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

Part 8: Competence requirements for auditing and certification of management systems for sustainable development in communities

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Foreword

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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 document 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) or the IEC list of patent declarations received (see http://patents.iec.ch).

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

For an explanation of 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 www.iso.org/iso/foreword.html.

This document was prepared by the ISO Committee on Conformity Assessment (CASCO).

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

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

ISO 37101 sets out a coherent framework to enable community to develop its purposes and vision. Personnel certifying the management system for sustainable development in communities need to have generic competencies described in ISO/IEC 17021-1:2015, as well as the specific management system competencies described in this document.

This document complements the requirements in ISO/IEC 17021-1:2015 and 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.

The scope of this document is not limited to the competence of the auditors only, but covers other certification personnel as well: personnel conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time; personnel reviewing audit reports and making certification decisions.

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 only those auditors who demonstrate relevant competence are allowed to conduct audits of a management system for sustainable development in communities. It is intended that all auditors possess the generic competencies described in ISO/IEC 17021-1, as well as the specific competencies described in this document. Certification bodies will need to identify the specific audit team competence needed for the scope of each audit.

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.

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

https://www.surveymonkey.com/r/T27DLP8

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

Part 8:
Competence requirements for auditing and certification of management systems for sustainable development in communities

1 Scope

This document specifies additional competence requirements for personnel involved in the audit and certification process of a management system for sustainable development in communities and complements the existing requirements of ISO/IEC 17021-1.

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 37100, *Sustainable cities and communities — Vocabulary*

ISO 37101:2016, *Sustainable development in communities — Management system for sustainable development — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 37100, ISO 37101 and ISO/IEC 17021-1 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/

4 Generic 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 those specified in Clauses 5, 6 and 7 of this document.

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

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

5 Competence requirements for auditors of a management system for sustainable development in communities

5.1 General

5.1.1 An audit team shall be composed of auditors having the collective competence to undertake the audit.

5.1.2 Auditors shall have knowledge of the management system for sustainable development in communities and how its processes interact to meet the intended outcomes.

5.1.3 The audit team shall have a level of competence that includes the generic competencies described in ISO/IEC 17021-1, understand the requirements of ISO 37101 and the relationship between those requirements, as well as the knowledge of management systems for sustainable development in communities described in 5.2 to 5.8.

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 and processes

The audit team shall have knowledge of the terminology and processes related to sustainable development in communities.

5.3 Context of the organization

5.3.1 The audit team shall have knowledge of the context in which the organization operates as stated in ISO 37101:2016, Clause 4, in order to determine whether the organization has identified external and internal sustainability issues that can affect the intended outcomes of the management system for sustainable development in communities.

5.3.2 The audit team shall have knowledge of types of potential interested parties in order to determine if the organization has identified the relevant needs and expectations of the interested parties.

5.3.3 The audit team shall have knowledge in order to determine that the organization has identified the scope including boundaries and applicability of the management system for sustainable development in communities within its context.

5.4 Sustainability purposes and issues

5.4.1 The audit team shall have knowledge of the following six purposes of sustainability and how they interact with the twelve sustainability issues listed under 5.4.2:

a) attractiveness;

b) preservation and improvement of environment;

c) resilience;

d) responsible resource use;

e) social cohesion;

f) well-being.

5.4.2 The audit team shall have knowledge of how the following issues contribute to sustainable communities:

a) governance, empowerment and engagement;

b) education and capacity building;

c) innovation, creativity and research development;

d) health and care in the community;

e) culture and community identity;

f) living together, interdependence and mutuality;

g) economy and sustainable production and consumption;

h) living and working environment;

i) safety and security;

j) community infrastructures;

k) mobility;

l) biodiversity and ecosystem services.

5.5 Leadership

The audit team shall have knowledge of the role and impact of the leadership of an organization, in order to evaluate whether the top management of an organization is demonstrating its commitment to the management system for sustainable development in communities and achieving its intended outcomes.

5.6 Planning

5.6.1 Risks and opportunities

The audit team shall have knowledge of types of risks and opportunities relevant to sustainable development in communities in order to evaluate whether the organization has applied relevant methods for determining risks and opportunities in its context and scope of the management system for sustainable development in communities.

NOTE 1 Examples of relevant methods and criteria for determining risks and opportunities can include qualitative and quantitative analysis.

NOTE 2 Additional information can be found in IEC 31010.

5.6.2 Baseline review

The audit team shall have knowledge of the common baseline review process relevant to a community in order to evaluate whether an organization has conducted its baseline review within the scope of the management system for sustainable development in communities.

5.6.3 Compliance obligations

The audit team shall have knowledge of compliance obligations related to sustainability issues included in the management system for sustainable development in communities.

5.6.4 Significance of sustainability issues

The audit team shall have knowledge to determine if the organization has identified the significance of the sustainability issues impacting its strategies, programmes, projects, plans and services in the community.

5.6.5 Identifying and engaging interested parties

The audit team shall have knowledge to determine whether processes for identifying and engaging the interested parties have been applied.

5.7 Sustainable development objectives

The audit team shall have knowledge to determine whether the organization has applied relevant methods to identify the strategy and objectives of sustainable development in communities.

5.8 Performance evaluation

The audit team shall have knowledge of performance evaluation methods, including proactive and reactive, qualitative and quantitative indicators, to determine whether the organization is achieving the intended outcomes of its management system for sustainable development in communities.

NOTE ISO 37120 presents a collection of reference indicators for city services and quality of life. There are also other sets of indicators for sustainable development, such as those provided in ISO/TR 37121.

6 Competence requirements for personnel conducting the application review

6.1 General

The personnel conducting the application review shall have the generic competence described in ISO/IEC 17021-1, shall understand the requirements of ISO 37101 and the relationship between those requirements, and shall have the knowledge requirements described in 6.2 and 6.3.

6.2 Terminology

The personnel conducting the application review shall have knowledge of the terminology related to sustainable development in communities.

6.3 Context of the organization

The personnel conducting the application review shall have knowledge of the generic context in which the organization operates.

7 Competence requirements for personnel reviewing and making certification decisions

7.1 General

The personnel reviewing and making certification decisions shall have the generic competence described in ISO/IEC 17021-1, shall understand the requirements of ISO 37101 and the relationship between those requirements, and shall have the knowledge requirements described in 7.2 to 7.5.

7.2 Terminology and processes

The personnel reviewing and making certification decisions shall have knowledge of the terminology and processes related to sustainable development in communities.

7.3 Context of the organization

The personnel reviewing and making certification decisions shall have knowledge of the generic context in which the organization operates including ISO 37101:2016, Clause 4.

7.4 Sustainability purposes and issues

The personnel reviewing and making certification decisions shall have knowledge of the six purposes of sustainability (ISO 37101:2016, 4.5) and how they interact with the twelve sustainability issues (ISO 37101:2016, 4.6).

7.5 Planning

The personnel reviewing and making certification decisions shall have knowledge of planning processes and methods, including, where relevant, baseline review and compliance obligations for sustainable communities.

