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

**Part 10:
Competence requirements for
auditing and certification of
occupational health and safety
management systems**

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

*Partie 10: Exigences de compétence pour l'audit et la certification des
systèmes de management de la santé et de la sécurité au travail*



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Contents

Page

Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Competence requirements	2
5 Competence requirements for OH&S management system auditors	2
5.1 General	2
5.2 Terminology, principles, processes and concepts of OH&S	2
5.3 Context of the organization	2
5.4 Leadership, consultation and participation of workers	3
5.5 Legal requirements and other requirements	3
5.6 OH&S risks, OH&S opportunities and other risks and other opportunities	3
5.6.1 Risks and opportunities	3
5.6.2 Hazard identification	3
5.6.3 Assessment of OH&S risks	4
5.6.4 OH&S opportunities	4
5.7 Emergency preparedness and response	4
5.8 Performance evaluation	4
5.9 Eliminating hazards and reducing OH&S risks	5
5.10 Incident investigation	5
6 Competence requirements for personnel reviewing audit reports and making certification decisions	5
6.1 Terminology, principles, processes and concepts of OH&S	5
6.2 Context of the organization	5
6.3 Leadership, consultation and participation of workers	6
6.4 Legal requirements and other requirements	6
6.5 OH&S risks, OH&S opportunities and other risks and other opportunities	6
6.5.1 Hazard identification	6
6.5.2 Assessment of OH&S risks	6
6.5.3 OH&S opportunities	6
6.6 Performance evaluation	6
6.7 Eliminating hazards and reducing OH&S risks	6
6.8 Incident investigation	7
7 Competence requirements for other certification personnel	7
7.1 Terminology, principles, processes and concepts of OH&S	7
7.2 Context of the organization	7
Annex A (informative) Knowledge for OH&S management systems auditing and certification	8
Bibliography	9

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, ISO and IEC develop joint ISO/IEC documents under the management of the ISO Committee on Conformity assessment (ISO/CASCO).

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document prepared by Project Committee ISO/PC 283, *Occupational health and safety management systems*, and the ISO Committee on conformity assessment (CASCO). It was circulated for voting to the national bodies of both ISO and IEC, and was approved by both organizations.

A list of all parts in the ISO/IEC 17021 series can be found on the ISO website.

Introduction

ISO 45001 provides a framework to enable organizations to provide safe and healthy workplaces by preventing work-related injury and/or ill health to workers as well as by proactively improving its occupational health and safety (OH&S) performance. OH&S management system certification personnel need to have competencies described in ISO/IEC 17021-1:2015, as well as specific OH&S management system competencies described in this document.

This document complements the requirements in ISO/IEC 17021-1:2015, including the guiding principles in ISO/IEC 17021-1:2015, Clause 4. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021-1:2015, Annex A.

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 OH&S management system certification is credible by only using certification personnel that have demonstrated relevant competence.

In this document, 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.

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

Part 10:

Competence requirements for auditing and certification of occupational health and safety management systems

1 Scope

This document specifies additional competence requirements for personnel involved in the audit and certification process for an occupational health and safety (OH&S) management system and complements the existing requirements of ISO/IEC 17021-1.

Three types of personnel and certification functions are defined:

- auditors;
- personnel reviewing audit reports and making certification decisions;
- other personnel.

NOTE This document is applicable for auditing and certification of an OH&S management system based on ISO 45001. It can also be used for other OH&S applications.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO 45001, *Occupational health and safety management systems — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17021-1 and ISO 45001 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1

occupational health and safety technical area OH&S technical area

area characterized by commonalities of processes relevant to an occupational health and safety management system and its intended results

4 Competence requirements

The certification body shall define the competence requirements for each certification function as referenced in ISO/IEC 17021-1:2015, Table A.1. When defining these competence requirements, the certification body shall take into account all the requirements specified in ISO/IEC 17021-1, as well as the competence requirements specified in [Clauses 5, 6 and 7](#) of this document, including those that are relevant for the OH&S technical area as defined by the certification body. Unless otherwise stated, the OH&S competence criteria mentioned in [Clauses 5, 6 and 7](#) are independent of any OH&S technical area. [Annex A](#) provides a summary of the knowledge for OH&S management system auditing and certification.

NOTE The role of an auditor is not the same as that of a work inspector.

5 Competence requirements for OH&S management system auditors

5.1 General

An audit team shall be composed of auditors (and technical experts, as necessary) having the collective competence to undertake the audit.

Each OH&S management system auditor shall have knowledge of the synergy within an OH&S management system and how its processes interact to meet its intended outcomes of providing a safe and healthy workplace and the prevention of injury and ill health.

NOTE It is not necessary for each member of 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 Terminology, principles, processes and concepts of OH&S

Each OH&S management system auditor shall have and maintain up-to-date knowledge of terminology, principles, processes and concepts of OH&S and OH&S management.

Terminology, principles, processes and concepts of OH&S and OH&S management include, but are not limited to:

- intended outcome(s) of the OH&S management system;
- hazards and OH&S risks;
- minimizing or reducing risks;
- hierarchy of control;
- procurement (including outsourcing and contractors);
- shared control over work performed.

5.3 Context of the organization

In order to determine that an organization has appropriately identified the scope, including boundaries and applicability of its OH&S management system, within the organization's context and its work related activities, personnel on a team involved in OH&S management system auditing shall have knowledge of:

- potential issues relevant to the context of an organization, in order to determine whether the organization has identified external and internal issues that can affect the organization's ability to achieve the intended outcome(s) of its OH&S management system;
- potential other interested parties in addition to workers, in order to determine if an organization has identified the relevant needs and expectations of workers and other interested parties.

5.4 Leadership, consultation and participation of workers

Personnel on a team involved in OH&S management system auditing shall have knowledge of the role and impact of leadership and culture on an organization. This knowledge shall be applied to evaluate whether the top management of an organization is demonstrating its commitment to the OH&S management system and achieving its intended outcome(s).

Personnel on a team involved in OH&S management system auditing shall have knowledge of methodologies for consultation and participation, including obstacles and barriers, in order to determine whether an organization has effective processes for consultation and participation of workers and, when they exist, workers' representatives.

5.5 Legal requirements and other requirements

Personnel on a team involved in OH&S management system auditing shall have knowledge of legal requirements and other requirements in the field of health and safety at work, including those relevant to the OH&S technical area, in order to evaluate whether an organization has a process to determine, apply and periodically review its legal requirements and other requirements, including those related to:

- consultation and participation of workers and workers' representatives, where they exist;
- the privacy of personal medical information;
- establishment of health and safety committees.

5.6 OH&S risks, OH&S opportunities and other risks and other opportunities

5.6.1 Risks and opportunities

Personnel on a team involved in OH&S management system auditing shall have knowledge of risks and opportunities, including those relevant to the OH&S technical area, in order to evaluate whether an organization has applied appropriate methods for identifying hazards and determining OH&S risks, OH&S opportunities and other risks and other opportunities in an organizational context and within the scope of the OH&S management system.

NOTE Examples of relevant methods and criteria for determining risks and opportunities can include qualitative and quantitative analysis such as task analysis, hazard and operability studies (HAZOPS) and failure mode and effects analysis (FMEA).

5.6.2 Hazard identification

Personnel on a team involved in OH&S management system auditing shall have knowledge of hazards, including those relevant to the OH&S technical area, in order to evaluate whether an organization has applied appropriate methods for identifying hazards in an organizational context and within the scope of the OH&S management system.

Knowledge of hazards shall include, but not be limited to, those in the following categories:

- physical;
- chemical;
- biological;
- physiological;
- mechanical;
- electrical;
- psychosocial;

- based on movement and energy.

Knowledge of hazards and their sources shall include, but not be limited to:

- internal or external sources or situations;
- potential emergency situations;
- multi-employer workplaces;
- workplace and facility;
- product and service design, research, development, testing, production, assembly, construction, service delivery, maintenance and disposal;
- procurement, contractors and outsourcing;
- new technologies and their application;
- planned or unintended changes;
- work organization, human and social factors.

5.6.3 Assessment of OH&S risks

Personnel on a team involved in OH&S management system auditing shall have knowledge of the methodologies and criteria for the identification of hazards and the assessment of OH&S risks, including those relevant to the OH&S technical area, in order to evaluate whether an organization has applied methodologies and criteria in an appropriate, proactive and systematic way in an organizational context and within the scope of the OH&S management system.

5.6.4 OH&S opportunities

Personnel on a team involved in OH&S management system auditing shall have knowledge of the type of processes that can lead to improvement of OH&S performance.

Knowledge of processes shall include but not be limited to:

- adapting work to workers;
- changing the work organization;
- changing the workplace layout.

5.7 Emergency preparedness and response

Personnel on a team involved in OH&S management system auditing shall have knowledge of potential emergency situations and their usual responses, including those relevant to the OH&S technical area in an organizational context, in order to evaluate whether an organization has appropriately:

- identified its potential emergency situations;
- planned and tested its emergency responses, including with respect to external responders;
- evaluated its effectiveness in testing its planned emergency responses and responses given to actual emergencies, if applicable.

5.8 Performance evaluation

Personnel on a team involved in OH&S management system auditing shall have knowledge of performance evaluation in order to evaluate whether an organization has applied appropriate OH&S performance

evaluation methods, including proactive and reactive, qualitative and quantitative indicators, and to determine whether it is achieving the intended outcome(s) of its OH&S management system.

5.9 Eliminating hazards and reducing OH&S risks

Personnel on a team involved in OH&S management system auditing shall have knowledge of the control measures or control methods used to eliminate hazards and reduce OH&S risks, including those relevant to the OH&S technical area, in order to evaluate whether an organization has applied:

- the concept of the hierarchy of control, including adapting work to workers and its appropriate application;
- the appropriate and effective control measures, including the identification of any potential adverse effects, that have been selected by the organization, including those applied to the external providers.

5.10 Incident investigation

Personnel on a team involved in OH&S management system auditing shall have knowledge of incident investigation methods, including those relevant to the OH&S technical area, in order to evaluate whether an organization has conducted the investigation effectively in an organizational context and within the scope of the OH&S management system. This includes:

- the relevant methods and practices for incident investigations, such as root cause analysis, fault tree analysis;
- the identification of actions to eliminate the cause(s).

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

6.1 Terminology, principles, processes and concepts of OH&S

Personnel reviewing audit reports and making certification decisions shall have and shall maintain up-to-date knowledge of terminology, principles, processes and concepts of OH&S and OH&S management.

Terminology, principles and concepts of OH&S and OH&S management include, but are not limited to:

- intended outcome(s) of the OH&S management system;
- hazards and OH&S risks;
- minimizing or reducing risks;
- hierarchy of control;
- procurement (including outsourcing and contractors);
- shared control over work performed.

6.2 Context of the organization

Personnel reviewing audit reports and making certification decisions shall have sufficient knowledge of the following in order to determine if the audit team has appropriately confirmed the scope, including boundaries and applicability of its OH&S management system, within the organization's context and its work related activities:

- potential issues relevant to the context of the organization;
- potential other interested parties.

6.3 Leadership, consultation and participation of workers

Personnel reviewing audit reports and making certification decisions shall have knowledge of the role and impact of leadership, culture, consultation and participation of workers and, when they exist, workers' representatives.

6.4 Legal requirements and other requirements

Personnel reviewing audit reports and making certification decisions shall be aware of legal requirements and other requirements in the field of health and safety at work.

6.5 OH&S risks, OH&S opportunities and other risks and other opportunities

6.5.1 Hazard identification

Personnel reviewing audit reports and making certification decisions shall have knowledge of hazards and methods for identifying them, including those relevant to the OH&S technical area.

Personnel reviewing audit reports and making certification decisions shall have knowledge of the following categories of hazards, including but not limited to, those in the following categories:

- physical;
- chemical;
- biological;
- physiological;
- mechanical;
- electrical;
- psychosocial;
- based on movement and energy.

6.5.2 Assessment of OH&S risks

Personnel reviewing audit reports and making certification decisions shall have knowledge of the type of methodologies and criteria for the assessment of OH&S risks, including those relevant to the OH&S technical area.

6.5.3 OH&S opportunities

Personnel reviewing audit reports and making certification decisions shall be aware of concepts of OH&S opportunities.

6.6 Performance evaluation

Personnel reviewing audit reports and making certification decisions shall have knowledge of OH&S performance evaluation methods.

6.7 Eliminating hazards and reducing OH&S risks

Personnel reviewing audit reports and making certification decisions shall have knowledge of the concept of the hierarchy of control.