for as long as the Silver is valid. A new Bronze certificate will not be issued. However the organisation's Bronze expiry date will be updated on FORS online.

For organisations with multi-operating centre accreditation (MOCA) and internal audit fleet accreditation (IAFA), no extra year will be added to the Bronze accreditation when Silver is achieved.

#### 4.1.4 Re-approval

Silver accreditation must be renewed each year via the evidencing page. SOCA organisations that want to align their Bronze date with their Silver date must select this option on the evidencing page at re-approval. Aligning dates could result in time being lost on one of the accreditations depending on the chosen expiry date.

FORS operators applying for re-approval of FORS Silver accreditation must be:

- FORS Bronze accredited with at least 45 calendar days before its expiry date; and
- FORS Silver accredited with at least 45 calendar days, but not more than 75 before its expiry date

#### 4.1.5 Failure to maintain FORS Silver accreditation

Failure to maintain your FORS Silver accreditation will result in your organisation being downgraded.

When Silver accreditation is lost, the extra year added to your Bronze accreditation will be removed. This means that, depending on your accreditation dates, you will be downgraded to either Bronze or dormant.

Your organisation will be downgraded on the Silver expiry date unless a Silver re-approval application has been approved prior to this date.

When an organisation is downgraded to dormant, it is no longer able to log in to FORS online, or use the FORS benefits such as displaying the FORS logo on vehicles, or company stationery, website etc.

Continued use of these benefits is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

If you have Bronze MOCA plus individual OCs at Silver, all Silver OCs will expire if MOCA expires.

## 4.2 Gold accreditation process

### 4.2.1 Application

FORS operators applying for initial FORS Gold accreditation must be:

- FORS Bronze accredited with at least 45 calendar days before their expiry date; and
- FORS Silver accredited with at least 45 calendar days before their expiry date

To gain Gold accreditation, FORS operators must provide evidence for every OC that is in scope of FORS Gold accreditation, demonstrating that they meet the specific requirements for Gold.

Where multiple OCs are in scope of the Gold accreditation, this may be evidenced in one upload.

The Gold audit is done through FORS online via a Gold application form available on the evidencing page. You will be required to submit evidence to demonstrate that you meet all the Gold requirements (please refer to section 4 of the FORS Standard for details of the Gold requirements).

### 4.2.2 Accreditation decision

You will be informed of the outcome within 15 working days of submission of your Gold application.

If your application is not successful you will be asked to provide further evidence via a follow-up Gold submission within 30 calendar days of notification of your result.

If you do not achieve Gold accreditation within the 30 day follow-up period, a new full submission is necessary.

### 4.2.3 Certification

The scheme administrator will email the primary contact with the application outcome, attaching a copy of the FORS Gold electronic certificate if successful. The certificate includes all locations in scope of accreditation.

### 4.2.4 Re-approval

Gold accreditation must be renewed each year via the evidencing page. SOCA organisations that want to align their Silver/Gold dates with their Bronze date must select this option on the evidencing page at re-approval. Aligning dates could result in time being lost on the accreditations depending on the chosen expiry date.

FORS operators applying for re-approval of FORS Gold accreditation must be:

- FORS Bronze accredited with at least 45 calendar days before its expiry date; and
- FORS Silver accredited with at least 45 calendar days before its expiry date; and
- FORS Gold accredited with at least 45 calendar days, but not more than 75 before its expiry date

### 4.2.5 Failure to maintain FORS Gold accreditation

Failure to maintain your FORS Gold accreditation will result in your organisation being downgraded.

Depending on your Silver and Bronze accreditation dates at the time of the downgrade, you will be downgraded to Silver, Bronze or dormant.

Your organisation will be downgraded on the Gold expiry date unless a Gold re-approval application has been approved prior to this date.

When an organisation is downgraded to dormant, it is no longer able to log in to FORS website, use the FORS benefits such as displaying the FORS logo on vehicles, or company stationery, website etc. Continued use of these benefits is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

If you have Bronze MOCA plus individual OCs at Gold, all Gold OCs will expire if MOCA expires.

## 4.3 Unified Silver/Gold accreditation process

### 4.3.1 Application

FORS organisations with single operating centre accreditation (SOCA) can choose to opt for a combined Silver/Gold application. This means that progression to Gold can be achieved by submitting one combined Silver/Gold application, and you will have one Silver/Gold expiry date. To be eligible for this option, you must have at least 45 calendar days left on your Bronze accreditation at the time of submission.

SOCA organisations can align their Bronze date with their Silver/Gold date benefitting from having a single accreditation expiry date.

Aligning dates could result in time being lost on one of the accreditations depending on the chosen expiry date.

The unified Silver/Gold audit is done through FORS online via a combined application form available on the evidencing page. You will be required to submit evidence to demonstrate that you meet all Silver and Gold requirements.

### 4.3.2 Accreditation decision

You will be informed of the outcome of your application within 15 working days of submission of your Silver/Gold application.

If you meet the requirements of both Silver and Gold, you will become Gold accredited with your chosen expiry date.

If you do not meet all the Silver and Gold requirements, there are a number of possible outcomes:

- If you have not met all the Gold requirements, but have passed all Silver requirements, you will become Silver accredited with your chosen expiry date. To become Gold accredited, you must pass your follow-up audit for the failed Gold requirement(s) within the 30 calendar day follow-up period from initial notification of failure
- If you have not met all or some of the Silver requirements, your application will be rejected and you will be required to pass your follow-up audit for the failed requirement(s) within the 30 calendar day follow-up period from initial notification of failure
- If you pass Gold requirements G2-G9, but fail any of the Silver requirements and therefore G1, your application will be rejected and you will be required to pass your follow-up audit for the failed requirements within the 30 calendar day follow-up period from initial notification of failure

If you do not achieve Silver and/or Gold accreditation within the required 30 calendar day follow-up period, a new full application will be necessary.

#### **4.3.3 Certification**

The scheme administrator will email the primary contact with the application outcome, attaching a copy of the FORS Gold certificate if successful.

If only Silver is achieved, the Silver certificate will be sent. If Gold is then achieved within the 30 calendar day follow-up period, a Gold certificate will be sent with the chosen unified expiry date.

When the Silver level of the unified Silver/Gold accreditation is achieved, one extra year will be added to the Bronze accreditation expiry date, meaning Silver or Silver/Gold accredited organisations will only need a Bronze re-approval audit every two years as long as the Silver is valid. A new Bronze certificate will not be issued. However the organisation's Bronze expiry date will be updated on FORS online.

#### **4.3.4 Re-approval**

Your unified Silver/Gold accreditation must be renewed each year via the evidencing page. If you want to align your Silver/Gold date with your Bronze date, you must select this option on the evidencing page at re-approval. Aligning dates could result in time being lost on your accreditations depending on the chosen expiry date.

At the time of submitting re-approval application, you must have at least 45 calendar days left on all of your accreditation.

#### **4.3.5 Failure to maintain unified Silver/Gold accreditation**

Failure to maintain your FORS accreditation will result in your organisation being downgraded.

Depending on your Bronze expiry date, you will be downgraded to Bronze or dormant.

Your organisation will be downgraded on the accreditation expiry date unless a combined Silver/Gold re-approval audit has been passed prior to this date.

When an organisation is downgraded to dormant, it is no longer able to log in to FORS online, use the FORS benefits such as displaying the FORS logo on vehicles, or company stationery, website etc. Continued use of these benefits is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

## 5 Downgrade process for Bronze, Silver and Gold

Once your Bronze/Silver/Gold expiry date/s has/have been exceeded you are no longer accredited to that level, so the accreditation status will be adjusted appropriately through the downgrade process.

Downgrades will occur under the following circumstances:

- a) The current accreditation has expired – even if an application has been submitted and you are waiting for the result
- b) Breaching the FORS Terms and Conditions
- c) Becoming financially insolvent or entering into administration

# 6 Routes to FORS accreditation

## 6.1 Single operating centre accreditation (SOCA)

SOCA can be attained by successfully passing a Bronze audit at the OC included in scope of FORS accreditation.

Your accreditation is valid only for the OC audited.

## 6.2 Multi-operating centre accreditation (MOCA)

MOCA can be attained by successfully passing a Bronze audit at the relevant OCs included in scope of FORS accreditation.

Organisations can choose which OC(s) to include in their MOCA.

Table 1 – Routes to attaining FORS accreditation and audit requirements

Accreditation type	Applicability	Annual Bronze audit requirement
Single operating centre accreditation ( <b>SOCA</b> )	Operators with one OC only; or Operators with more than one OC but with different policies and procedures throughout or Operators wishing to accredit only one of their OCs	One audit at the OC in scope of accreditation
Multi-operating centre accreditation ( <b>MOCA</b> )	Operators with two or more OCs in scope of FORS accreditation, and with the same policies and procedures throughout	<ul style="list-style-type: none"> <li>• 2-4 OCs: two audits</li> <li>• 5-15 OCs: three audits</li> <li>• 16+ OCs: 20 per cent audited</li> </ul> <p>The Head Office (HO) must be audited annually and first as part of the audit process regardless of whether or not it operates vehicles</p>
Internal audit fleet accreditation ( <b>IAFA</b> )	Operators with 16 or more OCs in scope of FORS accreditation, and with the same policies and procedures as well as an established internal transport management quality audit process	<ul style="list-style-type: none"> <li>• A quality system's check</li> <li>• The required amount of the OCs to be self-audited by the organisation annually (100 per cent within five years)</li> <li>• 100 per cent of these audit reports are quality checked annually by the certification body</li> <li>• 100 per cent of IAFA auditors undergo an annual witnessed audit by the certification body</li> </ul>

The Head Office (HO) will always be audited first and must be audited every year, regardless of whether any vehicles are operated from this location. Further audits must take place at different OCs each year to ensure that 100 per cent of the OCs in scope of FORS accreditation are audited within the shortest possible time frame.

### 6.2.1 Eligibility

Operators wishing to apply for MOCA must take note of the following:

- a) Organisations are only eligible for MOCA if a senior manager and director related to the transport operations confirms in writing that the same transport policies and procedures are in place and applicable across the whole scope of their accreditation

Organisations that are within the same group and operate to the same policies and procedures can be included in MOCA. FORS must be notified of the organisational structure for approval and this also must be reflected in the company name on FORS online.

Confirmation that the organisations operate the same policies and procedures must be received in writing

It is important to ensure that organisations reflected on the Operator Licence (if applicable) and within the required scope of accreditation are declared and represented on FORS online

- b) If your organisation is SOCA and you wish to become MOCA, then you will need to undergo the number of audits in line with the breakdown detailed in Table 1

### 6.2.2 Application

The scheme administrator will check that the organisation operates to the same policies and procedures throughout before processing the application.

FORS reserves the right to reject MOCA applications and will provide reason(s) for such decision at the time.

The HO will be given a sub ID, even if there are no vehicles being operated from that site and the first audit every year must be conducted at the HO.

### 6.2.3 Audit

The time frame for achieving MOCA will vary depending on the size of the organisation.

The HO audit will be an initial Bronze audit covering all mandatory FORS Bronze requirements. In addition, the audit will check the following:

- The system for cascading the transport policies and procedures to all the OCs
- The scope of accreditation for the vehicles and OCs
- At re-approval audits - all minor action points from all audit reports from the previous year across the organisation have been addressed and implemented. Any unresolved minor action points will turn into major action points at the HO Bronze re-approval audit

If the audit on the HO is successful, audits at the remaining OCs can take place.

If the audit on the HO is not successful, a follow-up audit(s) will be required to be passed within 30 calendar days of initial notification of failure.

Failure to pass a follow-up audit at the HO within the required 30 calendar day time frame will result in the HO having to undertake another initial Bronze audit.

## 6.2.4 Accreditation

Once all audits have been undertaken, MOCA will be granted depending on the audit outcomes:

- All OCs pass – MOCA granted
- Some OCs pass – FORS operator can adjust scope: MOCA can be adjusted to extract the failed OCs from the scope of FORS accreditation. MOCA will then be granted on the OCs that have successfully passed the Bronze audits

If an organisation with two OCs fails the audit at one of the OCs, it can gain SOCA at the OC that has successfully passed the audit, unless the successful audit is at HO with no vehicles.

- Some OCs pass - FORS operator wishes to maintain the original scope: Follow-up audit(s) at the failed OCs must be undertaken and passed within 30 calendar days of initial notification of failure. If the 30 days follow-up period is exceeded, an initial audit is required. MOCA will be granted once all audits have been passed
- All OCs fail - follow-up audits must be undertaken and passed within 30 calendar days of initial notification of failure in order to continue with the audit process. MOCA will be granted once all audits have been passed

Certificates will be sent for each individual OC as each successful audit report is processed.

The initial MOCA Bronze expiry date for all the OCs will be set to the HO audit approval date plus one year.

Your MOCA may be at risk for the following reasons:

- if one OC within the scope of accreditation breaches the FORS Terms and Conditions. FORS retains

the right to remove MOCA if deemed necessary due to the actions of any of the OCs

- if you do not undertake and pass the required number of audits prior to MOCA expiry

## 6.2.5 Follow-up audits

If the follow-up audit(s) is(are) not passed within the 30 calendar day follow-up period, the OC will have to complete an initial audit to continue with the process.

If an OC has 16 major action points or more, it is required to undertake another initial Bronze audit as opposed to a follow-up audit. This means that all requirements will be audited again. Once rectified, all major action points will turn into minor action points.

## 6.2.6 Re-approval audits

The Bronze MOCA re-approval audit must take place at the HO first. Once this audit is passed, the audit process for the OCs not previously audited (where possible) can continue.

All OC re-approval audits must be passed prior to the MOCA expiry date.

MOCA organisations can undertake their Bronze re-approval audit at the HO up to six months prior to expiry date to allow sufficient time for all audits to be passed.

The re-approval MOCA Bronze expiry date will be set to the MOCA expiry date plus one year (not from the last OC audit pass date).

## 6.2.7 Adding/reinstating OCs to/from the scope of FORS accreditation

Organisations can add/reinstate OCs to the scope of their FORS Bronze accreditation at any time.

Depending on the new total number of OCs, you are required to do the following:

- If your annual Bronze audit requirement (Table 1) doesn't change as a result of adding the new OC(s), you must confirm immediately in writing that the same policies and procedures are in place and applicable across the new scope of your accreditation. No additional audit(s) will be required until your next MOCA re-approval
- If your annual Bronze audit requirement changes as a result of adding the new OC(s), you will need to undertake a number of audits as stated in Table 1. If the OC(s) is added up to six months after the MOCA date (between months 1-6), this additional audit(s) will not count towards the number of audits required at the following re-approval audit. If the OC(s) is added after six months of the MOCA date (between months 7-12), the Bronze audit(s) conducted at that OC(s) will count towards the number of audits required at the forthcoming re-approval audit

### **6.2.8 Adding/reinstating OCs to the scope of FORS Silver/Gold accreditation**

Bronze at the new OCs will be achieved as laid out in section 5.2.7. Higher level of accreditations will not be achieved automatically under the current MOCA for any additional OCs. Silver/Gold applications must be submitted for all additional OCs.

### **6.2.9 Progression**

MOCA organisation can apply to progress for Silver/Gold accreditation at any time. However, all accreditation expiry dates must comply with the requirements laid out in sections 4.1.4 and 4.2.4.

Organisations must complete the required number of Bronze audits every year as laid out in Table 1 regardless of the overall MOCA level of accreditation.

A Bronze MOCA organisation can submit a Silver or Gold application for individual OCs. However, no extra year will be granted to these OCs.

Organisations can submit their MOCA Silver or Gold application for all OCs in scope of accreditation in one upload, as detailed in sections 4.1.4 and 4.2.4.

If Bronze MOCA expires, all higher levels of accreditations will also expire regardless of their expiry dates.

## **6.3 Internal audit fleet accreditation (IAFA)**

### **6.3.1 Eligibility**

Organisations with 16 or more OCs that have the same policies and procedures and its own internal transport management quality audit process can apply to the scheme administrator for FORS IAFA. This will entitle the organisation to audit its OCs against the FORS Standard using its existing in-house auditing team.

### **6.3.2 Application**

There are four steps to gaining IAFA:

1. Complete an application to undertake IAFA by filling in the documentation in Annex 1:
  - Application form (Annex 1 - A1)
  - Declaration of intent (Annex 1 – A2)
  - Declaration of auditor competence (Annex 1 –A3).

Additional information is available in Annex 1- A5. The completed documentation needs to be sent to the scheme administrator.

2. You must request a system's check via FORS online, having at least 90 calendar days left on your Bronze.
3. The certification body will carry out a system's check (as detailed in Annex 1 – A4) on a mutually agreed date.

### 6.3.3 Accreditation decision

If you are already accredited, your Bronze expiry date will be superseded. IAFA is valid for 12 months. If you progress to Silver or Gold, IAFA must still be renewed each year.

If you fail your system's check, you will be given sufficient time to address the findings to pass a follow-up system's check.

### 6.3.4 Re-approval procedure and ongoing requirements

On an annual basis, or following a review of any changes to the company's auditors or quality management procedures, a re-approval system's check must be undertaken.

In addition to the annual system's check, the following must take place annually:

- 20 per cent of the OCs must be self-audited by the IAFA company
- 100 per cent of auditors must undergo a witnessed audit by the certification body
- 100 per cent of the audit reports will be quality checked by the certification body

Your IAFA must be renewed every year regardless of your accreditation level.

### 6.3.5 IAFA requirements

#### a) General requirements

Organisations with 16 or more OCs that have the same policies and procedures and its own internal transport management quality audit process can apply to the scheme administrator for FORS IAFA. This will entitle the organisation to audit its OCs against the FORS Standard using its existing in-house auditing team.

#### b) Organisational requirements

- The FORS audit form provided by the certification body must be used when conducting IAFA audits

- Organisations must have a written management system which controls its activities, and shows adequate control of documentation
- Organisations must demonstrate an agreed audit schedule and evidence of corrective action(s) where non-compliance is identified

#### c) Auditor requirements

Organisations must do the following:

- Hold and document auditor competencies and ensure that existing and new auditors have the competence and skills identified in the auditor competency specification in Annex 1
- Ensure that auditors' skills and knowledge are updated on a regular basis in line with:
  - the FORS Standard
  - legal compliance
  - industry standard best practice in conducting audits
- React upon receipt of any recommendations from the certification body from quality assurance and witnessed audits
- Keep up-to-date personnel records for all staff involved in auditing activities and make it available to the scheme administrator or the certification body whenever required
- Identify a senior manager responsible for QA standards at all the sites and for all vehicles within scope. This person would be expected to sign the Declaration of Intent
- Identify how many auditors would be engaged with auditing. This is necessary to establish whether there are sufficient resources to complete the number of audits deemed acceptable

- Identify how auditors are seen to be impartial from the rest of the business if internal auditors are used

#### **d) Management requirements**

Organisations must do the following:

- Hold an up to date written organogram indicating structure, duties, responsibilities and authorities of all types of role involved in their auditing activities. This must include at least a separate quality manager and team of auditors. Senior management (those with overall responsibility for the auditing activities) personnel must be named
- Hold and document management reviews of their audit activity (which must include complaints and appeals) and undertake any necessary rectifications to their systems of work following such a review
- Confirm that audit reports are saved in a secure manner and retained for six years
- Make a commitment to submit all audit reports, including follow-up audit reports to the certification body within five working days of the audit
- Confirm that a central audit database exists which lists all the OCs audited; including dates, outcomes and issues raised

#### **e) Operational requirements**

Organisations must do the following:

- Hold and document reviews of the scope of their internal audit and ensure that it is equivalent to the requirements of the FORS Standard
- Base audit outcomes upon sufficient objective evidence of conformity to the FORS Standard and no other factors

#### **f) Audit requirement**

Organisations must do the following in preparation for the system's check:

- Identify the applied standard(s) when drawing up their quality system, eg ISO 9001, UKAS Quality Management or in-house
- Make available any quality system audit reports
- Confirm that the audit program is covered by a set of documented processes or procedures and that there is evidence of a live and working system of quality and audit processes already in place
- Confirm the proposed audit frequency and identify evidence of an audit timetable. Audits must be carried out at a minimum of 20 per cent of current OCs within the scope of accreditation on an annual basis. Evidence of completed audits to the schedule and evidence of forward planning for future audits has to be provided by the company
- Identify evidence of corrective action, planning and execution. To identify evidence of where remedial action has been taken to rectify issues found during audits

#### **6.3.6 System's check process**

The following criteria will be evaluated by a senior FORS auditor at the system's check to validate suitability.

#### **a) Management review**

- Identify how audit findings are reported to senior management and business planners and confirm evidence that senior managers are aware of quality issues, eg minutes from board meetings

- Identify how often the team meets to discuss the audits findings. Identify the inputs to these meetings. This should be agenda items such as objectives, results of internal and/or external audits, complaints etc
- Evidencing outputs and actions to demonstrate improvements of the effectiveness of the management system, training requirements and resources

#### **i. Witnessed Bronze audit**

On successful completion of the initial system's check, the certification body will request dates for the organisation's forthcoming Bronze audits and will carry out one witnessed audit with each of the auditors annually.

#### **ii. Record keeping**

The following records must be retained for a period of six years:

- Audit reports
- Action plans
- Witnessed audit reports
- Documentation identifying remedial actions
- Evidence proving that remedial actions have been implemented

#### **iii. Operating principles**

Organisations must operate in a manner which inspires confidence by operating to the following principles in all of its actions:

- Impartiality
- Competence
- Responsibility
- Openness
- Confidentiality
- Responsiveness to complaints

Organisations must not hold any information regarding their supply chain that would be in breach of the General Data Protection Regulation (EU) 2016/679.

#### **6.3.7 Progression**

IAFA organisation can apply to progress for Silver/Gold accreditation at any time. However, all accreditation expiry dates must comply with the requirements laid out in sections 4.1.4 and 4.2.4.

Organisations must complete the required number of Bronze audits every year as laid out in Table 3 regardless of the overall IAFA level of accreditation.

A Bronze IAFA organisation can submit a Silver or Gold application for individual OCs however, no extra year will be granted to these OCs.

Organisations can submit their IAFA Silver or Gold application for all OCs in scope of accreditation in one upload, as detailed in sections 4.1.4 and 4.2.4.

If IAFA expires, all higher levels of accreditations will also expire regardless of their expiry dates.

#### **6.3.8 Adding/removing OCs to/from the scope of FORS accreditation**

Organisations can add or remove OCs at any time however, FORS must be notified immediately.

#### **6.3.9 Discontinuation of IAFA status**

##### **a) Voluntary**

Organisations may stop undertaking internal audits at any time. The scheme administrator must be notified in writing 30 days prior to ceasing activities. The scheme administrator will decide the FORS status of the organisation.

## **b) Involuntary**

The scheme administrator may, in certain circumstances, withdraw FORS IAFA status. In such cases the following procedures will be undertaken in the following order:

- The scheme administrator will notify the organisation in writing with the reasons for concerns
- Breach of FORS Terms and Conditions
- The organisation must undertake and prove corrective action(s)
- If the concerns cannot be rectified to the satisfaction of the scheme administrator, the right to deliver internal audits will be suspended

This action may be due to factors including, but not limited to the following:

- A serious complaint that cannot be resolved
- A failure to comply with the requirements of this or any associated documents
- A change in legal structure or ownership that might introduce a conflict of interest not capable of being satisfactorily managed
- Any case of gross misconduct being proven against the company
- Being inactive for a period of 12 months
- Failing to maintain compliance with the criteria for your level of accreditation
- Committing any act or omission which may result in any harm or damage to the reputation or the operation of FORS

## **Corrective action**

Corrective action(s) may be considered as actions which are undertaken to correct any breakdown in the operation of the organisation's audit process. Corrective actions must be undertaken within 30 calendar days (or any longer agreed timescale).

Action arising from failure to undertake the required corrective action will result in the organisation's accreditation being reviewed by the scheme administrator until such time as corrective action has been implemented, reviewed and approved.

## **Involuntary discontinuation**

Organisations which fail to undertake corrective action to the satisfaction of the scheme administrator will have their IAFA status withdrawn, upon which the company must either have to revert back to MOCA or SOCA status or alternatively cease referencing themselves as being FORS accredited.

Organisations will undertake no activities or actions which could lead any employees or third parties to incorrectly assume they hold FORS IAFA accreditation.

Please be aware that any breaches in compliance at one OC may put your entire accreditation at risk.

# 7 Guidance for accredited operators

## 7.1 Changing your details

You are required to declare any changes to your details, in particular the following:

- a) Company name
- b) Scope or scale of operation
- c) Address change of any OC in scope of accreditation
- d) Company registration number
- e) Directors
- f) Ownership
- g) Contact details

It is essential that you disclose any changes that might affect the validity of the FORS accreditation to the scheme administrator. Changes such as a like-for-like replacement of vehicles do not require notification.

Changes must be notified via email to the FORS Helpline.

Table 2 lists the type of changes that must be notified to FORS and any relevant consequences/actions. You must contact the scheme administrator for instances which may affect your accreditation.

Failure to declare changes as listed below may result in your accreditation being suspended or terminated.

Table 2 – Change of details consequences (not exhaustive)

Type of change	Timeframe for notification	Consequence
Additional OC	Prior to acquisition of new OC	Audit of new location in accordance with section 5.1.2.b and 5.2.7. The new audit must be undertaken within 30 calendar days of notification
Relocation of OC	Prior to relocation	Possible audit of new location. The new audit must be undertaken within 30 calendar days of relocation to new OC
Fundamental change to type of operation (including vehicle type)	Immediately	Possible new audit within 30 calendar days of notification
Changes of O Licence status	Immediately	Actions required in accordance with the FORS Compliance and Enforcement Guidance
Change in key personnel within the operation	Immediately	Actions required in accordance with the FORS Compliance and Enforcement Guidance
Change in status of the operation (for example from mergers)	Immediately	Possible new audit within 30 calendar days of notification, depending upon likely impact of change as determined by FORS
Permanent increase in vehicle fleet of 10 per cent or more	Immediately	Possible new audit within 30 calendar days of notification, depending upon likely impact of increase as determined by FORS
Dissolution of certified company	Immediately	Certification withdrawn
Change of company name	Immediately	Re-issue of certification (with reference to former name if within that audit period)

## 7.2 Use of the FORS logo

Following FORS Bronze accreditation you are encouraged to use the FORS logo in accordance with the FORS Logo Usage Standard, available on the FORS website.

The FORS logo must only be used on vehicles declared in scope of FORS accreditation, and for the correct accreditation level.

You can use the FORS logo for marketing purposes on your stationery, website, etc.

If your FORS accreditation is no longer valid, the FORS logo must be removed from all vehicles, or company stationery, website etc. immediately. Continued use is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

Any misuse or misrepresentation of the FORS logo reported by any party to the scheme administrator will be investigated. Appropriate action will be taken which may include a request to remedy the misuse or misrepresentation within a defined timescale and may lead to the removal of FORS accreditation.

## 7.3 Removal of FORS accreditation

The scheme administrator has the option of suspending or terminating your FORS accreditation following any breach of protocol cited within this document or associated publications such as the FORS Terms and Conditions, or the FORS Compliance and Enforcement Guidance for Operators.

## 7.4 Complaints / Audit appeal

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. More information can be found in the FORS Compliance and Enforcement Guidance for Operators.

Should you consider appealing your audit result, you must write to the scheme administrator within five working days of receipt of the audit result, using the words 'AUDIT APPEAL' in the letter or email title. More information can be found in the FORS Compliance and Enforcement Guidance for Operators.

## 7.5 Additional general information

All information obtained about your organisation will be held in confidence and in compliance with the FORS Terms and Conditions, unless permission is granted to release this information or it is required by the law.

## 7.6 FORS Terms and Conditions

Full details of the FORS Terms and Conditions can be found on the [FORS website](#).

# Annex 1 Internal audit fleet accreditation documents

## A1 Application for internal audit fleet accreditation (IAFA)

### Company details

FORS ID	
Company name	
Head office / Main location name	
Street	
Town	
Postcode	
Contact name	
Position	
Contact phone	
Email	
Do you use sub-contractors / owner drivers	
If yes; Does your company policy state that sub contractors / owner drivers must adhere to FORS Standard?	
Number of employees	
Quality management team structure	
List of proposed auditors	
List of all operating centres	
List of operating centres to be audited	
Describe the type and scope of fleet operations	

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									
HGV	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									
	PCV									
	Car									
P2W										
Other	List...									
Trailer										
Total										

1 Fossil fuel/non fossil fuel based

2 Hydrogen

## A2 Declaration of intent

### Declaration of Intent

#### Fleet Operator Recognition Scheme and (company)

#### (Date)

This Declaration of Intent sets out a framework of understanding and cooperation between the Fleet Operator Recognition Scheme and (Company).

#### Summary

The Fleet Operator Recognition Scheme (FORS) is an accreditation scheme that aims to improve commercial fleet operations throughout the UK and beyond. FORS accredited organisations have access to a range of exclusive benefits and discounts that offer real competitive advantage. Accreditation could therefore help (Company) to tender for business, save money, improve safety and reduce environmental impact.

FORS and (company) are both independent and self-regulating, and are committed to promoting and distinguishing safety, environmental awareness and efficiency in commercial transport operations. The purpose of this Declaration of Intent is to recognise the shared objectives of FORS and (company) to work together to achieve this.

#### The objective of this Declaration of Intent is to:

1. Recognise (company) audit process for its own fleet
2. Demonstrate that the (company) senior management is committed to the outcomes of FORS and will deliver such objectives
3. Confirm that the (company) senior management will ensure that the organisations employees are committed to delivering FORS outcomes at all times
4. Ensure that the (company) will maintain FORS standards at all times, not just for the period when the audit(s) is undertaken
5. Confirm that the (company) will undertake no action, by operation, written word or verbal utterance which may bring reputational harm to FORS or the Scheme Administrator

#### FORS will:

1. Award Bronze status to (company) (as per FORS Standard)
2. Provide the opportunity for (company) employees to access the FORS benefits
3. Provide opportunity for the (company) to reach the higher quality standards through improved performance measures and move through the Silver and Gold FORS accreditation levels

**(Company) will:**

1. Register to FORS
2. Become FORS Bronze and position the scheme to its stakeholders in the best possible way
3. Submit all audit report to the certification body within five working days of the audit. Any other reports have to be submitted within 48 hours of request
4. The Scheme Administrator may ask for an opinion on the development of FORS to ensure its best practice content is suitable for fleet operators
5. The Scheme Administrator may ask for an opinion on the future of the FORS governance
6. Work with FORS to review and align the (company) operators code of minimum standard to the FORS Standard

Signature:

.....

(company)

**Name:**

**Position:**

**Date:**

Signature:

.....

Fleet Operator Recognition Scheme

**Name:**

**Position:**

**Date:**

### A3 Declaration of auditor competence

Each auditor is required to receive scheme administrator approval prior to undertaking in-house FORS audits. Completed declarations of competency (as below) shall be forwarded to the scheme administrator for review and approval for each auditor.

Declaration

Certification body	
Types of operation to be audited by the auditor	
I hereby declare that the evidence given is a correct representation of my required auditor competencies (auditor signature)	
Auditor name	
I hereby declare that the auditor meets all relevant competency requirements (company representative signature)	
Company representative name	
Date	

Continued overleaf...

Evidence of these mandatory competency requirements shall be retained by the certification body and may be reviewed by the scheme administrator at any time

### Auditor competence requirements checklist

Auditor name	
Requirement	Evidence
<b>Qualifications / Education/ Training:</b>	
Hold an industry recognised Transport Manager Certificate of Professional Competence qualification for a minimum period of two years	<input type="checkbox"/>
Complete an industry recognised Transport Manager Certificate of Professional Competence qualification refresher training at least every five years	<input type="checkbox"/>
Complete recognised FORS auditor training	<input type="checkbox"/>
Complete recognised FORS Auditor refresher training every two years (in line with the FORS Standard revision)	<input type="checkbox"/>
Undertake basic FORS refresher training if no audit has been completed within the previous six month period	<input type="checkbox"/>
Working towards being a FORS Practitioner (Qualification to be achieved within two years of commencing FORS auditing)	<input type="checkbox"/>
Quality Systems management and auditing	<input type="checkbox"/>
<b>Personal attributes</b>	
Be independent, objective and self-motivated	<input type="checkbox"/>
Ability to work alone or as part of a team	<input type="checkbox"/>
Ability to make decisions and use own initiative	<input type="checkbox"/>
Excellent interpersonal skills and be able to communicate with a diverse range of individuals	<input type="checkbox"/>
Be of good repute as defined by the Office of the Traffic Commissioner	<input type="checkbox"/>
Maintains a professional image at all times	<input type="checkbox"/>

<b>Knowledge</b>	
Fleet Operator Recognition Scheme requirements	<input type="checkbox"/>
Occupational road risk legislation and standards	<input type="checkbox"/>
The different road transport industry sectors	<input type="checkbox"/>
Relevant Health & Safety legislation	<input type="checkbox"/>
Operator licensing requirements	<input type="checkbox"/>
<b>Skills and Competencies:</b>	
Excellent interpersonal skills with the ability to work and communicate with a diverse range of professional at all	<input type="checkbox"/>
Ability to process and interpret complex information	<input type="checkbox"/>
Excellent oral and written communication skills including the ability to produce reports	<input type="checkbox"/>
Strong prioritisation skills and ability to manage own workload make decisions and use own initiative	<input type="checkbox"/>
Ability to identify weaknesses in systems and processes	<input type="checkbox"/>
Ability to maintain client confidentiality	<input type="checkbox"/>
Maintain auditor competency by completing at least one audit in a six month period	<input type="checkbox"/>
<b>Sector specific experience:</b>	
Practical experience of working in a transport environment for a minimum period of two years	<input type="checkbox"/>
Experience of assessing road transport operations	<input type="checkbox"/>
Ability to provide direction and guidance to operators	<input type="checkbox"/>
Understanding of what represents industry best practice	<input type="checkbox"/>
<b>General experience</b>	
Experience of quality management systems and processes	<input type="checkbox"/>
Ability to verify the accuracy and relevance of data	<input type="checkbox"/>
Ability to accurately record and report audit activities	<input type="checkbox"/>

## Audit system competency

<ul style="list-style-type: none"> <li>• How many qualified auditors are employed?</li> </ul>	
<ul style="list-style-type: none"> <li>• How many operations require auditing?</li> </ul>	
<ul style="list-style-type: none"> <li>• What is the targeted audit frequency?</li> </ul>	
<ul style="list-style-type: none"> <li>• Do you have an annual programme of audits?</li> </ul>	
<ul style="list-style-type: none"> <li>• Is there a credible audit process and pro-forma in place?</li> </ul>	
<ul style="list-style-type: none"> <li>• Post audit process. Provide details of a process for recording and auctioning requirements following an audit</li> </ul>	
<ul style="list-style-type: none"> <li>• Is there evidence of ongoing auditor training, audit the auditor or refresher training in place?</li> </ul>	
<p>FORS auditor comments</p>	

## A4 Quality management audit criteria

The following criteria should be evaluated and completed by a senior FORS auditor to validate suitability for auditing. This validation should only take place following a successful Bronze audit for at least one of the applicant's sites.

1. Scope of Internal Fleet Accreditation applications	
Which operating centres do you wish to be included within scope? This is intended to identify if the whole group (UK only) is included or certain subsections based on sectors, regions, client cluster or other sub divisions within the company	Comments:
Which parts of your business (if any) would sit outside of this scope? This is intended to identify specific exclusions	Comments:

2. Audit team and resourcing		
Does the company have a senior manager responsible for QA standards at all the sites and for all vehicles in the IAFA scope? Looking for a director, head of department or senior manager who has responsibility for QA across the whole of the organisation identified as within scope. This person would be expected to sign the Declaration of Intent	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
How many auditors would be engaged within FORS auditing? Is this sufficient to complete the number and quality of audits we are deeming acceptable to approve as a FORS IAFA company	Comments:	
Do the auditors meet the FORS auditor specification (Annex 5)? Annex 5 is the auditor specification currently used to define the suitability of a FORS auditor. Qualifications are absolute requirements	Yes <input type="checkbox"/>  No <input type="checkbox"/>	
If the company uses internal auditors how are they seen to be impartial from the rest of the business? To ensure operating centres / sectors have impartial audits and are not self-policing	Comments:	

3. Audit requirement		
What standard have the company applied in drawing up their quality system? Examples would be ISO9001, UKAS Quality Management or in-house	Comments:	
Is the audit programme covered by a set of documented processes or procedures? Is there evidence of a live and working system of quality and audit processes already in place?	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
Is the quality system subject to an external audit? Who undertakes and are reports available?	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
Evidence of corrective action plan and execution To identify evidence of where remedial action has been taken to rectify issues found during audits	Comments:	
Does the vehicle audit meet (as a minimum) all the requirements of the FORS Bronze audit? To ensure the audit meets the FORS Bronze Standard	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
What is the proposed audit frequency? Identify evidence of an audit timetable – ideally evidence of completed audits to a schedule AND evidence of forward planning for future audits	Comments:	

4. Internal audit management system		
Are the audit reports saved centrally? Evidence that the reports are saved in a secure manner and retained for six years	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
Is there an audit database? Seeking a central database which lists all those audited, including dates, outcomes and issues raised	Yes <input type="checkbox"/>  No <input type="checkbox"/>	Comments:
How are audits planned? Evidence of a system which monitors expiry dates and ensures audits are completed annually	Comments:	

5. Management review	
How are audit findings reported to senior management and business planners? Evidence that senior managers are aware of quality issues. eg minutes from board meetings	Comments:
How often does the team meet? Seeking evidence that safety and environment are issues of concern for the operator's senior management	Comments:
What are the inputs to the meetings? Objectives, results of audits internal and external, complaints	
Evidencing outputs and actions. Improvements of the effectiveness of the management system, training requirements, resources	Comments:

6. Overall result	
Pass <input type="checkbox"/>	Comments:
Fail <input type="checkbox"/>	

Name of Senior Auditor:

Date:

Signature:

.....

Senior Auditor

## A5 Person specification - auditor

Core competencies	
Personal attributes	<ul style="list-style-type: none"> <li>• Be independent, objective and self-motivated</li> <li>• Ability to work alone or as part of a team</li> <li>• Ability to make decisions and use own initiative</li> <li>• Excellent interpersonal skills, able to communicate with a diverse range of individuals</li> <li>• Be of good repute as defined by the Office of the Traffic Commissioner</li> <li>• Maintains a professional image at all times</li> </ul>
Knowledge	<ul style="list-style-type: none"> <li>• Completed recognised auditor training</li> <li>• Hold a Certificate of Professional Competence (National/ International) or industry recognised equivalent for a minimum of two years prior to becoming a FORS auditor</li> <li>• Membership of a relevant professional body</li> <li>• Must have a full understanding of FORS, its processes and standards and how they apply to transport operations</li> <li>• Detailed and up to date working knowledge of current and proposed transport laws, regulations</li> </ul>
Skills	<ul style="list-style-type: none"> <li>• Ability to understand and apply audit principles, procedures and techniques</li> <li>• Excellent verbal communication skills</li> <li>• Excellent understanding of the English language</li> <li>• Ability to write a FORS audit report clearly and accurately</li> <li>• Ability to process and interpret complex information</li> <li>• Ability to prioritise and focus on matters of significance</li> </ul>
Sector specific experience	<ul style="list-style-type: none"> <li>• Minimum of two years' experience working in a transport environment</li> <li>• Experience of assessing road transport operations</li> <li>• Ability to provide direction and guidance to operators</li> <li>• Understanding of what represents industry best practice</li> </ul>
General experience	<ul style="list-style-type: none"> <li>• Experience of quality management systems and processes</li> <li>• Ability to verify the accuracy and relevance of data collected</li> </ul>

Roles and responsibilities	
<b>Conduct</b>	<ul style="list-style-type: none"> <li>• Conduct audits against the FORS Standard</li> </ul>
<b>Quality</b>	<ul style="list-style-type: none"> <li>• Be fully prepared prior to the audit, specifically date, time and venue</li> <li>• Prior to the audit review any previous audits reports and be familiar with the contents</li> <li>• Write up and quality check the audit</li> </ul>
<b>Communications</b>	<ul style="list-style-type: none"> <li>• Communicate considerately and effectively throughout the audit process</li> <li>• Offer guidance to the operator throughout the audit process</li> <li>• Ask open ended questions, observe what is happening, record evidence both positive and negative, check availability of the procedures and conformance of them</li> <li>• Provide the company with information regarding compliance issues and applicable regulation changes</li> </ul>
<b>Training</b>	<ul style="list-style-type: none"> <li>• Attend competence and FORS awareness training as directed</li> <li>• Highlight to the Certification Body/s any individual training and development needs</li> </ul>

## A6 Witnessed audit form

### Basic details

Auditors name	
Date of witnessed audit	
Date of previous witnessed audit	
Auditors certification body	
Audited fleet company name	
Senior auditor name	

### Audit

Did the auditor arrive on time?	
Was the auditor's attitude and appearance professional?	
Did the auditor fully understand and clearly explain the FORS Standard?	
Does the auditor show in-depth industry knowledge?	
Does the auditor have the knowledge to answer questions clearly and concisely?	
Does the auditor business develop for their company?	
Start time	
Finish time	
Duration	

Auditor notes/overview (audit)
--------------------------------

Recommendations for the auditor          
---

I confirm that I witnessed this auditor undertaking an audit to the FORS Standard in an impartial manner

Senior auditor's name	
Senior auditor's signature	
Date	

Post audit

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

Auditor notes/overview (post audit)          
---

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

# Annex 2

## Glossary of terms

This glossary explains the terminology used throughout the FORS Rules and Procedures. It is important to note that these definitions are specific to FORS and may not match the definitions or interpretations used by other organisations.

Term	FORS meaning (words in <i>italics</i> are also terms defined in this glossary)
Accreditation	FORS <i>operators</i> having met the FORS <i>Bronze, Silver or Gold requirements</i>
Accreditation scope	Vehicles that are used for <i>servicing and delivery</i> for business purposes. This must include all vehicles used for <i>servicing and delivery</i> , regardless of any contractual requirements
Action plan	An executive summary of the <i>audit</i> findings
Action point	A record of incidence of non-compliance with the FORS requirements. This can be a <i>major action point</i> or a <i>minor action point</i>
Audit	A verification process of fleet activities to ensure compliance to the FORS Standard
Audit report	Written document outlining the <i>audit</i> result and <i>action plan</i> if applicable
Bronze	The first level of FORS <i>accreditation</i>
Car	A passenger vehicle with up to eight passenger seat
Certificate	Companies that achieve the requirements of the FORS Standard will receive a certificate detailing the level attained ( <i>Bronze, Silver or Gold</i> ), which will remain valid for the duration of <i>accreditation</i>
Certification body	Organisations approved by the <i>scheme administrator</i> to undertake audits to the FORS Standard
Dormant	Organisation that is no longer a FORS member. It is not listed on the FORS website and users' password rights are removed
Enhanced audit	<i>Bronze audit</i> with extra requirements specified by the FORS compliance team

Follow-up audit	An audit which only focuses on the <i>major action points</i> raised in a failed <i>initial</i> or <i>re-approval audit</i> . <i>Follow-up audit(s)</i> must be passed within 30 calendar days of initial notification of failure
Gold	The highest level of FORS <i>accreditation</i>
HGV	Heavy good vehicle – a goods vehicle over 3.5 tonnes gross vehicle weight
IAFA – Internal audit fleet accreditation	Organisations with 16 or more <i>operating centres</i> in scope of <i>FORS accreditation</i> and with the same policies and procedures as well as an established internal transport management quality <i>audit</i> process
Initial audit	The <i>audit</i> that is conducted for the first time or in the following instances: <ul style="list-style-type: none"> <li>• after <i>accreditation</i> has lapsed</li> <li>• after an organisation has been downgraded to <i>dormant</i> and reinstated</li> <li>• if an organisation had 16 <i>major action points</i> or more at the last <i>Bronze audit</i></li> </ul>
Major action point	A record of incidence of non-compliance with the FORS requirements which results in a failed <i>audit</i> . These must be corrected within 30 days of initial notification
Minor action point	A record of incidence of non-compliance with the FORS requirements. These must be corrected within 90 days of initial notification
MOCA – multi-operating centre accreditation	Organisations with two or more <i>operating centres</i> in scope of <i>FORS accreditation</i> and with the same policies and procedures throughout
Operating centre (OC)	The site or depot where vehicles operate from, where there is infrastructure that supports daily management, control and day-to-day operational deployment of a fleet  Note: The definition of a FORS <i>operating centre</i> is not the same as defined for operator licensing
P2W	Powered two-wheeler – a powered two-wheeler vehicle, including motorcycles and mopeds
PCV	Passenger carrying vehicle – a passenger vehicle with more than eight passenger seats
Re-approval audit	A periodic <i>audit</i> of a FORS operator
Scheme administrator	AECOM, part of the FORS Community Partnership

Scope of accreditations	Vehicles that are used for <i>servicing and delivery</i> for business purposes. This must include all vehicles used for <i>servicing and delivery</i> , regardless of any contractual requirements
Servicing and delivery	Vehicles involved in the movement of materials, products, valuables, equipment, tools, waste, food, vehicles, luggage or people
Silver	The second level of FORS <i>accreditation</i>
SOCA – Single operating centre accreditation	Organisations with one <i>operating centre in scope of FORS accreditation</i>
Suspension	In accordance with the FORS Terms and Conditions and upon written notification, membership may be suspended in which case there is no entitlement to use the FORS benefits or the FORS logo
Termination	In accordance with the FORS Terms and Conditions and upon written notification FORS membership may be terminated, in which case there is no entitlement to use the FORS benefits or the FORS logo. Termination is for a minimum of six months and re-entry into the scheme can only be following the successful completion of an <i>enhanced audit</i> and a probation period
Van	A goods vehicle up to 3.5 tonnes gross vehicle weight
Wheeled plant	A vehicle specifically designed for engineering operations that is not classified as <i>HGV</i>

