

Levels of compliance: Checking and monitoring process

Contractual compliance:

	Name	Tools and guidance
Stage: A	<p>Compliant contracts</p> <p>Relevant contracts include CLOCS work related road risk clauses</p> <p>Suppliers informed</p> <p>For new contracts use of pre-qualification questionnaire to ensure suppliers compliant prior to award</p>	<ul style="list-style-type: none"> • CLOCS Guide: Managing work related road risk in contracts • Example CLOCS contractual clauses • Example letter to suppliers • Appendix: CLOCS requirements • CLOCS compliance check leaflet
Stage: B	<p>Self-certification by supplier</p> <p>Issue and monitor responses</p>	<ul style="list-style-type: none"> • Self-certification form • Example letter to suppliers
Stage: C	<p>Follow-up through contracts</p> <p>Follow up on self certification forms not returned and non-compliant forms</p> <p>Check compliance against information held online</p> <p>Reminder to suppliers</p> <p>Make contact with supplier and agree remedial action</p> <p>Follow up on non-conformance reports received from on-site compliance checking</p> <p>Make contact with supplier and agree remedial action or take appropriate commercial action</p>	<ul style="list-style-type: none"> • Example letter to suppliers • FORS Online check: http://www.fors-online.org.uk/memberslist.php • CLOCS compliance check leaflet • Compliance check form • Non-conformance report template

continued overleaf...



On-site compliance:

	Name	Tools and assistance
Level: 1	Monitor compliance levels on-site Compliance checks carried out using check form	<ul style="list-style-type: none">• Compliance check form and non-conformance report template• CLOCS compliance check leaflet• Workplace poster
Level: 2	Warnings issued to non-compliant vehicles Compliance checks carried out using check form Compliance officer issues driver non-conformance notification	<ul style="list-style-type: none">• Compliance check form and non-conformance report template• Driver non-conformance notification• CLOCS compliance check leaflet• Workplace poster
Level: 3	Refuse access to non-compliant vehicles Compliance checks carried out using check form Vehicle and driver turned away as a material breach of contract has occurred. Recorded as a 'failed delivery' Driver issued with non-conformance notification Follow-up with operator through Stage C, Contractual Compliance	<ul style="list-style-type: none">• Compliance check form and non-conformance report template• Driver non-conformance letter• CLOCS compliance check leaflet• Workplace poster

Further information:

CLOCS Guide: managing supplier compliance
www.clocs.org.uk/clocs-guides



Looking out
for vulnerable
road users

www.clocs.org.uk