FTC

Fleet Transport
CONSULTANTS

Transport Management Audit

Fleet Transport Consultants Ltd

SAFE COMPLIANT PROFITABLE

This Audit has been prepared for.

Operator Name / Business	
Site Address	
Operator Licence	
Auditor Name	
Publish Date	

About the Audit.

The purpose of this audit is to identify what systems and processes are in place to manage transport compliance.

The Auditor will be looking for evidence that systems and processes that support compliance are in use within the operation, this can be visual or documented. The Auditor is required to state this within the audit.

The Auditor will make additional advisory comments to the audit which are for the purpose of guidance/education.

This audit has been carried out in accordance with the Office of the Traffic Commissioners & The Heath & Safety Executive.

Audit Summary Sheet.

Section	Page(s)	Satisfactory	Unsatisfactory	Client Comments
1. Company Information	6	Satisfactory		
2. Journey Planning	8	Satisfactory		
3. Driver Management	11	Satisfactory		
4. Vehicle Management	16	Satisfactory		
5. Incident Management	19	Satisfactory		
6. General Observations	24	Satisfactory		

Overview of Audit Findings:

Audit Findings	Findings	Areas for Improvement
Overview of the Audit findings		

<u>Auditor (s) Information.</u>

1; *Company Information, Transport Department, Responsible Person, Insurance, Audits:*

1.1	Company Information	Findings – Supporting Evidence	Areas for Improvement
1.1.1	Persons present and positions within company		
1.1.2	Background information. What's the principal activity.		
1.1.3	Company registered address		
1.1.4	Operating Centre Address		
1.1.5	Company registered Number		
1.1.6	VAT number		
1.1.7	Management structure		
1.18	Directors/Partners		
1.1.9	HR		
1.1.10	Type of transport usage (HGV, PSV, Cars, etc)		

1.1.11	How many vehicles across all categories		
1.1.12	Vehicle ownership, Lease, Hire etc		
1.2	**Transport Department**	**Findings – Supporting Evidence**	**Areas for Improvement**
1.2.1	Nominated Responsible Person		
1.2.2	Transport Department structure		
1.2.3	Who assists the TM/ RP and the role?		
1.2.4	Total staff numbers / number in Transport?	13/7	
1.3	**Responsible Person**	**Findings – Supporting Evidence**	**Areas for Improvement**
1.3.1	© Who is the designated Responsible Person for transport, and what are their specific responsibilities and authorities?		
1.3.2	Are these clearly defined in a job description or other documentation?		
1.3.3	How does the Responsible Person ensure that the transport management system is implemented **effectively**, and that all drivers and other employees understand and comply with their roles and responsibilities?		
1.3.4	© How does the Responsible Person **oversee** the risk assessment process for driving activities, and how are risks identified, evaluated, and controlled?		
1.3.5	How does the Responsible Person ensure that risk assessments are **reviewed and updated** regularly, and that control measures are implemented and monitored effectively?		

1.3.6	How does the Responsible Person ensure that the company's transport operations **comply** with all relevant legislation, regulations, and industry best practices?		
1.3.7	How does the Responsible Person stay informed about **changes** in legislation and best practices, and how are these changes communicated and implemented within the company?		
1.3.8	How does the Responsible Person promote a culture of **continuous improvement** in the company's transport operations?		
1.3.9	How does the Responsible Person use data from incidents, near misses, audits, and other sources to identify areas for **improvement** and implement corrective actions?		
1.4	**Insurance**	Findings – Supporting Evidence	Areas for Improvement
1.4.1	General company insurance?		
1.4.2	Fleet insurance?		
1.4.3	Any specialist Insurance requirements?		
1.5	**Internal/ External Audits**		
1.5.1	Is there an internal (1st party) audit process for the transport management system, and how often are audits conducted?		
1.5.2	Is there an external (2nd Party) audit process for the transport management system, and how often are audits conducted?		
1.5.3	Are audits conducted by trained personnel, and are the findings documented and used to drive continuous improvement?		
1.5.4	Is there a copy of the latest internal/ external audit to hand?		

2; Journey Planning and Management

2.1	Route Planning:	Findings – Supporting Evidence	Areas for Improvement	Client Comments
2.1.1	Can the depot demonstrate documented procedures for planning routes, considering factors such as road type, traffic, restrictions, and driver experience?			
2.1.2	How are these procedures maintained and reviewed to ensure they remain effective and up-to-date?			
2.1.3	How are routes selected, and is there evidence of considering alternative routes for safety and efficiency?			
2.1.4	How is the rationale for route selection documented and communicated to drivers?			
2.1.5	Are drivers involved in the route planning process, and how is their feedback recorded and implemented?			
2.1.6	Does the Responsible Person or any other business leader have a clear role in overseeing and approving route plans?			
2.2	Journey Time and Scheduling			

2.2.1	How are journey times estimated, and are factors like traffic, weather, and road conditions considered?			
2.2.2	Are these estimations regularly reviewed and updated to reflect actual journey times and potential delays?			
2.2.3	Are schedules designed to avoid driver fatigue, and how are rest breaks incorporated into schedules?			
2.2.4	© Is there a clear process for monitoring compliance with rest break requirements (i.e. WTD) and addressing any deviations?			
2.2.5	Is there a policy to prevent drivers from feeling pressured to meet unrealistic deadlines, and how is it communicated?			
2.2.6	How does the Responsible Person ensure that drivers understand and adhere to this policy?			
2.3	Vulnerable Road Users			
2.3.1	Are drivers trained to identify and respond to vulnerable road users (pedestrians, cyclists, motorcyclists)? Is there a copy of the latest Highway copy to hand?			
2.3.2	Is this training regularly updated to reflect changes in traffic laws and best practices for sharing the road with vulnerable users?			
2.3.3	Are there specific procedures for driving in areas with high pedestrian or cyclist traffic?			
2.3.4	Are there specific procedures for driving on-site?			
2.3.5	How are these procedures communicated to drivers, and how is compliance monitored?			
2.4	Weather Conditions			

2.4.1	Are there procedures for assessing and managing risks associated with adverse weather conditions?			
2.4.2	Are these procedures reviewed and updated regularly to account for seasonal variations and changing weather patterns?			
2.4.3	Are drivers trained to adjust their driving to suit different weather conditions? How is this training delivered, and how is its effectiveness evaluated?			
2.4.4	Is there a clear policy on when it is unsafe to drive due to weather, and how is this communicated to drivers?			
2.5	Work Schedules and Fatigue Management			
2.5.1	How are driver work schedules managed to prevent fatigue?			
2.5.2	Are these schedules regularly reviewed and adjusted to minimise the risk of fatigue-related incidents?			
2.5.3	Are drivers educated on the risks of fatigue and how to manage it?			
2.5.4	How is this education delivered, and how often are drivers provided with refreshers on fatigue management?			
2.5.5	©Is there a system for monitoring working hours and ensuring compliance with regulations on rest breaks and maximum driving hours?			
2.5.6	How does the Responsible Person oversee this system and ensure its effectiveness?			
2.5.7	How are potential fatigue-related risks associated with irregular hours or long shifts mitigated?			

2.5.8	Are alternative transportation arrangements or overnight stays considered to manage these risks?			

Section

3; Driver Management:

3.1	Competence and Training:	Findings – Supporting Evidence	Areas for Improvement	Client Comments
3.1.1	What are the criteria for assessing driver competence, including experience, qualifications, and driving record?			
3.1.2	How are these criteria documented and used consistently in the driver selection and evaluation process?			
3.1.3	© Is there a documented driver training program covering topics like defensive driving, safe loading practices, and company policies?			
3.1.4	How is this program maintained and updated to reflect changes in regulations, best practices, and company-specific requirements?			
3.1.5	Who is responsible for checking / updating this system			
3.1.6	How is driver training delivered, and how is its effectiveness evaluated?			
3.1.7	Are there mechanisms for gathering driver feedback on training and using it to improve the program's content and delivery?			
3.1.8	Are drivers provided with refresher training or training on new technologies or procedures as needed?			
3.1.9	©How does the Responsible Person identify training needs and ensure that drivers receive appropriate and timely training?			
3.2	**Health and Fitness:**			

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3.2.1	Is there a system for ensuring drivers meet the required health and fitness standards for driving?			
3.2.2	How are drivers made aware of the potential impact of health conditions or medications on their driving ability?			
3.2.3	Are they provided with clear guidance on reporting any health concerns that may affect their driving?			
3.2.4	Is there a confidential reporting mechanism for health concerns, and how are these concerns addressed to ensure driver safety and fitness to drive?			
3.3	Impairment:			
3.3.1	© Does the company have a clear policy on driving under the influence of alcohol or drugs, including prescription medications?			
3.3.2	How does this policy comply with legal requirements and workplace safety standards?			
3.3.3	How are drivers educated on the risks of impairment and the company's zero-tolerance policy?			
3.3.4	Are they provided with information on the effects of different substances on driving ability?			
3.3.5	Are drug and alcohol checks randomly performed on drivers and staff?			
3.3.6	How does the Responsible Person ensure that these procedures are followed consistently and fairly?			

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3.4	**Distraction Management:**			
3.4.1	© Is there a clear policy on the use of mobile phones and other devices while driving?			
3.4.2	How does this policy align with current legislation and best practices for minimising distractions?			
3.4.3	How is this policy communicated and enforced?			
3.4.4	What are the consequences of violating the policy, and how are drivers held accountable for their actions? Any evidence?			
3.4.5	(If allowed) Are drivers provided with hands-free equipment if necessary, and are they trained on its safe use?			
3.5	**Lone Worker Policy:**			
3.5.1	© Is there a lone worker policy in place, specifically addressing the risks associated with driving long distances and in remote locations?			
3.5.2	How does this policy ensure the safety and well-being of lone workers, including communication protocols, emergency procedures, and welfare checks?			
3.5.3	Are drivers who frequently work alone provided with additional training or equipment to manage the specific risks associated with lone working, such as personal safety training or GPS tracking devices?			
3.6	**Gate Checks:**			

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3.6.1	Are there procedures for conducting gate checks on vehicles entering and exiting the site?			
3.6.2	How do these checks ensure that vehicles are roadworthy, secure, and compliant with safety regulations?			
3.6.3	Are gate checks conducted consistently, and are records of these checks maintained?			
3.7	Driver Licence Checks			
3.7.1	How are driver's licence checks conducted, and how often are they repeated?			
3.7.2	© Are checks conducted in accordance with legal requirements and company policy, and are records of these checks maintained?			
3.7.3	Is there a mechanism of mitigating risk and increasing the frequency of checks for high risk drivers?			

4; Vehicle Management:

4.1	Vehicle Selection and Maintenance:	Findings – Supporting Evidence	Areas for Improvement	Client Comments

Section

4.1.1	What are the criteria for selecting vehicles, considering safety features, suitability for the task, and ergonomic factors?			
4.1.2	How are these criteria documented and used consistently in the vehicle acquisition process?			
4.1.3	Are vehicles selected with a preference for 5-star Euro NCAP safety ratings?			
4.1.4	© Are there documented procedures for regular vehicle maintenance, inspections, and defect reporting?			
4.1.5	How are these procedures maintained and reviewed to ensure they align with manufacturer recommendations and industry best practices?			
4.1.6	© How are vehicle defects recorded, addressed, and monitored to ensure repairs are completed effectively?			
4.1.7	Is there a system for tracking defects, assigning responsibility for repairs, and verifying that repairs have been carried out to the required standard?			
4.1.8	© Is there a clear policy on when a vehicle is considered unsafe to drive, and how is this enforced?			
4.1.9	How does the Responsible Person ensure that unsafe vehicles are taken out of service or promptly and that drivers understand and comply with this policy?			

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4.1.10	Is there a VOR (Vehicle Off Road) Process in place?			
4.1.11	How is vehicle maintenance managed, including routine servicing, repairs, and record-keeping?			
4.1.12	Are maintenance schedules adhered to, and are records of all maintenance activities readily available?			
4.1.13	How are vehicle MOTs, road tax, and insurance managed to ensure that all vehicles remain legally compliant?			
4.1.14	Are there processes in place to track renewal dates and ensure timely completion of these requirements?			
4.2	**Load Security**			
4.2.1	© Are drivers trained on proper load securing techniques and weight distribution?			
4.2.2	How does this training cover the specific types of loads carried by the company and the appropriate securing methods for each?			
4.2.3	Are vehicles equipped with the necessary restraints and securing devices, and are these regularly inspected?			
4.3	**Vehicle Monitoring (telematics)**			
4.3.1	Are vehicle tracking or telematics systems used to monitor driver behaviour or vehicle performance? If so, how are these systems selected and implemented in accordance with			

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	data protection regulations and ethical considerations?			
4.3.2	If so, how is the data from these systems used to improve safety and efficiency?			
4.3.3	Are there documented procedures for analysing telematics data, identifying areas for improvement, and providing feedback to drivers?			
4.3.4	Are drivers aware of the monitoring systems and how the data is used?			
4.4.4	How are they informed about the purpose of the monitoring, the types of data collected, and how the data is used to support driver development and safety improvement?			
4.5	Parking:			
4.5.1	Are there designated parking areas for company vehicles, and are these areas secure and well-maintained?			
4.5.2	Are drivers provided with clear instructions on where to park their vehicles, and are there any restrictions on parking in certain areas?			

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5; *Incident Management:*

5.1	Incident Reporting and Investigation:	Findings – Supporting Evidence	Areas for Improvement	Client Comments
5.1.1	© Is there a clear and accessible system for reporting all incidents, near misses, and vehicle defects?			
5.1.2	How is this system communicated to drivers and other employees, and how are they encouraged to report incidents without fear of reprisal?			
5.1.3	© How are incidents investigated to identify root causes and implement corrective actions?			
5.1.4	Are investigations conducted promptly and thoroughly, and are the findings documented and communicated to relevant personnel?			
5.1.5	Are incident reports and investigation findings documented, reviewed, and used to improve safety procedures?			
5.1.6	How is this information used to inform risk assessments, revise procedures, and implement preventative measures?			
5.2	Emergency Procedures:			
5.2.1	Are drivers trained on what to do in case of a vehicle breakdown, accident, or other emergency?			

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5.2.2	Does this training cover different emergency scenarios, such as breakdowns in remote locations or accidents involving hazardous materials?			
5.2.3	Are vehicles equipped with necessary emergency equipment, and are drivers aware of its location and use?			
5.2.4	Are emergency equipment checks conducted regularly, and are any deficiencies addressed promptly?			
5.2.5	Are drivers provided with clear instructions on who to contact and how to communicate effectively in an emergency situation?			
5.2.6	Do vehicles have Bump Cards? (cards that have the company / insurance details to hand to the third party driver and to record details of third part)			
5.2.7	Are drivers trained on how to react post a serious incident/ accident?			
5.3	Near Miss Reporting:			
5.3.1	© Is there a defined process for drivers to report near misses?			
5.3.2	How is this process communicated to .drivers, and how are they encouraged to report near misses without fear of reprisal?			

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5.3.3	How are near misses recorded, investigated, and reviewed to identify potential risks and improve safety measures?			
5.3.4	Is there a system for tracking near misses, analysing trends, and using this information to inform risk assessments and safety interventions?			
5.3.5	Are near misses incorporated into driver training and communication?			
5.4	Anti-Terrorism Measures:			
5.4.1	Is there a policy or guidance for drivers regarding anti-terrorism measures while operating company vehicles?			
5.4.2	How does this policy or guidance align with national security guidelines and industry best practices for transportation security?			
5.4.3	Does this include procedures for vehicle security, reporting suspicious activity, and responding to potential threats?			
5.4.4	Are drivers provided with specific instructions on how to secure their vehicles, what to look for in terms of suspicious activity, and how to respond in different threat scenarios?			
5.4.5	Are drivers trained on these procedures and their role in maintaining security?			

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	How is this training delivered, and how often are drivers provided with refreshers on anti-terrorism measures?			
5.5	**On-Site Accidents & Incidents**			
5.5.1	How are on-site accidents, including bumps and minor incidents, investigated and documented?			
5.5.2	Is there a standardised reporting form for on-site accidents, and are all accidents, regardless of severity, investigated?			
5.5.3	Is there a formal disciplinary process associated with on-site accidents, and how is it applied?			
5.5.4	Are disciplinary actions proportionate to the severity of the incident and the driver's history?			
5.5.5	How does the Responsible Person ensure that disciplinary actions are consistent and fair, and that they take into account any mitigating circumstances?			
5.5.6	Are on-site accidents and near misses used to identify trends and implement preventative measures?			
5.5.7	How is this information used to inform risk assessments, improve safety procedures, and modify the work environment to reduce the risk of future incidents?			

Section

General Observations:

General Observations	Findings – Supporting Evidence	Areas for Improvement
Overview of the current operation		
Staff Observations	No areas for concern.	
Management Concerns	No concerns	