TECHNICAL SPECIFICATION

ISO/IEC TS 17021-7

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Conformity assessment — Requirements for bodies providing audit and certification of management systems —

Part 7:
Competence requirements for auditing and certification of road traffic safety management systems

Évaluation de la conformité — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management —

Partie 7: Exigences de compétence pour l'audit et la certification des systèmes de management de la sécurité du trafic routier

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of conformity assessment, the ISO Committee on conformity assessment (CASCO) is responsible for the development of International Standards and Guides.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

Draft International Standards are circulated to the national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of document:

— an ISO/IEC Publicly Available Specification (ISO/IEC PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;

— an ISO/IEC Technical Specification (ISO/IEC TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/IEC/TS 17021-7 was prepared by the *ISO Committee on conformity assessment* (CASCO).

ISO/IEC 17021 consists of the following parts, under the general title *Conformity assessment — Requirements for bodies providing audit and certification of management systems:*

— *Part 2: Competence requirements for auditing and certification of environmental management systems* [Technical Specification]

— *Part 3: Competence requirements for auditing and certification of quality management systems* [Technical Specification]

— *Part 4: Competence requirements for auditing and certification of event sustainability management systems* [Technical Specification]

— *Part 5: Competence requirements for auditing and certification of asset management systems* [Technical Specification]

— *Part 6: Competence requirements for auditing and certification of business continuity management systems* [Technical Specification]

— *Part 7: Competence requirements for auditing and certification of road traffic safety management systems* [Technical Specification]

The next revision of ISO/IEC 17021:2011 will reflect the different parts and will become ISO/IEC 17021-1.

Introduction

ISO 39001 provides a tool to help organizations reduce, and ultimately eliminate, the incidence and risk of death and serious injury related to road traffic crashes and promotes the Safe System approach. Certification to ISO 39001 is one way of demonstrating that a systematic approach to road traffic safety (RTS) management has been taken.

RTS management system certification personnel need to have the generic competencies described in ISO/IEC 17021:2011, as well as the specific RTS management system competencies described in this Technical Specification.

This Technical Specification complements ISO/IEC 17021:2011. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021:2011, Annex A.

The guiding principles in ISO/IEC 17021:2011, Clause 4, are the basis for the requirements in this Technical Specification.

Certification bodies have a responsibility to interested parties, including their clients and the customers of the organizations whose management systems are certified, to ensure that RTS certification is credible by only using certification personnel that have demonstrated relevant competence.

In this Technical Specification, the following verbal forms are used:

— "shall" indicates a requirement;

— "should" indicates a recommendation;

— "may" indicates a permission;

— "can" indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2.

For the purposes of research, users are encouraged to share their views on this Technical Specification and their priorities for changes to future editions. Click on the link below to take part in the online survey:

https://www.surveymonkey.com/s/B23RCVG

Conformity assessment — Requirements for bodies providing audit and certification of management systems —

Part 7:
Competence requirements for auditing and certification of road traffic safety management systems

1   Scope

This Technical Specification complements the existing requirements of ISO/IEC 17021:2011. It includes specific competence requirements for personnel involved in the certification process for road traffic safety (RTS) management systems.

2   Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17021:2011, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*

ISO 39001, *Road traffic safety (RTS) management systems - Requirements with guidance for use*

3   Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 39001, ISO/IEC 17000 and ISO/IEC 17021:2011 apply.

4   Competence requirements

The certification body shall use Clauses 5, 6 and 7, and ISO/IEC 17021:2011, Table A.1, to define the competence requirements for each certification function.

NOTE 1   Annex A provides an informative summary of the competence requirements for personnel involved in specific certification functions.

NOTE 2   Information on the principles of auditing is provided in ISO 19011.

NOTE 3   The certification body is responsible for defining the depth of the required competence, which can vary for auditors and personnel performing other certification functions.

5 Competence requirements for RTS auditors

5.1 General

Personnel involved in RTS auditing shall have a level of competence that includes the generic competencies described in ISO/IEC 17021:2011, as well as the RTS knowledge described in 5.2 to 5.11.

NOTE   It is not necessary for each auditor in the audit team to have the same competence, however, the collective competence of the audit team needs to be sufficient to achieve the audit objectives.

5.2 RTS Terminology, principles, processes and concepts, including the Safe System approach

Personnel involved in RTS auditing shall have knowledge of terminology, principles, processes and concepts of RTS and RTS management, as outlined in ISO 39001, including its annexes.

5.3 Organizational context

Personnel involved in RTS auditing shall have knowledge of the context in which organizations operate and the potential impact of their activities on RTS.

5.4 Applicable laws, regulations and other requirements

Personnel involved in RTS auditing shall have knowledge to determine whether an organization has identified and evaluated its compliance with applicable legal requirements and other requirements.

NOTE 1   Statutory and regulatory requirements can be expressed as legal requirements.

NOTE 2   Other requirements can include voluntary national, international and sector-specific protocols.

5.5 Risks and opportunities related to RTS

Personnel involved in RTS auditing shall have knowledge of methods and practices for identifying and addressing RTS risks and opportunities.

5.6 RTS performance factors

Personnel involved in RTS auditing shall have knowledge of RTS performance factors and their applicability in different organizational contexts.

NOTE   RTS performance factors include those specified in ISO 39001 and any additional RTS performance factors that are identified as appropriate.

5.7 RTS objectives and targets

Personnel involved in RTS auditing shall have knowledge of processes for setting RTS objectives and targets and of the means of achieving them.

5.8 Leadership and coordination

Personnel involved in RTS auditing shall have knowledge of the impact of leadership and coordination functions on RTS results.

5.9 Emergency preparedness and response

Personnel involved in RTS auditing shall have knowledge to determine whether an organization has prepared emergency response arrangements to road traffic incidents and tested them wherever feasible.

5.10 Performance evaluation

Personnel involved in RTS auditing shall have knowledge of methods and practices for monitoring, measuring, analysing and evaluating RTS performance and the effectiveness of the RTS management system.

5.11 Road traffic crash and other road traffic incident investigation

Personnel involved in RTS auditing shall have knowledge to determine whether the organization has applied methods and practices for road traffic crash investigation and other road traffic incident investigation, to identify the need for RTS corrective action.

6 Competence requirements for personnel reviewing audit reports and making certification decisions

6.1 General

Personnel reviewing audit reports and making certification decisions shall have competence that includes the generic competence described in ISO/IEC 17021:2011and the RTS knowledge described in 6.2 to 6.7.

NOTE   If the certification decision function is performed by a group of people or committee, the competence required by this Technical Specification for this function to be considered is the overall combined competence of its individual members.

6.2 RTS terminology, principles, processes and concepts, including the Safe System approach

Personnel reviewing audit reports and making certification decisions shall have knowledge of terminology, principles, processes and concepts of RTS and RTS management, as outlined in ISO 39001, including its annexes.

6.3 Organizational context

Personnel reviewing audit reports and making certification decisions shall have knowledge of the context in which organizations operate and the potential impact of their activities on RTS.

6.4 Applicable laws, regulations and other requirements

Personnel reviewing audit reports and making certification decisions shall have knowledge of the potential impact of applicable legal and other requirements on RTS performance.

6.5 Risks and opportunities related to RTS

Personnel reviewing audit reports and making certification decisions shall have knowledge of RTS risks and opportunities.

6.6 RTS performance factors

Personnel reviewing audit reports and making certification decisions shall have knowledge of RTS performance factors and their applicability in different organizational contexts.

NOTE   RTS performance factors include those specified in ISO 39001 and any additional RTS performance factors that are identified as appropriate.

6.7 Performance evaluation

Personnel reviewing audit reports and making certification decisions shall have knowledge to evaluate RTS performance and RTS management system performance.

7 Competence requirements for other certification personnel

7.1 General

Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time shall have competence that includes the generic competence described in ISO/IEC 17021:2011, and the RTS knowledge described in 7.2 to 7.4.

NOTE   If this certification function is performed by a group of people or committee, the competence required by this Technical Specification for this function to be considered is the overall combined competence of its individual members.

7.2 RTS terminology, principles, processes and concepts, including the Safe System approach

Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time shall have knowledge of terminology and concepts related to RTS and RTS management, as outlined in ISO 39001, including its annexes.

7.3 Organizational context

Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time shall have knowledge of the context in which organizations operate and the potential impact of their activities on RTS.

7.4 RTS performance factors

Personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time shall have knowledge of RTS performance factors and their applicability in different organizational contexts.

NOTE   RTS performance factors include those specified in ISO 39001 and any additional RTS performance factors that are identified as appropriate.

Annex A
(informative)

Knowledge for RTS management systems auditing and certification

Table A.1 provides additional areas of knowledge for ISO/IEC 17021:2011, Table A.1, and specifies the knowledge that a certification body should define for specific certification functions. In Table A.1, "X" indicates that the certification body should define the criteria and depth of knowledge.

Table A.1 — Table of knowledge

Knowledge	Certification functions		
	Conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time	Reviewing audit reports and making certification decisions	Auditing
RTS terminology, principles, processes and concepts, including the Safe System approach	X (see 7.2)	X (see 6.2)	X (see 5.2)
Organizational context	X (see 7.3)	X (see 6.3)	X(see 5.3)
Applicable laws, regulations and other requirements		X (see 6.4)	X (see 5.4)
Risks and opportunities related to RTS		X (see 6.5)	X (see 5.5)
RTS performance factors	X (see 7.4)	X (see 6.6)	X (see 5.6)
RTS objectives and targets			X (see 5.7)
Leadership and coordination			X (see 5.8)
Emergency preparedness and response			X (see 5.9)
Performance evaluation		X (see 6.7)	X (see 5.10)
Road traffic crash and other road traffic incident investigation			X (see 5.11)

Expertise should exist within that team or should be supplemented by a technical expert when necessary. Where any audit is conducted by a team, the level of skills required should be held within the team as a whole and not by every individual member of the team.