

# Levels of compliance: Checking and monitoring process

## Contractual compliance:

Name	Tools and guidance
<p><b>Stage: A</b></p> <p><b>Compliant contracts</b></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"> <li>-SVL</li> <li>CLOCS Guide: Managing work related road risk in contracts</li> <li>Example CLOCS contractual clauses</li> <li>Example letter to suppliers</li> <li>CLOCS compliance check leaflet</li> </ul>
<p><b>Stage: B</b></p> <p><b>Self-certification by supplier</b></p> <p>Example letter to suppliers</p>	<p>Example letter to suppliers</p>
<p><b>Stage: C</b></p> <p><b>Follow-up through contracts</b></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"> <li>FORS Online check: GSOMOF SVLI OCSE</li> <li>CLOCS compliance check leaflet</li> <li>Compliance check form</li> <li>Non-conformance report template</li> </ul>

**On-site compliance:**

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

**Further information:**

**CLOCS Guide: managing supplier compliance**

[www.clocs.org.uk/resources.php](http://www.clocs.org.uk/resources.php)