

DTS- ISO/IEC TS 17021-8

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

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 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).

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 meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information.

ISO/IEC TS 17021-8 was prepared by 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.

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 1: Requirements
- Part 2: Competence requirements for auditing and certification of environmental management systems [International Standard]
- Part 3: Competence requirements for auditing and certification of quality management systems [International Standard]
- 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]

- Part 8: Competence requirements for auditing and certification of management systems for sustainable development in communities [Technical Specification]
- Part 9: Competence requirements for auditing and certification of anti-bribery management systems [Technical Specification]
- Part 10: Competence requirements for auditing and certification of occupational health and safety management systems [Technical Specification in development]
- Part 11: Competence requirements for auditing and certification of facility management systems [Technical Specification in development]

Introduction

ISO 37101, Sustainable development in communities — Management system for sustainable development — Requirements with guidance for use, sets out a coherent framework to enable community to develop its purposes and vision. Personnel certifying the sustainable development in communities management system for (SDCMS) 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 Clause 4. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in 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 only those auditors who demonstrate relevant competence are allowed to conduct audits of SDCMS. 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:

[\(CASCO Secretariat to insert the link at a later stage\)](#)

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 complements the existing requirements of ISO/IEC 17021-1 for personnel involved in the certification process of a sustainable development of communities' management system (SDCMS).

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.

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 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 <http://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 SDCMS auditors

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 SDCMS and how its processes interact to meet the intended outcomes.

5.1.3 All personnel involved in SDCMS auditing 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 SDCMS knowledge 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 Terms, definitions and processes

The audit team shall have knowledge of the terms, definitions 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 generic 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 SDCMS.

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 SDCMS.

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 SDCMS within its context.

5.4 Sustainability purposes and issues

5.4.1 The audit team shall have knowledge of 6 purposes of sustainability and how they interact with the 12 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 SDCMS 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 the SDC in order to evaluate whether the organization has applied relevant methods for determining risks and opportunities in its context and scope of the SDCMS.

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, Risk management - risk assessment technique.

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 SDCMS.

5.6.3 Compliance obligations

The audit team shall have knowledge of compliance obligations related to sustainability issues included in the SDCMS.

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 SDC strategy and the sustainable development objectives.

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 SDCMS.

NOTE ISO 37120 presents indicators for city services and quality of life. Other sets of indicators for sustainable development are reviewed 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, understand the requirements of ISO 37101 and the relationship between those requirements, and the knowledge requirements described in 6.2 and 6.3.

6.2 Terms and definitions

The personnel conducting the application review shall have knowledge of the terms and definitions related to SDC.

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, understand the requirements of ISO 37101 and the relationship between those requirements, and the knowledge requirements described in 7.2 and 7.5.

7.2 Terms, definitions and processes

The personnel reviewing and making certification decisions shall have knowledge of the terms, definitions and processes related to sustainable development in communities (SDC).

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 6 purposes of sustainability (ISO 37101, Clause 4.5) and how they interact with the 12 sustainability issues (ISO 37101, Clause 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.

Annex A (informative)

Knowledge for auditing and certification of management systems for sustainable development in communities

Table A.1 provides an overview of the knowledge required for auditing and certification of management systems for sustainable development in communities but is informative because it only identifies the areas of knowledge for specific certification functions. The competence requirements for each function are stated in Clauses 6, 7 and 8 and Table A.1 gives the reference to the specific requirement.

Table A.1 — Knowledge for auditing and certification of management systems for sustainable development in communities

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	Audit team
Terms definitions and processes		7.2	5.2
Terms and definitions	6.2		
Context of the organization	6.3	7.3	5.3
Sustainability purposes and issues		7.4	5.4
Leadership			5.5
Planning		7.5	5.6
Risk and opportunities			5.6.1
Baseline review			5.6.2
Compliance obligations			5.6.3
Significance of sustainability issues			5.6.4
Identifying and engaging interested parties			5.6.5
Sustainable development objectives			5.7
Performance evaluation			5.8

Bibliography

- [1] ISO 19011, *Guidelines for auditing management systems*
- [2] *The integrated use of management system standards*, ISO handbook