**Certificate of Competency (CoC)**

**Guidelines for Applicants**

**General**

These Guidelines are intended to assist applicants with the preparation of their submission for the Certificate of Competency (CoC) via the Portfolio of Evidence Route, as awarded by SoRSA.

The Certificate of Competence awarded by SoRSA is intended for those auditors who require such certification to operate on the UK Trunk Road network and applicants must meet the current requirements of DMRB GG119 – Road Safety Audit. This can be found at:

<https://www.standardsforhighways.co.uk/search/710d4c33-0032-4dfb-8303-17aff1ce804b>

It is a requirement of National Highways (UK) that at least one member of the Audit Team approved by the Project Sponsor MUST hold a recognised CoC. Anyone not actively involved in RSAs on the high speed road network in UK is unlikely to satisfy all the requirements via this route.

SoRSA has been accredited by National Highways and the devolved administrations to offer a Portfolio of Evidence Route for those road safety auditors who have extensive experience and feel that they have the necessary knowledge and expertise to qualify for a CoC without having to attend any further qualifying courses on aspects of road safety auditing. This is referred to the Portfolio of Evidence Route in Appendix G of GG119

Applications are not restricted to members of SoRSA or CIHT. An administration change is made for processing all CoC applications’ (see Payments, page 16 of the application form).

The Application Form for application for CoC follows the same format as the SoRSA Membership Form with the exception of section F that is added to detail the understanding and experience of the applicant in the core aspects associated with GG119 requirements.

It comprises several sections as denoted below –

A - Applicants Personal Contact Details

B - Professional Institution Membership

C - Professional Qualifications

D – Background Experience

E – Examples of 5 Collision Investigation and Road Safety Engineering Projects

F – Core Modules – F1 – Road Safety Legal Issues, Legislation and Policy

F2 – Collision Investigation

F3 – Road Safety Audit

F4 – Road Safety Engineering / Road Design

G – Formal Road Safety Training

H – Continuing Professional Development

J – Examples of Road Safety Audits

K – Declaration

It can be found on the SoRSA website at:

<http://www.ciht.org.uk/en/sorsa/join-sorsa/certificate-of-competency.cfm>.

In addition to the technical aspects of road safety auditing, the assessors will be expecting applications to be of a proper professional standard. Report writing skills, including correct use of English grammar and spelling will be expected as will IT skills encompassing use of diagrams and inserts, if used, in the audit report examples.

Plagiarism will be viewed as a serious offence and any applicant suspected of this may be questioned and if unable to convince the assessors, will forfeit their application.

Any reference to aspects of personal and corporate development are useful such as leadership and team management, resource management, delegation skills, negotiating skills, information management, presentation skills and commercial, contract and IT skills. Including references to these in Sections D to H will all count towards the assessors’ appreciation that you have attained the desired degree of professionalism of an experienced auditor.

The above Sections are dealt with in the following paragraphs with examples on how to complete them, and what the reviewers are looking for in an application. Please bear in mind that the essence of the submission is to demonstrate the experience you have gained, the lessons learnt and how you have applied the knowledge gained by referring to examples in your work. The submission of a list of topics or extracts from a CV is not sufficient.

**Mentors**

Applicants are encouraged to use a Mentor when preparing their submission. A Mentor’s role is to:

* Establish, with the applicant, whether the applicant has sufficient Road Safety Audit knowledge and experience at the right competency level to apply for a CoC;
* Advise the applicant on how gaps in knowledge and/or experience could be addressed;
* Advise on the content and subject matter of the applicants’ submission;
* Provide challenges to assumptions/conclusions in the submission; and
* Comment on drafts of the submission.

Mentors may work with the applicant or come from outside the applicant’s employing organisation. Ideally, a Mentor should be an experienced Road Safety Auditor and hold a CoC. A Mentor may also be the applicant’s sponsor – see Section K within the Application Form and the notes below.

**Advice on the Completion of Sections within the CoC Application Form**

**Existing Members/Fellows of SoRSA** do **not** need to complete the information requested in **Section A -E** **or G** except for:

* their name, email address and details of any changes since their original Application for Membership or their Annual Review, whichever is most recent in **Section A**.

They also need to

fully complete **Section F**

* Only provide details of CPD undertaken since submission of their latest Annual Review in **Section H.**
* Provide 2 relevant Audit Reports as described in **Section J,**
* Sign the Declaration in **Section K** together with their Sponsor and
* Complete the **Payments** section of the application.

Other applicants must provide **all** the requested information.

**A - Applicants Personal Contact Details**

Please supply details of your contact information and current role. It is important that applicants’ details are correct and their current role accurately demonstrates their current activities with Road Safety Audit.

**B - Professional Institution Membership** **(non SORSA members only)**

Simply supply the information required. Membership of other professional institutions can cover all organisations and should not just be confined to those of an engineering or transportation nature.

**C - Professional Qualifications (non SORSA members only)**

As Section B providing all relevant professional qualifications with dates and awarding body (if appropriate).

**D – Background Experience (non SORSA members only)**

Please provide a short resume (**maximum 500 words**) outlining your overall experience in highways, traffic and/or road safety engineering and demonstrates that your existing training, skills and experience meets with the latest DMRB guidance “Road Safety Audit”. DO NOT simply insert a pre-formatted CV. Provide as varied an experience as you can and include any managerial or professional expertise that you have gained.

**E – Examples of 5 Collision Investigation and Road Safety Engineering Projects (non SORSA members only)**

Please provide examples that show how you meet the collision investigation and road safety engineering experience guidance set out in the latest DMRB guidance “Road Safety Audit”. Again, try to provide examples which show a variety of types of work and experience and at least one **MUST** demonstrate work undertaken in the most recent 24 months. Additionally, if you can demonstrate the acquisition of managerial or business expertise, this will count towards the success of the submission.

It is important in this section to show your understanding of the impact of Collision Investigation/RSE on the safety of the road network by demonstrating the relationship between the problems/measures identified and their associated collisions.

**F – Core Modules (All Applicants)**

**This is the crucial section of the submission and needs to demonstrate your understanding and experience of road safety intervention in relation to the UK Trunk road network.**

In Sections F1 to F4, you must demonstrate an acceptable level of knowledge, experience and/or expertise in the four Core Modules as required by GG119 Appendix G2.

It is appreciated that the level of knowledge and understanding will vary depending on the experience gained. You should, therefore, identify the degree of knowledge acquired in each Section under the following headings –

* knowledge – a basic knowledge or familiarity
* experience – a working knowledge and practical implementation

Thereafter, you should submit **up to a maximum of 1000 words** to demonstrate the level of understanding achieved in each Section.

Please bear in mind that the essence of the submission is to demonstrate the knowledge you have acquired and the implications that that knowledge has had on your work. This can best be achieved by providing examples that have arisen in your work.

You should identify how you have acquired the knowledge and experience which could include -

* Your own work
* Learning on the job
* Peer guidance and discussion
* In-house presentations
* Work shadowing to add to your knowledge and expertise for routine tasks
* Technical presentations
* Writing reports / writing for publication
* Preparation of CPD presentations to colleagues and other professionals
* Exposure to new situations at work which require action
* Listening to training CDs for research purposes and technical information
* Sharing knowledge and expertise with others
* Allied professional events
* Lecturing at organised events
* Research both on the job and for further qualification
* Teaching (for those not in teaching post)
* Validated and Accredited qualifications
* Formal distance and open learning courses
* Courses, conferences, seminars and workshops

**NOTE:** The extracts from actual successful applications that are included below are not meant to be definitive, but to help applicants understand how to address the various core topics in terms of their own experiences and draw out the salient issues and comparisons to produce a successful application.

**F1 – Road Safety Legal Issues, Legislation and Policy**

Guide topics under this Core Module include use, application or familiarity with the reasons why RSA is undertaken in terms of–

* The 1980 Highways Act and 1988 Road Traffic Act (or any local or National Equivalents)
* The 2007 Road Death Investigation Manual
* The Corporate Manslaughter Act and Corporate Homicide Act 2007
* The Manslaughter by Gross Negligence Common Law
* The EC Directive 2008/96/EC; GG119;
* Road Safety Policies, Targets and Strategies
* Legislative basis and status of road safety reports
* Litigation; potential culpability of auditors commensurate with degree of control; legal responsibilities;
* Duty of care required of auditors, reasonable not absolute skill and care
* Legal responsibilities of Highway Authorities
* CIHT Guidelines
* Health & Safety regs, CDM
* Disability Discrimination Act

It is appreciated that you will not have gained experience in all the topic headings identified above. However, you must be able to identify knowledge in a sufficient number to demonstrate a broad experience and understanding of the module.

It is recommended that you relate activities at certain times of your career which will illustrate how you applied your knowledge in the above categories or had to broaden your experience because of, say, a change in working practices. However, do not forget that there is a limit of **1000 words**.

This Section is weighted at 10% of the total of the 4 Core Modules

**Example Extract: Knowledge**

I have worked across a number of different areas within the field of road safety since \*\*\*\*. During that time I have acquired a broad knowledge of a wide range of road safety topics, including legislation that sits behind road safety policy. This includes:

The Highways Act 1980 which is ……

Most importantly in relation to Road Safety Audit, it sets out the basis for ……..

The Road Traffic Act 1988 which sets out the regulation ….and states that …. must …..

The Disability Discrimination Act 1995 (and later the Equalities Act 2010) sets out ….including…..

The Road Death Investigation Manual 2007, the police procedural manual, proposes…..

Any alleged or perceived highway …. and…. must demonstrate it took reasonable care of the road user.

Under English law, where a person owes ……. ……..and may be liable for ……….

This could be applied to …….

This position ….. through The Corporate Manslaughter and Corporate Homicide Act 2007 which was introduced to …..

Road Safety Audit has been practised in some form throughout the UK since …..

The introduction of …. shows the authority is taking reasonable care under ….

The CIHT Road Safety Audit Guidelines ……specifically included a chapter on …..partly in response to the introduction of the 2007 Act.

I assisted \*\*\*\*\* Council in training …. and presenting to their …on……following the publication of ……..

I contributed to workshops and a new development control \*\*\*\*\*\*\*to

improve \*\*\*\* delivery through ……..

In 2008 The EC published Directive 2008/96/EC making …. provides a curriculum for training and….In the UK this is covered in ………

Whilst this standard is to be applied ….. it is also…….to local highway authorities.

Where ………….; the Road Safety Audit Team could …… litigation. ….. if they failed to…. The duty of care required of Road Safety Auditors ……..is \*\*\*\*\*, not \*\*\*\*\*. Road Safety Auditors should ……..

a standard which could be ……….

Health and Safety is …………, as the audit process requires …….., each presenting their own unique risks.

I have received additional training in …… and am experienced at conducting …….and briefing…

I have used vehicle mounted ….. rather than place staff at risk ……….

I have also attended formal courses and CPD events in …….. such as:

•;

•;

•; and

•

**F2 – Collision Investigation**

Guide topics under this Core Module include use, application or familiarity with –

* Data collection and analysis; limitations of Stats 19; other useful data sets
* Statistical tests; Averages, norms; Standard Deviation; Poisson & Chi 2
* Random distribution; regression to the mean; crash migration
* Use of Witnesses’ statements; conflict studies; local & National trends; control data
* Collision analysis software; cluster analysis; stick diagrams
* Single site, route action, area action, mass action approaches
* Multi-disciplinary approaches; systems approach
* Site visits; photographic evidence; conflict studies
* Causation factors to be considered
* Monitoring; before & after studies
* Remedial measures effectiveness; control data
* Prioritisation, Risk Assessments, Rates of return
* Local targeted strategies, Local & National trends

It is appreciated that you will not have gained experience in all the topic headings identified above. However, you must be able to identify knowledge in a sufficient number to demonstrate a broad experience and understanding of the module.

It is recommended that you reference activities to certain times of your career which will illustrate how you applied skills in the above categories or made an attempt to broaden your knowledge because of, say, a change in working practices. However, do not forget that there is a limit of **1000 words**.

This section is weighted at 30% of the total of the 4 Core Modules

**Example extract: Experience**

Use of collision data and Collision Investigation has formed ……..

They ….. fundamental …. my hands-on work aimed at reducing death and injury …..

In addition, they inform my management of…….. locally and nationally, and provide ……to the Expert Witness work I have undertaken.

My more detailed involvement in these activities are set out below:

Collision Trends

Locally …… manage the collision database on behalf of …...

This allows me direct access to a complete data set and means …….

It also means that I am…. quality of the Police data.

At times these errors and flaws require ………they discontinued …… other than for fatal collisions and in exceptional circumstances.

I regularly utilise the data ……….. A typical example of this type of work is ………perceived that they had a major problem with collisions and casualties involving ……..

I was consequently asked to analyse ……..and compare with …...

My analysis indicated that ……

Reference to both …… published data enables me to assess ……..,

I compare performances and trends…….and similar practices are adopted whenever working on

Collision Investigation

I have been directly involved in innumerable collision investigations over the years. Most of these have been………..

I follow the same principles of investigation,

i.e. preparation of stick diagrams ……..

determination from these diagrams of the location and analysis of ……..

I always seek to invite a representative from …..and ….. to attend at least

one of …... In this way, I gain a better understanding of ……. The local authority representative will often bring ……which could influence a ………

Photographs are always taken as part of …..along with extensive notes detailing what I have………

.

The information I have gleaned from ….drawn together to produce

…... This activity includes ……..

I statistically test each of the …….. intervention with the best rate of return and

prepare an appropriate report outlining …….

The report will also recommend the ………

The solutions I have recommended for …… have tended to be …….

Over time I have also recommended that the sites record continue to be……..

On occasions I have also recommended …..

The solutions I have developed also tend to be ……activities, followed by ……..only then ….measures introduced, all backed up by ……..

This approach has produced excellent results ………..

I introduced and initially undertook the annual Before and After Study Monitoring …..

We review ….and the whole package of measures using statistical tests (Chi2, t test etc) on an annual basis.

**F3 – Road Safety Audit**

This module should focus on areas for improvement and clarification of known potential issues, focused on the strategic road network or comparable roads. It should cover:

Roles and Responsibilities;

Road Safety Audit administration and practice; and

Road Safety Audit reporting.

Guide topics under this Core Module include use, application or familiarity with –

* Cost effective basis; role of audit within scheme design; Independence of audit team
* Evolution of audit practice; own history and experience
* Stages of audit; Interim audits; variety of schemes; Design & Build; DBFO
* Team Leaders, Members and Observers; specialist advisors
* Covers all road users under all conditions
* Procedures; variations on GG119
* Assessment of scheme drawings, Departures report & safety implications
* Audit brief requirements; scheme objectives; associated information
* Content, context and format of report; drawings; photographs; site visits
* Clarity, conciseness, detailed explanations; related collision types
* Responsibility of auditor; signed document; validated
* Response Report/decision log; shelf-life; possible arbitration

We want to know about your road safety auditing activities during your career which will illustrate how you applied skills in the above categories or made an attempt to broaden your knowledge because of, say, a change in working practices. However, do not forget that there is a limit of **1000 words.**

You may want to illustrate the diversity of your experience by tabulating the number of road safety audits undertaken at different stages and as an Observer, Team Member or Team Leader over a period of time, for example

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Stage 1 | Stage 2 | Stage 1/2 | Stage 3 | Stage 4a | Stage 4b |
| Team Leader | 2 | 6 | 10 | 12 | 3 | 1 |
| Team Member | - | 5 | 15 | 14 | 2 | - |
| Observer | - | 2 | 6 | 5 | - | - |

This section is weighted at 30% of the total of the 4 Core Modules

**Example extract: Experience**

I have been involved in Road Safety Audit since \*\*\*\*, and have undertaken \*\*\*\*\*\* audits on TERN, other primary and local roads. I have also commissioned audits as Project Sponsor, and supported Clients in understanding their role. I have seen that many Project Sponsors are unsure about their …….. to help clarify roles by duty holder over the RSA process.

For example, many Project Sponsors believe that it is …… when GG119 makes it clear that ….. It is also often not understood that GG119 requires the report to be submitted ………… I resolved this by ………….

The purpose of RSA is to demonstrate due care in the identification of foreseeable hazards that new or improved roads might introduce. These might result from ………... An example might be ……… The standard doesn’t cover this subject and many designers are unaware of the problem.

A highway authority’s role is to ensure ……. Policy is vital to ensure the authority The designer’s duties are principally governed …….. The auditor must report identified hazards and recommended actions – without …….. The overseeing organisation (the ….. key representative) must …..

For National Highways and devolved assemblies who use \*\*\*\*\*\* the mandatory standard in the DMRB – this means adhering to that process which includes …….. Unfortunately the standard is not always helpful in the conduct of some types of schemes …… Local authorities may …varies widely in scope of coverage and standards applied, as well as the documentation of policy.

Reports should always record the ……. Auditors should report in a form that ……proportionate response. My approach is that …..

**F4 – Road Safety Engineering / Road Design**

This module includes development in road safety engineering and its influence on road

design, with focus on the trunk road and motorway network.

Guide topics under this Core Module include use of, application of or familiarity with –

* Highway Design; traffic engineering; road/road user interaction; design element interaction
* DMRB (or equivalent); Manual for Streets; Highway hierarchy; Design Speed;
* Horizontal & vertical alignments; cross sections; gradients & K values; Link Design
* Visibility distances; Crossfall; Superelevation; drainage; lighting; earthworks
* Pavement construction; Surfacing; micro/macro texture; skid resistance
* Junction design & analysis; roundabouts; traffic signals; priority control
* Signs & markings, traffic and demand management, level of service
* Traffic calming; humps / chicanes / chokes / full & partial closures
* Pedestrian crossings & facilities; cycle facilities; bus facilities; weight/size/width restrictions
* TROs, access control, Home Zones; Shared Space; SHGV routes; parking restrictions
* Road restraint systems, RRRAP/Risk Assessment.

Whatever your association with engineering design, we would like to know, simply state whatever involvement you have had. If you feel you need to obtain more knowledge and/or experience in this area, consider arranging to attend a course or gain on-the-job experience before applying for your CoC.

Do not forget that there is a limit of **1000 words**.

This section is weighted at 30% of the total of the 4 Core Modules.

**Example : Experience**

I’ve worked in road design since\*\*\*\*, trained on the-job and through training courses in ……..mostly on trunk roads.

I trained at a time when…... In some cases I believe that this is detrimental because …….. Sometimes non-compliance might be ……. For example, ……...

I also have experience of how standards and associated software do not reflect ……. For example, I commissioned ……..

I train designers and auditors in …….. An example is where ……... Having trained people in this approach, I find ………...

I am interested in ……. For example, ……. However, these factors seem …... I actively …..

In terms of my own design experience, I designed sections of ……..

Since \*\*\*\* I have project managed and designed …..

I have designed ….and have much …..experience and find both invaluable in conducting audits. I support … in design policy review such as ……….to integration of road safety auditors’ skills into design.

I train….. I advocate … always aim to find … support design teams.

**G – Formal Road Safety Training (non SORSA members only)**

Please provide details of your formal Road Safety training as specified in the latest DMRB guidance “Road Safety Audit”, i.e. any structured training which covers aspects of road safety engineering, casualty reduction, and road safety policy and strategy review and to provide **copies of relevant attendance certificates**.

If certificates are not available, provide a ‘Lessons Learnt’ report for each training event outlining what was learnt at each event and how you have or intend to use this new knowledge in your work.

If your formal training took place before the formalisation of CPD and details and/or certificates are difficult to produce with any degree of accuracy, approximate dates indicating these will be taken into consideration when being assessed.

Formal training does **not** include seminars, conferences, exhibitions, etc, but must be training courses specifically aimed at instruction and furthering your education in road safety. Courses of a more general nature can be included if a specific part of them dealt with road safety. Seminars and the like can be included as part of your CPD (see below).

**H – Continuing Professional Development (All applicants)**

Please provide details of your relevant Continuing Professional Development (CPD) which you have undertaken in the past 12 months (or since your last SoRSA review submission) as detailed in the latest DMRB guidance “Road Safety Audit”. ‘Relevant’ CPD covers Collision Investigation, Road Safety Engineering and Road Safety Audit only. Again, wherever possible, certificates of attendance should be provided. If these are not available ‘Lessons Learnt’ reports as mentioned above must be provided.

Please note that CPD is not limited to formal events but can include self learning/reading or on-the -job activities. However, the learning outcomes of this type of CPD must be clearly recorded and certified by your sponsor or line manager in a Lessons Learnt report for each activity.

**J – Examples of Road Safety Audits (All applicants)**

You are required to list the Road Safety Audits you have undertaken on Motorway and Trunk Road schemes during the last 24 months. The minimum number of Audits that should be listed is 5. Normally only Audits undertaken on Motorway and Trunk Roads should be included as a CoC is based on your experience on those roads.

In special cases, applications may be made for audits undertaken on either TERN roads which are not part of the Motorway or Trunk Road network or on strategically important high-speed dual-carriageway all-purpose roads which are akin to Trunk Roads. Please discuss any such application with the SoRSA Membership Secretary via [sorsa@ciht.org.uk](mailto:sorsa@ciht.org.uk) in advance of your submission to avoid disappointment.

In addition to the above, you are requested to provide copies of **two** of the listed audit reports, preferably undertaken at different stages. Both of these should be for Motorway and Trunk Road schemes (for non-trunk road/Motorway schemes, please contact the SoRSA Membership Secretary for guidance on which reports to submit).

These example reports must include problem location plans and you should also provide a copy of the Audit Brief. Photographs would be a welcome addition.

It may be that the Audit Brief runs to several pages in which case try to distil the most important aspects of the Brief into a more manageable size before including in the submission. There may be instances where the Brief is not available, has been archived or simply did not exist in which case an explanation must be forthcoming.

Importantly, you must ensure that the Audit reports submitted were written by you as a member of the audit team (in **exceptional** circumstances those reviewed by the applicant will be considered). Your sponsor will need to confirm that the reports were written or checked by you.

SoRSA reserves the right to request additional examples of you audit work or further documentation to support your application.

**K – Declaration (All applicants)**

Finally, the declaration; this section is to be signed by both yourself **and your sponsor** to ensure a valid application.

Please note, your sponsor should hold a recognised qualification in the field of Road Safety, Civil Engineering or Transportation Planning or hold a senior professional position with a relevant company or organisation. For those who are independent road safety auditors, your sponsor could be a representative of one of your Clients or from an organisation with which you have business or commercial dealings. They must be familiar with your work in this field.

**Finally!**

Most importantly, if you have any questions or queries regarding any aspect of your application do not hesitate to contact the SoRSA Membership Secretary, via [sorsa@ciht.org.uk](mailto:sorsa@ciht.org.uk).

There is no specific “pass mark” as such, but each application will be subject to assessment by two or three trained assessors who will each adjudicate on the applicant’s submission. Their combined assessment will be used and be based on the information given in all sections and in particular to the evidence provided for the 4 Core Modules. The weighting applicable to each Core Module will be used to give an overall assessment for each candidate. The weighting reflects the importance attached to the evidence for each of the Core Modules.

We will try and process your application as soon as possible and hope to achieve a turn-round of about 28 days; however, this may vary according to the demand from applications. Every application will receive an acknowledgement by email so do ensure your contact details are up to date.

**Do not forget to complete the page giving details regarding PAYMENT**.

**GOOD LUCK**