Section Five – Operational Management

5.1 Insurance

All relevant insurance is in place to ensure all liabilities are covered, check insurance documents are valid and minimum cover is in line with current legislation. Employers' liability insurance is a legal requirement

In point 5.1 In this section, you need to enter the following details in your audit template

1. Is there a clearly documented policy in place to ensure that the operator has, as a minimum valid third-party insurance in place for their motor vehicles in the scope of this scheme, public and employer liability insurance.
2. Who is responsible for ensuring the correct level of insurance is maintained?
3. Who is responsible for ensuring the correct level of insurance is maintained?
4. Confirm that the Insurance is valid and incorrect name of entity.
5. Detail insurance schedules note policy numbers, expiry dates, name of insurer and type of insurance held.
6. Is employers' liability insurance certificate displayed at the operating centre? This can be done electronically but all staff must be able to access it.
7. List any additional insurances held, give details of fidelity bonds, goods in transit, professional indemnity.

5.2 Vehicle excise duty

The operator must have a robust process in place to deal with the timely renewal of road fund licence for all vehicles in the fleet and in all cases at the correct revenue rate.

The operator should have a forward planning process in place to administrate this, which may be incorporated into other aspects of the business.

In point 5.2 In this section, you need to enter the following details in your audit template

1. Give details of the system used for renewing vehicle excise duty
2. Give details of how expiry dates are monitored
3. Confirm details of the fleet against payments to ensure the correct duty is being paid, evidence vehicles checked
4. When a vehicle is off the road (SORN) what is the process used with regards to claiming back outstanding vehicle excise duty
5. Who is responsible for actioning the above and where and how is it recorded
6. When a vehicle is put back into service, whose responsibility is it to ensure the vehicle has vehicle excise duty added before the vehicle is used

5.3 Vehicle weight and height compliance

The operator will have clear processes in place to ensure no vehicle is used on a public highway when any weight limit is exceeded. The operator should hold data of known vehicle and axle weights and have documented training processes in place for all staff affected.

The operator will have a process to ensure every driver is aware of the height of their vehicle, and every vehicle is routed by the operator to avoid low bridges, confirm that procedures are in place to ensure the driver only uses the approved route.

It is the transport manager’s responsibility to ensure that a procedure is in place for drivers to check that the correct maximum height is displayed in their cabs

In point 5.3 In this section, you need to enter the following details in your audit template

1. Give details of the policy in place to monitor weight compliance, give the policy name, number, and an overview of the content
2. How is the weight of the vehicle, load, axle weights, and fuel calculated and monitored?
3. Evidence the policy has been read and understood by all staff
4. Give details of the process used to monitor weight compliance in relation to gross vehicle weight and type of vehicle
5. Name the person responsible for ensuring only the correct vehicles are used
6. What is the process for reporting issues relating to weight?
7. How is the weight of laden vehicles monitored and recorded, for example, onboard weigh scales, load planners, or weighbridge
8. When collections are carried out during the day how does the driver ensure the correct weight has been allocated and the load is distributed in accordance with gross vehicle weight (GVW) and axle weights
9. Give evidence of staff training regarding vehicle weights and load distribution, CPC courses, toolbox talks, bridge strike awareness and driver inductions
10. Confirm that training includes GVW and axle weights
11. Does the training cover distribution of part loads?
12. Confirm that there is a policy in place for checking the height of the load in relation to the route taken
13. Are vehicles fitted with any additional height warning sensors?
14. How is the height of the load calculated?
15. Does the policy include avoidance of low bridges?
16. Evidence the policy has been read and understood by all staff

5.4 Load security and equipment

Effective load securing prevents goods from falling onto roads causing danger to other road users, it also saves money by ensuring that goods arrive at their destination undamaged.

There must be processes in place to ensure drivers and loaders are properly trained and given the right equipment to maintain safe loads.

Staff should use appropriate equipment in the correct manner, in line with user instructions and health and safety requirements.

In point 5.4 In this section, you need to enter the following details in your audit template

1. Confirm that there is a policy in place for loading, unloading and load security, give the policy name, number, and review date
2. Who is the person responsible for ensuring compliance with the policy
3. Give an overview of the process used to ensure the safe loading or unloading of vehicle, strapping, securing of load and load securing equipment.
4. Evidence that the staff have been trained in relation to safe loading, security of loads, types of restraints used for specific loads carried
5. Is the training given in-house/external for loading equipment such as electric pallet trucks, use of tail lifts, MOFFETT'S and forklift trucks
6. Are staff trained in how to ensure restraints are fit for purpose
7. Is manual handling training given? If so, when was the last time, and how frequently
8. Are consignor load plans in use? If so evidence details. If not, how is the load plan decided and by who?
9. Who is responsible for producing the plan?

5.5 specialist equipment or loads

Where specialist equipment or unusual loads are concerned, the operator must demonstrate there are additional processes in place to effectively manage the type of operation and specialism involved, including training, certification and management of health and safety

Mobile cranes are not exempt from plating and testing regulations.

In point 5.5 In this section, you need to enter the following details in your audit template

1. Does the operation have any requirement for special equipment to be used in the transport of goods?
2. Give details of any special type vehicles, trailers, or equipment used in connection with the operation. For example, Special Types General Order (STGO)
3. Are long semi-trailers used? If so, give details of the volume and what training is given to drivers.
4. Is there a policy in place to ensure compliance with the use and management of special equipment, vehicles or trailers, give the policy number, name and review date?
5. Who is the person responsible for compliance with the policy?
6. Give an overview of policy details - such as safe management of equipment, responsibilities, and maintenance provisions
7. Give details of categories and types of loads carried, including delivery of abnormal indivisible loads (AIL)
8. Evidence of the process used to ensure the correct documentation has been applied for STGO (Section 44 Permits), process to alert police or highways? Give details.
9. Evidence of the process in place to ensure general maintenance and plating of specialist equipment, trailers, and vehicles
10. Give details of Lifting Operations and Lifting Equipment Regulations (LOLER) certificates.
11. Give details of any training given on specialist operations, equipment, refresher dates or toolbox talks and the frequency of training.

5.6 Agency Drivers

The operator and transport manager or responsible person must demonstrate a process that applies the same high overall standard as applies to employed staff and drivers.

Due diligence must be shown and robust contractual arrangements between the operator and any agency must be evidenced.

In point 5.6 In this section, you need to enter the following details in your audit template

1. Is there a preferred supplier list in place?
2. Is there evidence of contractual arrangements between the operator and the agency
3. Are contracts and service level agreements in place with all agencies used
4. Give details of contractual agreement/service level agreement relating to driver checks carried out, returning of records, and disciplinary action taken by the agency.
5. Are all agencies compliant in relation to the standards set by REC or working towards these standards?
6. Are driver inductions undertaken with agency drivers?
7. Is a driver assessment undertaken with a Highway Code and drivers' hour's knowledge test carried out?
8. How frequently are checks carried out and by who
9. Evidence driver card is downloaded and checked to ensure the driver is legal to carry out the day's duties prior to starting the shift.
10. Evidence of the driver card is downloaded at the end of the working day to ensure the capture of that day's data.
11. How are agency drivers' working time directives and drivers' hours monitored? And how often?
12. Who is responsible for overseeing this?
13. Detail the auditing process on the recruitment agencies, recruiting process, application form, health questionnaire, frequency of licence checks and working time directive records.
14. Proof of process in place to inform the agency of, and deal with non-compliant drivers.
15. Give details of records of issues, investigations and action were taken.

5.7 Sub-contractor hauliers

There must be evidence of a management process that prohibits activities that could be given to subcontractors which cannot be conducted legally.

In point 5.7 In this section, you need to enter the following details in your audit template

1. Is there evidence of a sub-contractor list
2. Is there a preferred sub-contractor list
3. Who is responsible for ensuring contractors and sub-contractors are suitable for carrying out the work required?
4. Who is responsible for auditing or checking compliance with contractors?
5. Are service level agreements and contracts in place
6. Give details of the process used to check insurance, maintenance, and drivers' qualifications. How frequently are these records checked?
7. Are there any clauses in the contract to declare regulatory action from traffic commissioners?
8. What checks are carried out on sub-contractors in relation to compliance with Work-Related Road Safety standards
9. What are the consequences of non-compliance?
10. How is the sub-contractor made aware of its obligations?
11. What is the process to ensure Disclosure and Barring Service checks (DBS) are carried out prior to commencement of duty, where required?

5.8 Hiring Vehicles

Where vehicles are hired arrangements must be in place to monitor their use and maintenance requirements in line with that of the operator.

Checks must be carried out on the vehicles prior to them being put into service to ensure all maintenance requirements have been met.

- vehicles may be hired for as long as required provided the operator does not operate more than the total number of vehicles authorised on their licence
- the operator must display their own discs in these hired vehicles
- procedures must be in place to ensure hired vehicles are maintained to the same standards and frequency as the operator's own vehicles

In point 5.8 In this section, you need to enter the following details in your audit template

1. What is the process in place to verify paperwork is checked to ensure the vehicle is correctly maintained prior to being put into service?
2. How are these checks carried out and by who? Give details of evidence seen.
3. What is the procedure used to ensure that all hire vehicles are maintained to the required standard and frequency used by the operator for their own fleet?
4. Detail the Documents in place in relation to hire agreements.
5. Give details of who is responsible for the maintenance and repair requirements and how it is effectively managed

5.9 International operations and cabotage

International operators who conduct haulage work inside a single other member states (known as cabotage) must have processes to ensure that operations meet the cabotage regulations.

Processes must be documented, responsibilities clearly communicated, and performance reviewed at least annually.

In point 5.9 In this section, you need to enter the following details in your audit template

1. Give details of the policy for management of the UK licence for the community, to ensure the operator meets the cabotage regulations
2. Give policy name, number, and review date
3. Does the policy identify and give instructions to those responsible for ensuring the standard is met, together with evidence of the process?
4. Are there copies of regular review reports for the previous 12 months?
5. What is the process to ensure the correct documentation is carried for the vehicle, trailer, and driver on international journeys?
6. Who is the person responsible for ensuring the documentation required for the international journey is correct and present
7. Evidence of the UK licence for the community is stored securely in the office
8. What process is in place for the use of vehicles exceeding 2500kg maximum authorised mass (MAM) used on international journeys for hire and reward?
9. Give details of the process used to ensure the light goods vehicles are specified on the licence.
10. Who is the person responsible for the registration of international journeys?
11. Give evidence of the process and give details of the last journey registered.