

CLOCS Guide
**Managing
supplier
compliance**



Looking out
for vulnerable
road users

CLOCS - Looking out for vulnerable road users

In 2012, Transport for London (TfL) commissioned a review of the construction sector's transport activities to understand the causes of collisions with cyclists. The resulting 'Construction Logistics and Cyclist Safety' report laid the foundation for the CLOCS programme which has since broadened to cover the safety of all vulnerable road users.

CLOCS aims to achieve a visionary change in the way the construction industry manages work related road risk whilst providing an opportunity for clients and developers to look out for the wider community. This is moving forward in three key ways:

- Improving the safety of vehicles
- Addressing the imbalance between on-site health and safety and work related road safety
- Encouraging wider adoption of best practice across the logistics industry

The *CLOCS Standard for construction logistics: Managing work related road risk* has been developed as a common national standard for use by the construction logistics industry. Implemented by construction clients through contracts, it provides a framework that enables ownership in managing road risk which can be adhered to in a consistent way by fleet operators.

Supplementary guidance has been developed to accompany the CLOCS Standard and provide further information on the key requirements:

- CLOCS Guide - Managing driver training and licensing
- CLOCS Guide - Vehicle safety equipment
- CLOCS Guide - Managing supplier compliance
- CLOCS Guide - Managing work related road risk in contracts
- CLOCS Toolkit - Managing collision reporting and analysis
- CLOCS Compliance toolkit

Representatives from different organisations - vehicle manufacturers, construction logistic clients, operators, regulatory and enforcement bodies are actively engaged with CLOCS representing a united response to road safety and greater social responsibility.

Acknowledgements

The *CLOCS Guide - Managing supplier compliance* has been developed in collaboration with key industry stakeholders.

The expert contributions made from organisations and individuals consulted in the development and review of this guide are gratefully acknowledged.

The supplementary guide will be reviewed at intervals not exceeding two years, and any amendments arising from its review will be published in an amended version. Users are responsible for the correct application of the information provided in this guide.

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CLOCS Standard for construction logistics: Managing work related road risk

The *CLOCS Standard* for construction logistics sets out a series of individual requirements for logistic operators and construction clients. Each requirement is designed to help you manage work related road risk (WRRR), particularly in relation to the safety of vulnerable road users (VRUs).

This supplementary guide is designed to assist you in ensuring your contractors and sub-contractors comply with the requirements of the *CLOCS Standard*.

Requirement 3.4.7 **Supply chain compliance**

Requirement

Clients shall ensure contractor and sub-contractor compliance with requirements 3.1.1 to 3.3.2.

Purpose

To ensure that requirements are being adhered to across the supply chain.

Demonstration

The client should ensure that it is a contractual requirement for the contractor to check vehicles entering site and to take the appropriate action under the contract. Presentation of a CLOCS certificate does not necessarily mean an operator is compliant, only that they have committed to adhere to the CLOCS Standard.

The client should request from the contractor a plan and / or process for complying with the contract.

The client should also undertake regular audits of the contractor's process and compliance checks. This audit should include random vehicle compliance checks undertaken by the client. The client may request that every reporting period the contractor should submit to the client a summary of those checks and details the corrective action taken in the case of non-compliance.

Clients should factor in a review of collision reports provided by the contractor under requirement 3.1.2 Collision Reporting

The client should provide a point of contact for contractors in order that they may direct queries to the relevant person or department.

Terminology

Certain terms are used within the *CLOCS Standard* and in this guide.

In the *CLOCS Standard's* requirement:

- **Shall** - indicates something which is mandatory as part of the requirement, or in order to achieve the requirement
- **Should** - indicates something which is recommended as emerging practice
- **May** - indicates permission or an emerging practice option

Accreditation - a formal, third party recognition that a fleet operator meets the standard of an approved independent fleet management audit

Client - an organisation employing fleet operator contractors. This may be a developer employing a principal contractor or a principal contractor employing a sub-contractor

Fleet operator - any organisation or part thereof which operates one or more vehicle(s)

Approved - officially deemed acceptable by the client to meet a specific requirement or quality

Fleet Operator Recognition Scheme (FORS) - the recognition scheme referred to in this document and described in the *CLOCS Standard for construction logistics: Managing work related road risk*, which is a fleet operations accreditation scheme

Compliance audits - checking supply chain compliance by carrying an out audit at a contractor / suppliers premises. Audits shall be evidenced

Compliance checks - a mixture of desk-top and on-site checks, covering the fleet operator's organisation, the vehicles and drivers. Checks shall be evidenced

Non-conformance - failure to meet contractual requirements


Vulnerable road user (VRU) - a pedestrian, cyclist, motorcyclist, equestrian or person of reduced mobility



Introduction

1.1 Purpose of this guide


This guide will help you to meet the supply chain compliance requirement of the *CLOCS Standard*. It outlines the recommended measures to help you ensure your suppliers comply with the requirements of the *CLOCS Standard*.

 **For further information:**

- [CLOCS Standard for construction logistics: Managing work related road risk](#)

1.2 Who should read this guide?

This guide is for construction sector clients and principal contractors who have introduced the requirements of the *CLOCS Standard* into their contracts and who now need to ensure the *CLOCS Standard's* requirements are being adhered to across their supply chain.

 **For further information:**

- [CLOCS Guide - Managing work related road risk in contracts](#)


1.3 How do I get started?

The first step is to read through this guide. It will tell you what you must do to meet the requirements of the *CLOCS Standard* - these are the requirements identified as 'shall' and are mandatory.

The *CLOCS Standard* also makes reference to things that you 'should' or 'may' do. As new practice emerges these 'shoulds' and 'mays' will be incorporated into the 'shall' elements of the requirement in future editions of the *CLOCS Standard*.

Having implemented the *CLOCS Standard* within your contracts you now need to implement a robust supply chain compliance process to ensure that the requirements are being met across your supply chain.

When you have met or can meet mandatory requirements, you should work towards meeting the requirements that CLOCS recommends that you do - these are the requirements that are identified as 'should' and 'may'.

 **For further information:**

- [CLOCS Compliance Toolkit](#)

1.4 At a glance supply chain compliance requirements

Table 1.1 will help you identify the relevant sections of this guide to help you meet the supply chain compliance requirements.

Table 1.1: Navigating the key sections of the guide

What must I do to comply?	When must I do it?	Where do I look in this guide?
Ensure contractor and sub-contractor compliance with requirements 3.1.1 to 3.3.2 of the <i>CLOCS Standard for construction logistics</i>	You must ensure that your contractors and sub-contractors comply with requirements 3.1.1 to 3.3.2 as instructed in the contract. This shall not be more than 90 days from the start of a contract unless special circumstances apply	Section 2

The *CLOCS Standard for construction logistics: Managing work related road risk* covers active management of WRRR across operations, vehicles and drivers.

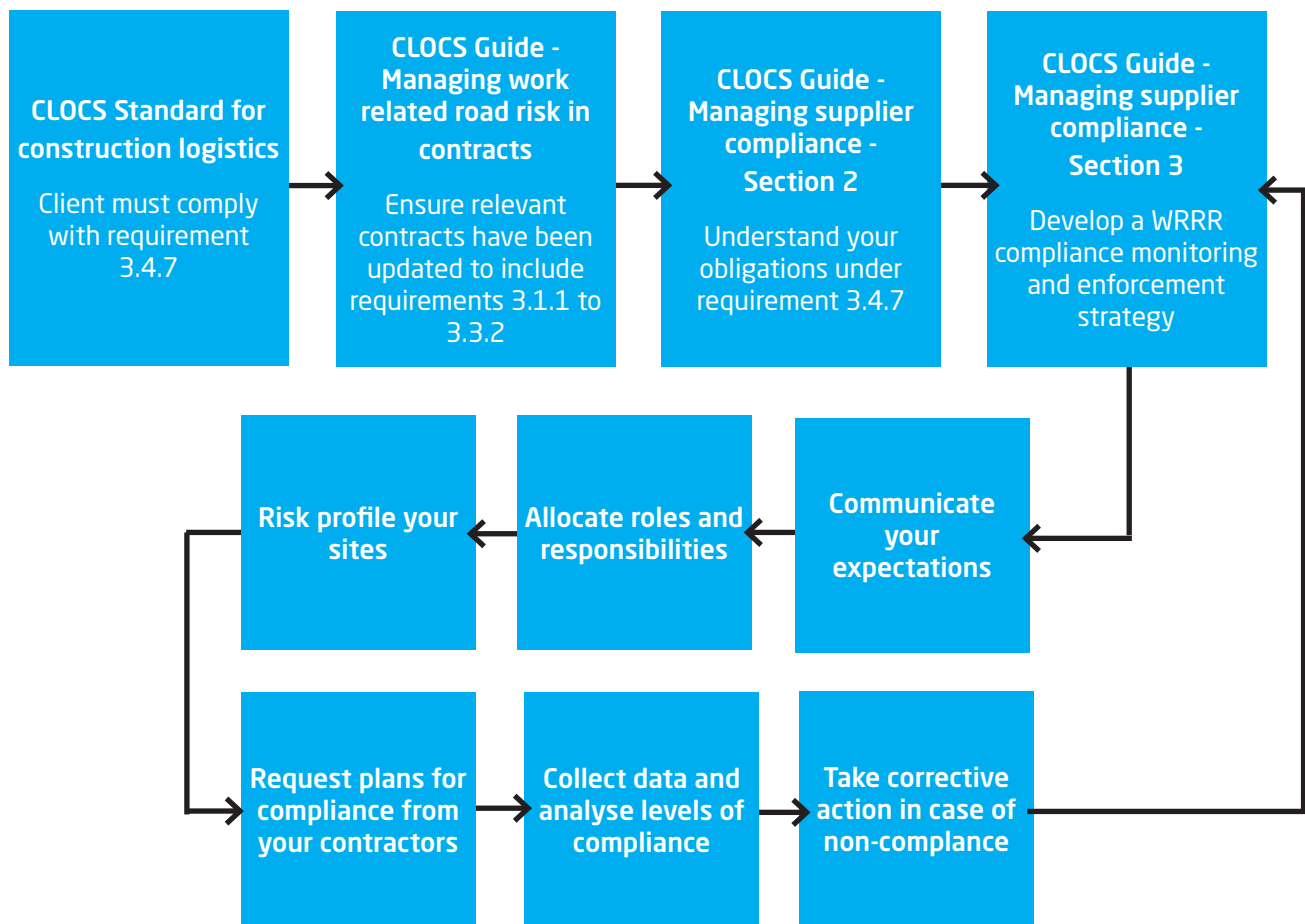
The following other requirements in the *CLOCS Standard* link to the supply chain compliance requirement:


Reference number	Requirement title	How this requirement links to the supply chain compliance requirement
3.1.1 to 3.3.2	<i>CLOCS Standard</i> for fleet operators: <ul style="list-style-type: none"> • Operations • Vehicles • Drivers 	Your supply chain compliance strategy must set out how you will ensure that each of your contractors and sub-contractors complies with requirements 3.1.1 to 3.3.2
3.4.2	Suitability of site for vehicles fitted with safety features	You must ensure that your sites are suitable for vehicles that are fitted with the safety equipment required in 3.2.1 to 3.2.4
3.4.5	Traffic routing	You must ensure that a suitable, risk assessed route to site is specified and communicated to all contractors and drivers

1.5 Steps to supply chain compliance

The flowchart in figure 1.1 shows the key steps in ensuring supply chain compliance with requirements 3.1.1 to 3.3.2.

Figure 1.1: Key steps in setting up a supply chain compliance strategy



 **For further information:**

- [CLOCS Guide - Managing work related road risk in contracts: Section 2](#)
- [CLOCS Guide - Managing supplier compliance: Section 3](#)
- [CLOCS Compliance Toolkit](#)

How to comply with the supply chain compliance requirement (3.4.7)


2.1 What supply chain compliance must I carry out?


Section 3.4.7 of the *CLOCS Standard* requires that 'Clients shall ensure contractor and sub-contractor compliance with requirements 3.1.1 to 3.3.2'.

2.2 Different approaches to ensuring your supply chain is compliant with requirements 3.1.1 to 3.3.2

Different approaches are available to carry out compliance with these requirements, and include:

- Desk top - an element of checking may take place remotely at the desk top, for example checking FORS accreditation on the FORS website or assessing supplier self-certification forms
- On-site - compliance checks of vehicles covering warning signage and safety equipment fitted will need to be carried out on site
- At the depot - you may also choose to undertake compliance checks or audits at a supplier's premises. Where audits take place at suppliers' premises, some of these should be un-announced. Checks or audits should look for paper based and physical evidence on the vehicles that the company has complied with the requirements
- Your contract should include the right to carry out both on-site compliance checks and audits at the operator's depot



For further information: 

- [CLOCS Guide - Managing work related road risk in contracts](#)
- [CLOCS compliance toolkit](#)

For each item of the *CLOCS Standard* (3.1.1 to 3.3.2) table 2.1 sets out:

- The requirement to be checked
- Examples of checks that can be completed by 'desk top' means
- Examples of checks to be undertaken on site
- Examples of checks and audits to be undertaken at a vehicle operator's site

Table 2.1: Example methods of ensuring supply chain compliance

Requirement	Desk top	On site compliance checks	
<p>Operations</p> <p>3.1.1 Quality operation</p>	<p>Online check for FORS accreditation www.fors-online.org.uk</p> <p>Online / desk based checks of registers for other equivalent accreditation schemes</p> <p>If applicable, liaise with Driver and Vehicle Standards Agency (DVSA) to check 'good repute' requirement under the terms of the Operator's Licence</p>	<p>Valid FORS certificate displaying ID number</p> <p>Proof of valid FORS equivalent</p>	
3.1.2 Collision reporting	<p>Check requirement within FORS (or equivalent) level</p> <p>Request for regular reports to be submitted</p>	<p>Undertaken as part of FORS (or equivalent) accreditation</p> <p>Submission of reports produced for FORS (or equivalent)</p> <p>Submission of reports created using FORS Collision Manager</p>	
3.1.3 Traffic routing	<p>Check requirement within FORS (or equivalent) level</p> <p>Web-based check of route plans / deviation records</p>	<p>Random checking of other roads leading to site</p> <p>Physical check of driver's route plans / deviation records</p>	
<p>Vehicles</p> <p>3.2.1 Warning signage</p>	<p>Check requirement within FORS (or equivalent) level</p> <p>Evidence provided that stickers have been ordered or fitted for the vehicles in scope of the <i>CLOCS Standard</i></p>	<p>Vehicle check - check signage is clean and undamaged</p> <p>Sticker fitted to all vehicles over 3.5 tonnes gross vehicle weight</p>	
3.2.2 Side under-run protection	<p>Check requirement within FORS (or equivalent) level</p> <p>Evidence provided that sideguards have been ordered or fitted for the vehicles in scope of the <i>CLOCS Standard</i></p>	<p>Vehicle check - fitment of sideguards to both sides of vehicles over 3.5 tonnes gross vehicle weight</p>	

	Audits at operator depot	Tools to assist
	<p>Valid FORS certificate displaying ID number</p> <p>Proof of valid FORS equivalent</p>	<p>FORS online</p> <p>Registers for other equivalent accreditation schemes</p> <p>FORS - operators must notify any conditions, suspension or revocation imposed on the Operator's Licence within five business days</p> <p>DVSA Operator Compliance Risk Score (OCRS)</p>
	<p>Check reporting is being carried out, request and review reports on a regular basis</p>	<p>FORS online</p> <p>FORS Collision Manager (https://www.fors-collision-manager.org.uk)</p> <p>CLOCS Toolkit - Managing collision reporting and analysis</p>
	<p>Evidence of route plans issued to drivers</p> <p>Log of deviations from route - signed and acknowledged by driver</p>	<p>Routes issued to your sites / premises</p> <p>London Lorry Control Scheme may impose different routes to follow at nights and weekends</p>
	<p>Vehicle check - check signage is clean and undamaged</p> <p>Sticker fitted to all vehicles over 3.5 tonnes gross vehicle weight</p>	<p>Paper checklist</p> <p>Electronic compliance checking system</p> <p>CLOCS Guide - Vehicle safety equipment</p> <p>CLOCS Compliance toolkit</p>
	<p>Vehicle check - fitment of sideguards to both sides of vehicles over 3.5 tonnes gross vehicle weight</p> <p>Audit trail of fitment and maintenance of sideguards</p>	<p>Paper checklist</p> <p>Electronic compliance checking system FORS online</p> <p>CLOCS Guide - Vehicle safety equipment</p> <p>CLOCS Compliance Toolkit</p>

Requirement	Desk top	On site compliance checks	
3.2.3 Blind-spot minimisation	<p>Check requirement within FORS (or equivalent) level</p> <p>Evidence provided that blind-spot minimisation equipment has been ordered or fitted for the vehicles in scope of the <i>CLOCS Standard</i></p>	<p>Vehicle check - required blind-spot equipment fitted and driver able to demonstrate functionality</p> <p>Mirror mountings solid, mirrors clean and uncracked</p>	
3.2.4 Vehicle manoeuvring warnings	<p>Check requirement within FORS (or equivalent) level</p> <p>Evidence provided that warning equipment has been ordered or fitted for the vehicles in scope of the <i>CLOCS Standard</i></p>	<p>Vehicle check - required audible warning equipment fitted and driver able to demonstrate functionality</p>	
Drivers			
3.3.1 Training and development	<p>Request evidence of driver training</p> <p>Check attendance on recognised training register (where available)</p>	<p>Physical check of training record / card carried out</p>	
3.3.2 Driver licensing	<p>Request evidence of driver licence checks</p>	<p>Physical check of licence carried out</p>	

	Audits at operator depot	Tools to assist
	<p>Vehicle check - required blind-spot equipment fitted and driver able to demonstrate functionality</p> <p>Mirror mountings solid, mirrors clean and uncracked</p> <p>Audit trail of maintenance of equipment</p>	<p>Paper checklist</p> <p>Electronic compliance checking system</p> <p>FORS online</p> <p>CLOCS Guide - Vehicle safety equipment</p> <p>CLOCS Compliance Toolkit</p>
	<p>Vehicle check - required audible warning equipment fitted and driver able to demonstrate functionality</p> <p>Audit trail of maintenance of equipment</p>	<p>Paper checklist</p> <p>Electronic compliance checking system</p> <p>CLOCS Guide - Vehicle safety equipment</p> <p>CLOCS Compliance Toolkit</p>
	<p>Request evidence of driver training</p>	<p>FORS online for SUD training</p> <p>Crossrail register of attendance on Crossrail Lorry Driver Induction</p> <p>CLOCS Guide - Managing driver training and licensing</p>
	<p>Request evidence of driver licence checks, and carry out spot checks</p>	<p>DVLA approved checking service</p>

Figure 2.1 gives an example of a truck that is compliant with the *CLOCS Standard for construction logistics*.

Figure 2.1: CLOCS compliant truck



2.3 How long have my contractors got to comply with the requirements?

Section 2.1 of the *CLOCS Standard* states that:

- All fleet operators shall comply with the standard in the timeframe instructed by the client in agreeing the contract
- This shall not be more than 90 days from the start of a contract unless special circumstances apply

It is your responsibility to set out in your contracts a timescale for compliance and communicate this to your suppliers. However, this should be no more than 90 days from the contract start date unless special circumstances apply.

2.4 Exemptions

There may be certain circumstances where you grant special exemptions for certain types of operation or vehicle. Special circumstances should be considered only in exceptional situations and should be agreed between yourself and your contractor. For example, utility companies who are not part of the project but who have a statutory undertaking to access assets on site.

You should agree exemptions on a case by case basis with contractors and contractors shall demonstrate why the exemption is necessary.



For further information:

- [CLOCS Standard for construction logistics: Section 2.2 - Exemptions](#)

Establishing supply chain compliance

3.1 What should you do to ensure contractors comply?

The *CLOCS Standard* requires that:


- The client should ensure that it is a contractual requirement for the contractor to check vehicles entering site and to take the appropriate action under the contract
- The client should request from the contractor a plan and / or process for complying with the contract
- The client should also undertake regular audits of the contractor's process and compliance checks
- This audit should include random vehicle compliance checks undertaken by the client
- The client may request that every reporting period the contractor should submit to the client a summary of those checks and details the corrective action taken in the case of non-compliance

3.2 Communicating expectations for supply chain compliance


You should keep your supply chain well informed about your expectations and requirements for supply chain compliance.

It is important to make clear within contracts the standards your contractors should meet. You should also set out the roles and responsibilities of your contractor(s) in checking and monitoring compliance to the *CLOCS Standard* at your sites and premises. Plans for addressing non-compliance should also be clearly laid out in the contract. You should make clear whether contractors are empowered to take appropriate agreed action in relation to non-compliance on your behalf.

By using this approach contractors have the opportunity to cost in compliance to their bid, and ensure all parties are clear on their responsibilities.

 **For further information:**

- [CLOCS Guide - Managing supplier compliance: Section 3.3](#)

 **For further information:**

- [CLOCS Guide - Managing work related road risk in contracts](#)
- [CLOCS Compliance Toolkit - Example letter to suppliers](#)

3.3 Allocating roles and responsibilities through the supply chain

Allocation of roles and responsibilities for compliance should be clearly defined throughout the supply chain - client (developer), principal contractor, contractor / supplier and sub-contractor. The whole supply chain needs to take responsibility from client to sub-contractor.

- **Client** (developer mandating use of *CLOCS Standard*) - will be responsible for writing the requirement to complying with the *CLOCS Standard* into contracts. They will also be responsible for ensuring that their principal contractor has a robust system in place for checking other contractors in the supply chain. The client will audit the principal contractor's checking processes. The client will also be responsible for requesting plans for compliance and reports from the principal contractor. Plans for compliance are explained in more detail in section 3.5
- **Principal contractor** (working directly for the client and employing other suppliers / contractors) - will be responsible for writing the requirement to comply with the *CLOCS Standard* into their contracts. The principal contractor will carry out compliance checks of their supply chain to ensure they are meeting the requirements of the *CLOCS Standard*. If other contractors in the supply chain are responsible for running sites the principal contractor will also be required to audit those contractors to ensure they have a robust process in place for carrying out compliance checks
- **Fleet operators** (supplier / contractor / sub-contractor to client or principal contractor) - will be responsible for demonstrating that they meet the requirements set out in their contracts to ensure they comply with the requirements of the *CLOCS Standard*

Table 3.1 shows the supply chain roles and responsibilities in greater detail.

3.4 Auditing the compliance checking process

As a client it is your responsibility to ensure that regular, effective compliance checking is being carried out at your sites.

Once your contractor has established their process for compliance checking, you should carry out regular audits of this process to ensure that compliance checks are being carried out fairly, results are being captured and, where necessary sanctions applied.

The audit process should also include random vehicle compliance checks to ensure that vehicles arriving at site are compliant with the *CLOCS Standard*.

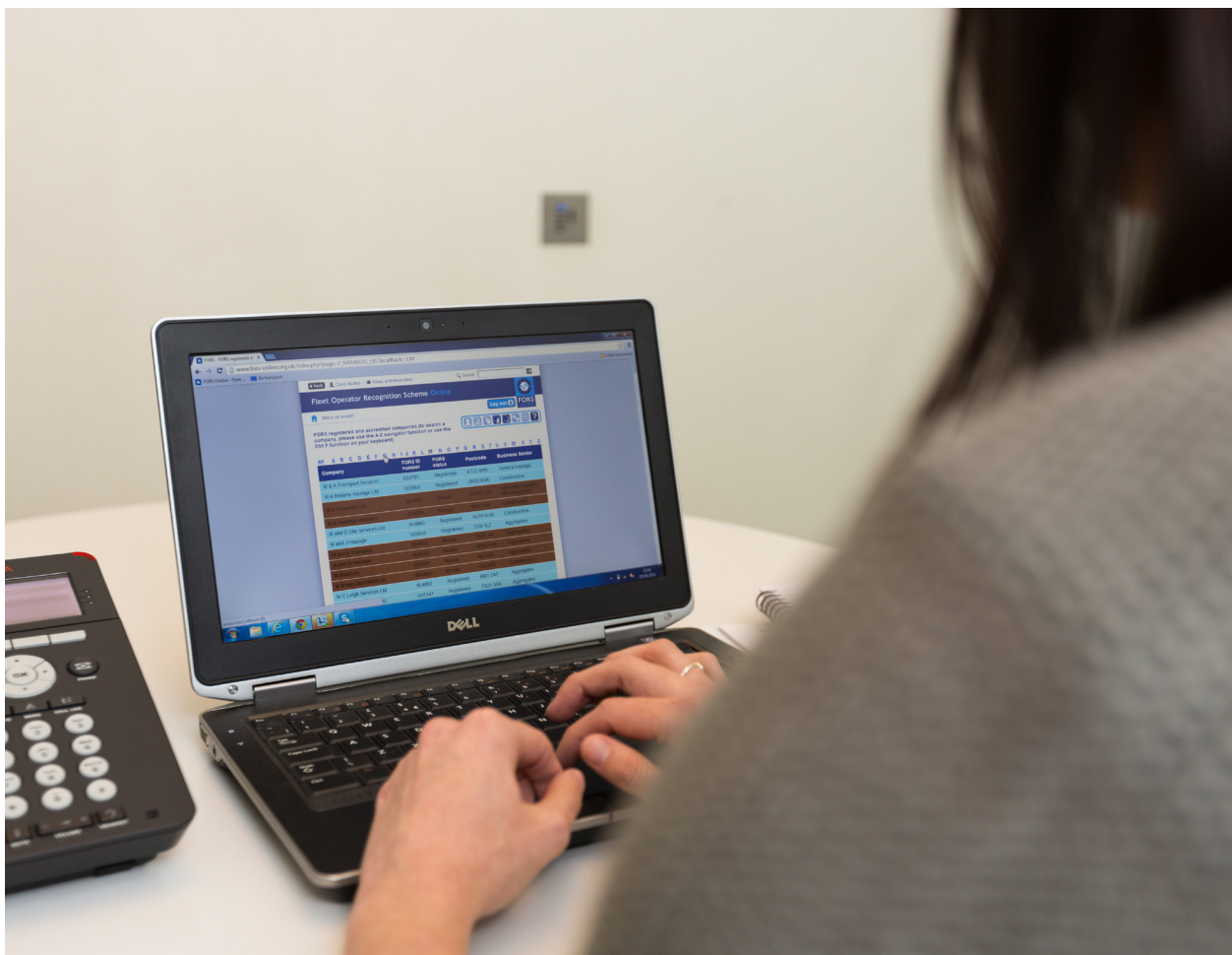


Table 3.1: Roles and responsibilities through the supply chain

Area of responsibility	Client	
	Developer	
Developing and implementing a supply chain compliance strategy	<p>Include in contracts:</p> <ul style="list-style-type: none"> • the <i>CLOCS Standard</i> • requirement to carry out, monitor and report compliance checking results • plans relating to non-compliance • whether contractor is empowered to take action on their behalf <p>Audits contractor’s process for compliance checks</p> <p>Requests summary of checks and action in the case of non-compliance</p>	
Implementing a sanctions and enforcement regime (see also section 3.7)	<p>Define the rules covering sanctions, enforcement and consequences of non compliance</p> <p>Support the principal contractor in communicating the implementation plan</p>	

	Client	Fleet operator
	Construction contractor	All fleet operators
	<p>Include in contracts:</p> <ul style="list-style-type: none"> • the <i>CLOCS Standard</i> • requirement to carry out, monitor and report compliance checking results • plans relating to non-compliance • whether contractor is empowered to take action on their behalf <p>Audits contractor's process for compliance checks</p> <p>Requests summary of checks and action in the case of non-compliance</p> <p>Provides to client a plan or process for monitoring compliance</p> <p>Comply with client audit requests</p> <p>Carries out compliance checks of fleet operators</p> <p>Collects data and analyses levels of compliance</p>	<p>Implement compliance plan, carry out compliance checks, and provide reports to the client or principal contractor in a timely manner</p> <p>Advise delivery schedules</p> <p>Comply with compliance check or audit requests</p> <p>Demonstrate compliance</p> <p>Respond to requests for information in a timely manner</p> <p>Provide evidence of other external audits (e.g FORS)</p>
	<p>Define the rules covering sanctions, enforcement and consequences of non compliance</p> <p>Respond to requests for information from the client in a timely manner</p> <p>Communicate clear plan, respond to non-compliance and report trends with sanctions where required</p> <p>Apply sanctions and enforcement consistently and fairly as per client requirements</p>	<p>Respond to requests for information in a timely manner</p> <p>Apply sanctions to sub-contractors. Work with sub-contractors to understand and address reasons for non-compliance</p> <p>Accept sanctions</p> <p>Implement corrective and preventive actions to prevent recurrence</p>

3.5 Risk profiling your sites

Projects, premises or sites can be assessed as low, medium or high risk depending on the current volume of deliveries and a number of other risk-related criteria.

3.5.1 Determining risk levels

Sites are allocated an overall 'risk level' (low, medium or high) according to the number of 'risk points' accumulated against each criteria. Points are allocated to each criteria based on the impact they have on WRRR. For example, sites based on or close to cycle routes or schools may attract a high risk score as there are likely to be a greater number of cyclists and vulnerable pedestrians in the proximity of the site.

The risk levels may be determined by different criteria, for example:

- Location in busy urban area with high VRU flows
- New suppliers within the supply chain during 'muckaway' phase
- A project with known suppliers

The allocated risk level can change over the phasing of a specific project. For example, a project with a significant 'muckaway' phase with high levels of tipper movements would move to level 3 'high risk' for the duration of that phase only.

It is important to stress that this is merely a suggested approach and that companies should draw up their own criteria and scoring mechanisms which are most relevant for them.

Tables 3.2 and 3.3 show an example risk-based approach depending on the type of activity undertaken.

Table 3.2: Example risk based approach

Example criteria for selection	Low 1 point	Medium 2 points	High 3 points
Vehicle profile (vans and trucks)	Mainly vans	Mixed	Mainly trucks
Location (distance from client specified location)	6 miles plus	3-6 miles	Within 3 miles
Supplier profile (known/unknown)	Known	Mixed	Mainly unknown
Proximity to cycle routes / schools	Not on cycle route	Close to cycle route	On a cycle route
Incident rates related to that site	Low	Medium	High
Current incident trends linked to type of movements to site	No trend	Some trend ¹	Significant trend ²
Number of deliveries per 24hr cycle	0-5	6-15	16 plus

¹ Up to one incident linked to type of movement to site

² More than one incident linked to type of movement to site

Tables 3.3 and 3.4 provide a worked example of the system for the allocation of 'risk points' and the overall risk level.

In this case 13 points are accumulated, resulting in a level 2 medium risk rating.

Table 3.3: Example of how weighting from Table 3.2 will be applied

Criteria for selection	Low 1 point	Medium 2 points	High 3 points
Vehicle profile: All trucks and vans		2	
Location: 5 miles from agreed location	1		
Supplier profile: Known	1		
Proximity to cycle routes / schools used: No	1		
Incident rates related to that site: some trend (tippers)			3
Current incident trends linked to type of movements to site: Some trend (tippers)		2	
Number of deliveries per 24hr cycle:25			3
Total points	3	4	6
Overall total and risk level	13 Points - Medium risk level		

Table 3.4: Example risk levels

Risk level	Points
1 - Low risk	Up to 7 points
2 - Medium risk	8-14 points
3 - High risk	15 points or more

The allocated risk level, which will be monitored and adjusted throughout the contract, will affect the number and type of compliance checks carried out on that project; this is covered in the next section.

3.5.2 Type and frequency of compliance checks

Based on the associated risk, compliance checks should be carried out on an agreed frequency with your contractors. In addition to risk, the level of compliance checking may also be determined by the results of the audits that you carry out on your contractors' compliance checking processes.

For example, if during an audit you encounter a significant number of non-compliant vehicles trying to enter the site, you may decide to increase the level of checking the contractor is required to carry out.

Table 3.5 sets out a suggested approach to applying varying levels of compliance monitoring.

Table 3.5: Example type and frequency of compliance checks

Level	Desk top compliance check frequency	On site compliance check frequency	Operator depot audit frequency
Level 1 (low risk)	6 months	25 per cent	Once a year
Level 2 (medium risk)	3 months	50 per cent	6 monthly
Level 3 (high risk)	1 month	100 per cent	3 monthly

3.6 Plans for compliance

Your contractors and suppliers should be able to demonstrate to you as a client that they are planning to comply with the *CLOCS Standard*. This demonstration should be in the form of a plan or a process setting out how they intend to comply.

This plan may include, for example, evidence of appropriate vehicle and safety equipment procurement, driver training and vehicle routing. An example of the type of plan that a contractor may provide to a client is set out in table 3.6.

As a client you should write the requirement for contractors to comply with the *CLOCS Standard* into your PQQ (pre-qualification questionnaire) and ITT (invitation to tender) process. This will enable potential suppliers or contractors to include costs for compliance within their tender response to the ITT.



For further information:

- [CLOCS Guide - Managing work related road risk in contracts](#)
- [CLOCS Compliance Toolkit](#)

Table 3.6: Example of the type of plan a contractor may submit to their client

Requirement	Plan / process
3.1.1 Quality operation	<p>FORS registration or equivalent application to be submitted at contract award. FORS (or equivalent) accreditation to be obtained within 90 days of contracts start. Evidence of registration and FORS accreditation to be supplied to the client within two days of notification</p> <p>Details of any revocation, suspension or restriction to the Operator’s Licence will be notified within five business days</p>
3.1.2 Collision reporting	<p>Statistics will be collated in-house using the CLOCS collision reporting spreadsheet or uploaded to FORS Collision Manager, the online reporting system</p> <p>Reports will be copied to the client quarterly</p> <p>Any major incidents, including any fatalities, will be reported to the client within four hours</p>
3.1.3 Traffic routing	<p>Evidence of route plans supplied to drivers</p> <p>Evidence of policy issued to drivers on following route plans and circumstances (if any) in which deviations are allowed</p> <p>Method of recording deviations</p> <p>List of deviation records will be provided to the client on a monthly basis, or on request</p>
3.2.1 Warning signage 3.2.2 Side under-run protection 3.2.3 Blind -spot minimisation 3.2.4 Vehicle manoeuvring warnings	<p>Signage to be procured at contract award and fitted, or retro-fitted, across the whole fleet at contract start date</p> <p>Side under-run protection, blind spot minimisation and vehicle manoeuvring warning systems to be procured at contract award and fitted, or retro-fitted, across the whole fleet within 90 days of contract start</p> <p>All hire vehicles, including short-term hire, to include warning signage, side under-run protection, blind-spot minimisation and vehicle manoeuvring warning systems</p>

Requirement	Plan / process
3.3.1 Training and development	Gap analysis to be completed to identify all drivers requiring Safe Urban Driver (SUD) training. SUD training is planned to start within one week of contract award and all drivers on the contract to be trained in Safe Urban Driving within 30 days of contract start. Progressive training requirements will be met in line with the specific CLOCS supplementary guidance on this topic. New drivers to receive SUD training prior to working on this contract
3.3.2 Driver licensing	Gap analysis to be carried out to identify points on licences for all drivers. Driver licensing check requirements will then be met in line with the specific supplementary guidance on this topic. Frequency will be determined by points; training has been arranged for in-house staff to carry out some of these checks along with DVLA checks. New driver licences to be checked prior to employment

A supplier / contractor may also demonstrate plans to comply with the *CLOCS Standard* by:

- Committing to become FORS silver accredited, a higher level of accreditation that incorporates the same WRRR requirements as the *CLOCS Standard*
- Evidencing compliance with the terms of contracts with other clients who have already included the *CLOCS Standard* in their procurement process

Principal contractors or contractors managing your sites should also be asked to provide you with a plan for complying with the contract. This should include details of the physical compliance checking process and the tools they will use to do this.

3.7 Collaboration

Where you have multiple contractors working in a supply chain, you should encourage collaborative arrangements for conducting compliance checks and for the exchange of compliance check information.

This can help avoid operators receiving multiple requests and contractors receiving multiple evidence of checks within the same supply chain.

3.8 Data collection and analysis

It is important that you have a system which facilitates the collation of vehicle compliance check and company audit data and permits the analysis of trends.

Different data collection systems can be used, with both technical and non-technical solutions available. Checking systems range from simple paper based check sheets through to use of PDAs (personal digital assistant), tablets and mobile phone applications.

A paper-based check form is a useful starting point to assess your approach prior to committing to potential investment in technology. An example compliance check form is provided in Appendix 1.

The CLOCS programme is currently exploring the development and publication of a data standard to assist in the storage and transfer of WRRR Compliance data. If you are interested in the electronic storage of this data then please contact: enquiries@clocs.org.uk for more information.

Whichever method you use, good data collection measures are essential to help you identify and manage instances of non-compliance.

Reporting of data, whether collated manually or electronically, should cover the following areas as a minimum:

- Number and type of audits carried out (desk top, operator depot, site)
- Number and type of vehicles audited at each site

- Number and percentage of non-compliances found, broken down into:
 - Operator non-compliance
 - Vehicle non-compliance
 - Driver non-compliance

More detailed information can also be supplied on the specific aspects of non-compliance, for example the name of the haulier, vehicle registration and aspect of non-compliance. A reason for non-compliance should also be provided.

You should analyse trends from the data, for example:

- Most common area of non-compliance
- What is the split across vehicle non-compliance areas, and the reasons why e.g. missing / defective equipment
- Is driver licensing or driver training more of an issue?
- Non-compliance aspects found at specific sites
- Top five list of non-compliant hauliers across all sites

3.9 What are the requirements for corrective action in the case of non-compliance?

One way of targeting corrective action is to develop an escalation procedure which can be invoked by the procurement or contract manager at their discretion in the event of the contractor / sub-contractor failing to comply with the *CLOCS Standard*. An example of an escalation procedure is shown in table 3.7. Table 3.8 shows example actions required at each level of non-conformance.

The purpose of an escalation procedure is to provide a structured framework within which the parties can resolve grievances against timescales and deliverable targets. For the purposes of this example, notified levels of poor performance will be termed 'Non-Conformances'.

This procedure operates with four levels; the lowest level of non-conformance being level 1. Should non-conformances escalate they need to receive an appropriate level of management intervention from the relevant procurement / contract manager and the supplier. Level 3 gives final review and an opportunity for remedial actions to resolve issues before the non-conformance reaches level 4, which could lead to formal contractual action, following agreement by relevant procurement / contract managers.

In the event that a performance issue is not resolved between the relevant contract manager and the supplier then the non-conformance may be raised formally to a level 1 or level 2 non-conformance, depending upon the severity of the performance failure. It is possible for a number of level 1 and/or level 2 issues to be in hand at any one time.

Issues should be resolved locally on a day-to-day basis to the mutual satisfaction of all parties and not be raised to level 1 without prior endeavours to resolve. At this stage of the process, you may decide to ask your supplier to supply a root cause analysis and a recovery plan.

The process of corrective action should be included within the rules covering sanctions, enforcement and consequences of non compliance provided to suppliers by the client.

If non-compliance is not resolved and reaches level 4 then sanctions are imposed on the offending company which may include a site ban, retention of revenue, the removal of the supplier from the supply list and formal contractual action being taken.

It is important to recognise that any corrective action or sanctions taken shall be proportionate to the non-compliance and does not inadvertently create a bigger risk. For example turning away a vehicle that does not fully meet the safety equipment requirements would create additional trips to the site. For a first time occurrence this may be deemed a level 1 non compliance, resulting in a warning letter, rather than refusing the vehicle access to the site. However, where very a serious issue is detected, for example an un-licensed driver, it would be acceptable for the site to refuse entry and for the appropriate authorities to be notified.

More information on enforcement procedures can be found in *Work Related Road Risk requirements: Managing contract compliance*. This toolkit also provides detailed tools for:

- Procurement, contract and commercial managers / staff
- Site managers
- Compliance checkers / auditors
- Suppliers

For further information:

- [Work Related Road Risk requirements: Managing contract compliance](#)
- [CLOCS Compliance Toolkit - Driver non-conformance notification](#)



Table 3.7: Example escalation procedure based on non-conformances by company

Trigger	Level of non-compliance	Action	
First non-conformance	Level 1	Improvement plan with precise end date required. On-going review dates specified	
Second non-conformance Consistent failure to meet required requirement Safety condition infringements	Level 2	Improvement plan with precise end date required. Ongoing review dates specified	
Third non-conformance	Level 3	Final review. Final opportunity for remedial action. Precise end date required. Possible formal contractual action may be taken or other remedy if appropriate	
Fourth non-conformance	Level 4	Formal contractual action may be taken. This may be termination of contract (subject to the ability to do this within existing contract T&Cs)	

	By whom	Result
	i) Contract manager ii) Supplier	Satisfactory - Stop Unsatisfactory - Level 2
	i) Contract manager ii) Supplier	Satisfactory - Stop Unsatisfactory - Level 3
	i) Contract manager ii) Supplier iii) Commercial manager iv) Health and safety v) Legal	Satisfactory - Stop Unsatisfactory - Level 4
	i) Procurement manager ii) Contract manager iii) Legal	

Table 3.8: Example of action required at each level of non-conformance

Action required	
Level	Client / Principal contractor role
Level 1	<p>Send written notice to supplier detailing:</p> <ol style="list-style-type: none"> 1. Action required by supplier 2. Rectification period 3. All level 1 non-conformances will be reviewed every accounting period at senior manager level meetings to prevent reoccurrence
Level 2	<p>Send written notice to supplier detailing:</p> <ol style="list-style-type: none"> 1. Action required by supplier 2. Rectification period 3. All level 2 non-conformances will be reviewed every accounting period at senior manager level meetings to prevent reoccurrence
Level 3	<p>Send written notice to supplier detailing:</p> <ol style="list-style-type: none"> 1. Action required by supplier 2. Deadline for report to be submitted 3. All level 3 non-conformances will be reviewed every accounting period at director / senior management meetings <p>List of all companies at level 3 or above to be sent to site managers at regular intervals</p>
Level 4	Client entitled to take formal contractual action

A checklist for clients and principal contractors managing the initial set up and ongoing supply chain compliance of their suppliers is provided in Appendix 2.

Contractor / supplier role		Result
	<p>Submit level 1 non-conformance report to relevant contract manager within five working days of service of the notice</p> <p>Non-conformance report to include:</p> <ol style="list-style-type: none"> 1. Confirmation of date and details of the non-conformance 2. Action supplier will take to rectify non-conformance 3. The timeframe in which action is to be completed which shall not be more than the level 1 rectification period 4. Evidence that action has been taken 	<p>Satisfactory - Stop</p> <p>Unsatisfactory - Level 2</p>
	<p>Submit level 2 non-conformance report to relevant contract manager within five working days of service of the notice</p> <p>Non-conformance report to include:</p> <ol style="list-style-type: none"> 1. Confirmation of date and details of the non-conformance 2. Action supplier will take to rectify non-conformance 3. The timeframe in which action is to be completed which shall not be more than the level 2 rectification period 4. Evidence that action has been taken 	<p>Satisfactory - Stop</p> <p>Unsatisfactory - Level 3</p>
	<p>Submit level 3 non-conformance report to relevant contract manager within 2 months from the time of occurrence</p> <p>Non-conformance report to include:</p> <ol style="list-style-type: none"> 1. Confirmation of date and details of the non-conformance 2. Action supplier has taken, or will take to rectify non-conformance 3. Evidence that action has been taken 	<p>Satisfactory - Stop</p> <p>Unsatisfactory - Level 4</p>
		<p>Formal contractual action</p>

3.10 Keeping your supply chain compliance strategy up to date

It is essential that your supply chain compliance strategy evolves to meet the changing demands of contracts, technological developments in vehicle safety equipment and emerging practices in vulnerable road user training for drivers.

You should agree a review date for your supply chain compliance strategy which should be on at least an annual basis.

Regularly reviewing your strategy will enable you to update it with feedback from both procurement / contract managers and your suppliers. Lessons learnt should be taken into account together with trends from analysing your compliance check data and the number and severity of cases that have been escalated.



Next steps and further information

4.1 Next steps

The *CLOCS Standard for construction logistics: Managing work related road risk* is a key step in improving the management of work related road risk by providing a common standard for use by UK authorities and construction logistics clients and operators.

This guide has been produced in close collaboration with construction industry organisations and associations. The information provided in this guide is emerging practice and will be kept under review in order to take into account collective feedback, new research findings and new industry practices in relation to managing work related road risk.



4.2 Further information

For further information visit www.clocs.org.uk

An electronic version of this document can be downloaded from the following link:
<http://www.clocs.org.uk/clocs-guides/>

The CLOCS Standard for construction logistics: Managing work related road risk (WRRR) can be downloaded from the following link:
<http://www.clocs.org.uk/standard-for-clocs/>

CLOCS Guides, Toolkits and associated forms can be downloaded from:
<http://www.clocs.org.uk/clocs-guides/>

- CLOCS Guide - Managing driver training and licensing
- CLOCS Guide - Managing work related road risk in contracts
- CLOCS Guide - Managing supplier compliance
- CLOCS Guide - Vehicle safety equipment
- CLOCS Toolkit - Managing collision reporting and analysis
- CLOCS Compliance Toolkit

Further information can be found in the following publications:

Work Related Road Risk requirements: Managing contract compliance
<http://www.tfl.gov.uk>

Construction logistics and cyclist safety - summary report
Transport Research Laboratory
http://www.trl.co.uk/online_store/reports_publications/trl_reports/cat_road_user_safety/report_construction_logistics_and_cyclist_safety_summary_report.htm

Construction logistics and cyclist safety - full technical report
Transport Research Laboratory
http://www.trl.co.uk/online_store/reports_publications/trl_reports/cat_road_user_safety/report_construction_logistics_and_cyclist_safety_technical_report.htm

Driving at work: Managing work-related road safety
Department for Transport / Health and Safety Executive
<http://www.hse.gov.uk/pubns/indg382.pdf>

Construction Logistics Plan Guidance for developers
Transport for London
<http://www.clocs.org.uk/wp-content/uploads/2014/05/construction-logistics-plan-guidance-for-developers.pdf>

Construction Logistics Plan Guidance for planners
Transport for London
<http://www.clocs.org.uk/wp-content/uploads/2014/05/construction-logistics-plan-guidance-for-planners.pdf>

Further information on the Fleet Operator Recognition Scheme (FORS) is available from
www.fors-online.org.uk

Example of a paper based compliance check form

Compliance check form

Name of checker:	<input type="text"/>	Date:	<input type="text"/>	Time:	<input type="text"/>
Site:	<input type="text"/>				
Company name:	<input type="text"/>				
Driver name:	<input type="text"/>				
Employed by:	<input type="text"/>				

Vehicle type:		Body type:	
Van <3.5t	<input type="checkbox"/>	Tipper	<input type="checkbox"/>
Lorry >3.5t <7.5t	<input type="checkbox"/>	Mixer	<input type="checkbox"/>
Lorry > 7.5t rigid	<input type="checkbox"/>	Tanker	<input type="checkbox"/>
Lorry drawbar and trailer	<input type="checkbox"/>	Other (specify)	<input type="text"/>
Lorry articulated	<input type="checkbox"/>	Crane	<input type="checkbox"/>
Specialist vehicle	<input type="checkbox"/>	Refuse	<input type="checkbox"/>
		Skip lorry	<input type="checkbox"/>
		Vehicle registration:	<input type="text"/>

Quality operation (FORS or equivalent)			
Accredited:	Yes	<input type="checkbox"/>	No
Bronze:	<input type="checkbox"/>	Registered:	<input type="checkbox"/>
Silver:	<input type="checkbox"/>	None:	<input type="checkbox"/>
Gold:	<input type="checkbox"/>		

Driver			
Licence:	In date:	<input type="checkbox"/>	Category
			<input type="checkbox"/>
Training	Vulnerable road users	<input type="checkbox"/>	Invalid/no licence carried
			<input type="checkbox"/>
			Vehicle safety equipment
			<input type="checkbox"/>

Vehicle			
	Fitted and serviceable	Fitted but not serviceable	Not fitted
Pictorial stickers and markings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sideguards N/S	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sideguards O/S	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Class VI mirror	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Front nearside blind-spot camera	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rear view camera	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fresnel lens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sensor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Left turn audible warning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Right turn audible warning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reversing audible warning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Continued overleaf...



Continued overleaf...

Comments	
	Comments

Declaration				
Letter of non-conformance issued to driver	Yes:	<input type="text"/>	No	<input type="text"/>
Signed by driver	<input type="text"/>		Date:	<input type="text"/>

Supply chain compliance checklist

Clients and principal contractors

- Ensure contractors have understood the requirements in detail and that they will be audited
- Put together an audit plan internally covering all the key contractors in the first instance, with a secondary plan to cover all the other suppliers in scope. This plan should be risk-based and include a mixture of:
 - Site visits to specific company premises to audit a cross-section of their vehicles and company procedures
 - Visits to live operating sites where a mix of vehicles and drivers will be audited, including the driver training and company's accreditation to FORS
 - Requirement for self-audit of the contractor with detailed output expectations
- Communicate to all affected contractors that there will be a mix of pre-notified and ad hoc audits, and notify them where applicable. Advise them of the notification period (e.g. five days' notice will be given for visits to your premises)
- Ask them to advise their sub-contractors of up-coming audits, where they may be affected
- Remind them of the sanctions for non-compliance
- Ensure that sanctions are applied across the board and in a fair manner, including the withholding of any revenue at risk or administration and

monitoring of driver or sub-contractor bans

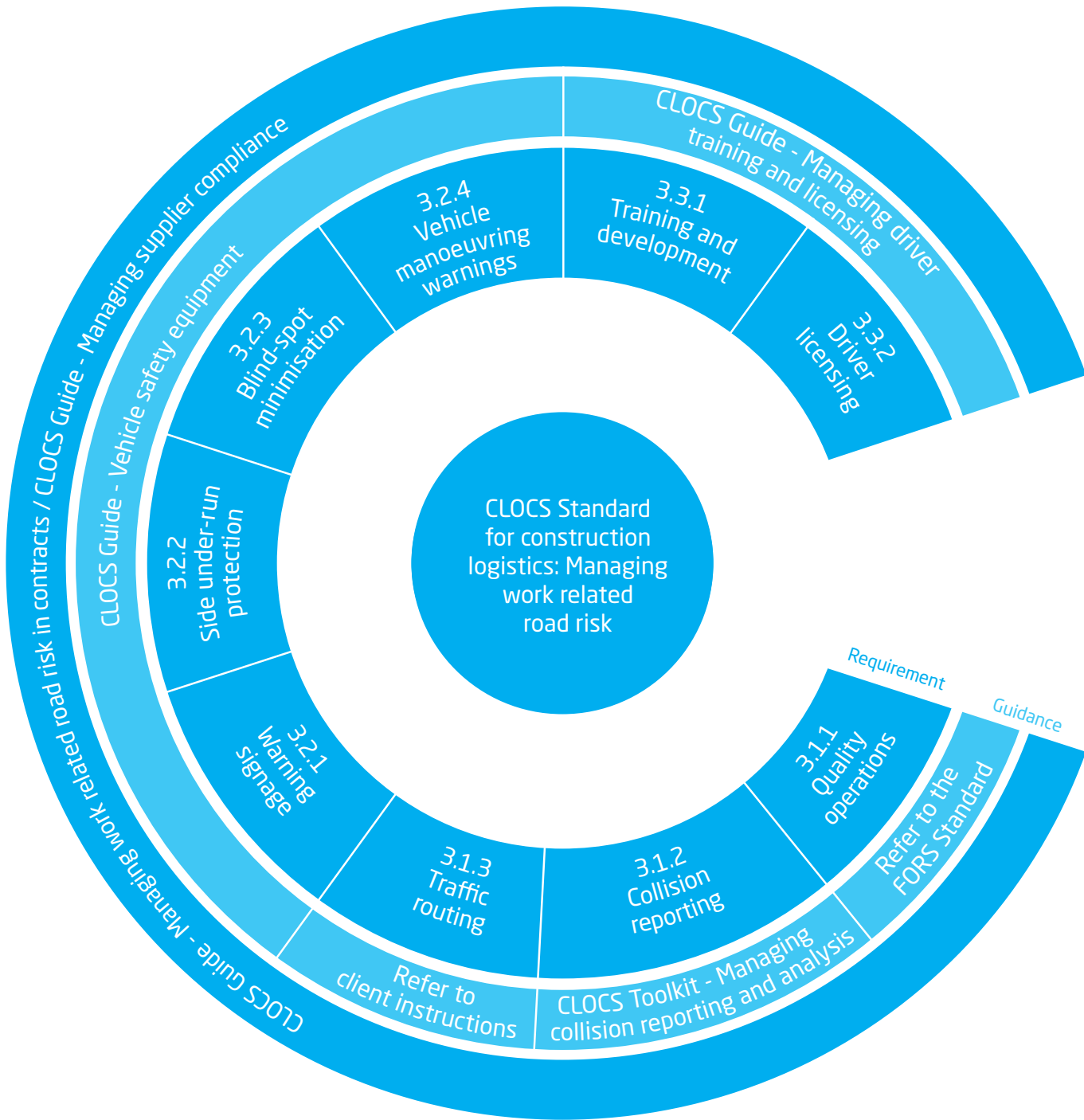
- Monitor trends and implement any preventive and corrective actions to avoid future non-compliance recurring

Their supply chain

- Make it clear to contractors that they are expected to audit their own supply chain, and provide evidence of this in a regular basis (this could include them doing their own checks on sub-contractor vehicles, drivers, training and FORS accreditation)
- Provide an audit template to make the process consistent across all contractors
- Ask for written evidence of these audits to a pre-agreed schedule (e.g. quarterly audits for high risk contractors with a significant supply chain)
- Ask how contractors are managing examples of non-compliance
- Ensure that site audits include a cross-section of sub-contractors' vehicles
- Remind the contractors that sanctions for non-compliance will be applied whether the supplier is first, second or third tier
- Ensure that sanctions are applied across the board and in a fair manner, including the withholding of any revenue at risk or administration and monitoring sub-contractor bans
- Monitor trends and implement any preventive and corrective actions to avoid future non-compliance recurring

Disclaimer

This guide is issued by the CLOCS working group. Following the guide is not compulsory and you are free to take other action. Regulators seek to secure compliance with the law and may refer to this guide as illustrating good practice.



About CLOCS Guides

This guide is part of a series of documents developed by the CLOCS working group. The guides are designed to help construction sector clients and logistic operators implement and comply with the *CLOCS Standard for construction logistics: Managing work related road risk*.