



**Audit details**

Company name	JPM Contractors Ltd.,
FORS ID	3333
Operating centre name	White House Farm,
Contact name	James McCabe
Date of audit	24/02/2014
Type of audit	Audit
Contractual reason	TFL,Vinci Construction,MACE,Crossrail,Other Local Authorities,Other Private Contractor

**Audit result**

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

**Operating Centres**

Do you require accreditation across all of your operating centres?	No
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 audit

Audit Number	1 of 1
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**Please complete the above two boxes**

Start Time	08:00
End Time	12:45

**Present audit findings**

Number of major action points	0
Number of minor action points	0
Number of observations	1

Describe the type and scope of fleet operations	JPM Contractors are a family run operation that operate a small fleet of road sweepers on many major contracts around the south of England and home counties.
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What is the organisation's objective to attain or continue FORS accreditation?	JPM Contractors require FORS accreditation to meet their contractual obligations and since applying realised it is a usefull system to help them with maintaining standards within their fleet.
Additional Notes	

## 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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Version Number	11
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## Auditing

Auditors shall review a random sample of client vehicle records for conformity at all audits (at least 1 in 20 of each vehicle type)

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
Observation	Satisfied all requirements but advice given for consideration
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 assessor 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 3 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	333
Company name	JPM Contractors Ltd.,
Operating centre name	White House Farm,
Street	St James Road, Goffs Oak,
Town	Herts.
Postcode	EN7 6TR.
Country	UK
Contact name	James McCabe
Position	Director
Contact phone	01707-872211
Email	<a href="mailto:jmccabe@jpmcontractors.co.uk">jmccabe@jpmcontractors.co.uk</a>

Number of employees	13
Do you use sub contractors /owner drivers?	No
If yes; Does your company policy state that sub contractors/owner drivers must adhere to the FORS standards?	N/a
Do you maintain records (Operator Licence, insurance, medical, safety etc) on owner drivers/sub contractors centrally?	No
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 checked="" type="checkbox"/> Vinci Construction <input checked="" type="checkbox"/> Other Local Authorities <input checked="" type="checkbox"/> MACE <input checked="" type="checkbox"/> Other Private Contractor
Certification body	Freight Transport Association
Lead auditor	Peter Lambert
Auditor number	FTA A 028
Date(s) of audit	24/02/2014
Audit start time	08:00
Audit finish time	12:45



Category	Type	Fuel type								Totals
		Diesel	Petrol	Biofuel	Gas <sup>1</sup>	Electric	Fuel Cell <sup>2</sup>	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										
<b>Total</b>		20								20

1 Fossil fuel/non fossil fuel based

2 Hydrogen

Type of audit	Audit
Audit level	Bronze
Describe the type and scope of fleet operations	JPM Contractors are a family run operation that operate a small fleet of road sweepers on many major contracts around the south of England and home counties.
What is the organisation's objective to attain or continue FORS accreditation?	JPM Contractors require FORS accreditation to meet their contractual obligations and since applying realised it is a usefull system to help them with maintaining standards within their fleet.



## 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.

Code	Requirement	Audit notes	Outcome
M1	<b>Management manual</b> Fleet operators shall have a current written management manual which covers all the mandatory requirements of the FORS standard which has been reviewed at least annually by senior members of the organisation.	JPM Contractors have many health and safety manuals and risk assessments in place already but also employ the services of a fleet compliance management company who have put together a very robust transport related road risk policy for them which meets all the FORS standards.	Pass
M2	<b>Responsibilities and authorities</b> Fleet operators shall have a description of the responsibilities and authorities of, and links between, senior management and daily operations personnel (these could be the same person), including the person having continuous and effective responsibility for the transport operations.	A copy of the organisation chart was produced which showed clear links between operational staff and senior management.	Pass
M3	<b>Responsible person</b> Fleet operators shall have a formally appointed qualified, trained, and experienced person who runs daily transport operations.	James McCabe has overall responsibility for his company including the transport department, he is very hands on and makes safety his first priority, this was demonstrated at this audit with his knowledge and understanding of his operation.	Pass
M4	<b>Regulatory licensing</b> Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).	N/A due to the nature of work they carry out all vehicles are classed as plant.	Pass

M5	<b>Communication</b> Fleet operators shall demonstrate that company policies are communicated to staff.	All communications are given at induction and then through team meetings and toolbox talks these are carried out monthly.	Pass
M6	<b>Review</b> Fleet operators shall have their fleet management system reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.	The company has been expanding rapidly in the last 2 years and at present hold monthly meetings to go through changes these are attended by directors and senior management. FORS standards have been a major part of these meetings as one of their main contracts is with Crossrail.	Pass
M7	<b>Change</b> Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.	The company have gone through many changes over the last few years and management see the changes as a positive move in the right direction with staff in full cooperation.	Pass
M8	<b>Complaints</b> Fleet operators shall have a fully functioning complaints system which feeds into decision making and shall ensure that any legal and non-legal action against the company is reviewed and reacted to, in order to prevent reoccurrence.	The company have a very good recording system in place for complaints this is part of their non compliance procedure for their ISO 9001, any complaint is recorded and then actioned by James McCabe to prevent any reoccurrences and if required he would dismiss the employee if things did not improve.	Pass
M9	<b>Resourcing</b> Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.	The transport team is lead by James McCabe and the fleet manager with a team of experienced administration staff who all have many years of a transport operational background.	Pass
M10	<b>Updates</b> Fleet operators shall have a process for keeping up to date with developments in the industry.	JPM Contractors receive regular updates from their transport compliance company to keep them up to date with any changes in the industry, they also attend many trade related seminars to keep them informed of new legislation in their industry.	Pass

Code	Requirement	Audit notes	Outcome
V1	<b>Inspection and maintenance plan</b> Fleet operators shall have an equipment inspection and maintenance plan which is carried through and recorded.	A copy of the vehicle maintenance planner was in the transport office which covered all vehicle servicing and inspections. The company have their own vehicle workshop and carry out above average maintenance on their fleet including MOT's.	Pass
V2	<b>Daily vehicle checks</b> Fleet operators shall ensure that vehicles are checked before each shift.	All drivers complete a daily walk about check and if a defect is found it is immediately rectified by the workshop before the vehicle is allowed to go onto the highway, vehicle records confirmed this.	Pass
V3	<b>Specialist equipment</b> Fleet operators shall ensure that all specialist equipment (if a requirement of the operation) such as (but not limited to): <ul style="list-style-type: none"> <li>◆Speed limiters</li> <li>◆Tachographs</li> <li>◆Tanks</li> <li>◆Lifting equipment (cranes, tail lifts etc.)</li> </ul> is inspected, calibrated, serviced and recalibrated according to legal and/or manufacturer's requirements.	All equipment is re-calibrated above manufactures legal requirements.	Pass
V4	<b>Insurance</b> Fleet operators shall hold a minimum of:		
V4.i	Third party insurance or self-insurance for the whole fleet	RUP Commercial Risks LLP policy number 53330201110:DF112LR01729 expiry 06/03/2014.	Pass
V4.ii	Employers' liability insurance held for the business.	Liberty International policy number B079721312132 expiry 10/05/2014	Pass
V4.iii	Public liability insurance	Liberty International policy number B079721312132 expiry 10/05/2014.	Pass
V4.iv	Goods in transit insurance (where applicable)	N/a.	Pass
V4.v	Other insurances relevant to operational activity i.e. Transport of dangerous goods by road etc.	N/a.	Pass

V5	<p><b>Vehicle excise duty</b> Fleet operators shall ensure that the appropriate vehicle excise duty is paid for all applicable vehicles (and trailers where applicable).</p>	All vehicle excise duty is pre arranged by the transport office and the relevant duty is arranged prior to expiry, a record of due dates can be found on the vehicle planner.	Pass
V6	<p><b>Safe loading</b> Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.</p>	The main fleet are primarily gully suckers or power jet vans and road sweepers, a risk assessment is in place to cover storage of power hoses, there is also a work instruction in place to cover safe handling of equipment, verified at audit.	Pass
V7	<p><b>Vehicle falls</b> Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and where appropriate take mitigating action.</p>	There is a company policy in place to cover slips trips and falls it also covers vehicle access and egress, the policy is also supported by risk assessments and safe systems of work.	Pass
V8	<p><b>Vehicle manoeuvring</b> Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.</p>	The company have in place a policy for vehicle manoeuvring on all sites this was evidenced at the audit, all vehicles are fitted with beacons, reversing alarms and cameras these fit in line with their Crossrail contract and requirement by law for use on the public highway.	Pass
V9	<p><b>Fuel and tyre usage</b> Fleet operators shall record and react to fuel and tyre usage.</p>	Fuel is monitored by James they have their own fuel tanks and he manages fuel very closely. The vehicles are fitted with trackers and he uses these to manage useage of his fleet to help reduce unnecessary fuel and mileage. Tyres are managed through daily driver checks and his workshop.	Pass

<b>Code</b>	<b>Requirement</b>	<b>Audit notes</b>	<b>Outcome</b>
D1	<p><b>Licensing and qualifications</b></p> <p>Fleet operators shall ensure that licences and qualifications are checked by a competent person / authority prior to driving, and then at least every 6 months.</p>	<p>The company carry out 3 monthly licence checks and all staff at induction give authority for them to verify their licences with DVLA.</p>	Pass
D2	<p><b>Driving standards</b></p> <p>Fleet operators shall expect that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to other road users.</p>	<p>All drivers are issued with a driver handbook at their induction this covers a drivers code of conduct and mentions that drivers must adhere to the highway code, it also covers vulnerable road users and all drivers have been given a toolbox talk with the cycle safety briefing sent through from FORS and a record kept on their files to confirm.</p>	Pass
D3	<p><b>Staff training</b></p> <p>Fleet operators shall ensure that staff knowledge/training requirements are understood, implemented, and recorded.</p>	<p>All drivers undergo basic training on induction and then during their employment they have regular equipment training also on site training for health and safety. This is recorded by James and logged on their personnel files and is kept regularly updated to keep them compliant including Driver CPC.</p>	Pass
D4	<p><b>In-vehicle technology</b></p> <p>Fleet operators shall have policies in place to not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology while driving.</p>	<p>There is a company policy on vehicle technology this is contained within the drivers handbook also it is part of a toolbox talk, this was evidenced by way of driver training logs.</p>	Pass

D5	<p><b>Health and safety</b> Fleet operators shall ensure that road driving risks and workplace transport safety are controlled via a working health and safety policy and that vehicle-specific driver health and safety advice is given to drivers.</p>	<p>The workplace health and safety poster was evidenced at the assessment, there is a company policy in place regarding the misuse of drugs and alcohol, this is included in both the contract of employment and the drivers handbook. In addition JPM Contractors carry out regular random alcohol and drug testing.</p>	Pass
D6	<p><b>Driver fitness and health</b> Fleet operators shall ensure that driver health is managed.</p>	<p>The company participates in regular drug and alcohol testing via their main contractors it works for. Any negative results are investigated and drivers are offered support if the problem persists then disciplinary procedures may be used. The company have just started to carry out regular eye sight checks in line with FORS standards and will continue at 6 monthly intervals.</p>	Observation
D7	<p><b>Drivers' hours and working time</b> Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).</p>	<p>The company are tachograph exempt but records are kept on drivers hours manually through a log book system, working time is also recorded over a 26 week period to maintain standards.</p>	Pass
D8	<p><b>Monitoring driving</b> Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.</p>	<p>There is a policy on driving infractions and this is noted in the drivers handbook, as the company do not come under drivers hours due to working domestic rules they have not had any driving infractions for this, however, under the WTD if any were to appear they would be investigated and disciplinary action would be taken.</p>	Pass

<b>Code</b>	<b>Requirement</b>	<b>Audit notes</b>	<b>Outcome</b>
O1	<b>Routing and scheduling</b> Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used.	Due to the nature of their work vehicle routing is done manually by James he uses the vehicle tracking system to help keep mileage and fuel to a minimum.	Pass
O2	<b>Transport related fines and charges</b> Fleet operators shall effectively deal with the causes of fines and charges incurred.	There is a company policy on transport related fines and this is noted in the drivers handbook. All PCN's are investigated by James and if required disciplinary action is taken against the driver.	Pass
O3	<b>Specialist goods</b> Fleet operators shall ensure that specialist goods such as waste, dangerous goods, and abnormal loads are handled and transported in compliance with the appropriate regulations.	The company hold a waste carriers licence CB/WP3713RW expiry 26/01/2016	Pass
O4	<b>Incidents</b> Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, and that staff and vehicles are properly assessed before returning to the road.	Each vehicle carries the relevant details of the insurance company should they require it in the event off an accident. Should an accident occur it will be recorded and photos taken and on return to the depot the driver would undergo a full interview with the James McCabe and complete the relevant forms to send through to the insurers, depending on the damage at the scene the vehicle would be made safe or recovery arranged.	Pass
O5	<b>Insurance claims</b> Fleet operators shall ensure that insurance claims are reviewed and reacted to.	James has regular meetings with the insurance broker. And all incidents are investigated the driver interviewed and records kept for future analysis and trend patterns.	Pass
O6	<b>Record control</b> Fleet operators shall ensure that all records are adequately retained and controlled, specifically including driving events.	All vehicle records are maintained in line with legal requirements and documents kept in a safe and secure environment for at least 6 years.	Pass

## Overview and recommendations

### Reporting overview

#### Details of previous audit / action points

Evidence relating to previous action point resolution*	N/a
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	0
Number of minor action points	0
Number of observations	1

### 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)	Peter Lambert	<b>Date</b>	24/02/2014

#### Audit result

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





