TECHNICAL SPECIFICATION

ISO/IEC TS 17021-4

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

Part 4: Competence requirements for auditing and certification of event sustainability management systems

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

Partie 4: Exigences de compétence pour l'audit et la certification des systèmes de management responsable appliqués à l'activité événementielle

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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 17021-4 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 ISO/IEC 17021:2011, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*[1)], and 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]

The following part is under preparation:

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

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

Introduction

This Technical Specification complements ISO/IEC 17021:2011. In particular, it clarifies the event sustainability management system (ESMS) requirements for the competence of personnel involved in the certification functions 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 only those auditors who demonstrate the relevant competence are allowed to conduct the ESMS audits.

It is intended that all ESMS auditors possess the generic competencies described in ISO/IEC 17021:2011, and that the audit team possesses the specific ESMS competencies described in this Technical Specification.

Certification bodies need to identify the specific audit team members' competence needed for the scope of each ESMS audit. The selection of an ESMS audit team will depend upon various factors, including event sustainability issues, client organization and the site at which these issues occur.

The competence requirements for other personnel involved in certification activities are also described.

Certification bodies can also be involved in non-third party sector schemes. In certain cases, the certification scheme owner can stipulate additional competence requirements. Any certification body participating in any such scheme needs to take into account any such requirements.

The competence requirements set out in this Technical Specification in conjunction with ISO 19011 could also serve as guidance for any interested parties wishing to develop a set of competence criteria for internal or supply chain auditors.

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:

http://www.surveymonkey.com/s/JG7S8FQ

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

Part 4: Competence requirements for auditing and certification of event sustainability management systems

1 Scope

This Technical Specification complements the existing requirements of ISO/IEC 17021:2011. It specifies additional competence requirements for personnel involved in the audit and certification process for event sustainability management systems (ESMS).

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

ISO 20121:2012, *Event sustainability 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 17021:2011 and ISO 20121 and the following apply.

3.1
audit
systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.

[SOURCE: ISO 20121:2012, 3.36]

3.2
auditor
person who conducts an *audit* (3.1)

[SOURCE: ISO/IEC 17021:2011, 3.6]

3.3
competence
ability to apply knowledge and skills to achieve intended results

[SOURCE: ISO 20121:2012, 3.30]

3.4
event management cycle
stages and activities of an event (including products and services involved), from research, conception and planning through to implementation, review and post-event activities

[SOURCE: ISO 20121:2012, 3.9]

3.5
interested party
person or *organization* (3.7) that can affect, be affected by, or perceive themselves to be affected by a decision or activity

Note 1 to entry: This can be an individual or group that has an interest in any decision or activity of an organization.

[SOURCE: ISO 20121:2012, 3.16]

3.6
monitoring
determining the status of a system, a process or an activity

[SOURCE: ISO 20121:2012, 3.34, modified — Note 1 to entry has been removed]

3.7
organization
person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

Note 2 to entry: For organizations with more than one operating unit, a single operating unit may be defined as an organization.

[SOURCE: ISO 20121:2012, 3.1]

3.8
supply chain
sequence of activities or parties that provides products or services to the *organization* (3.7)

[SOURCE: ISO 20121:2012, 3.23]

3.9
sustainable development
development that meets the needs of the present without compromising the ability of future generations to meet their own needs

[SOURCE: ISO 20121:2012, 3.3, modified — Notes 1 and 2 to entry have been removed]

4 Generic ESMS competence requirements

4.1 General

Personnel involved in ESMS certification activities shall have a level of competence that includes the generic competencies described in ISO/IEC 17021:2011, as well as the ESMS knowledge described in Table 1.

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. This collective approach can also be applied to the other certification functions.

Table 1 and the text in 4.2 to 4.11 are in addition to the knowledge and skills in ISO/IEC 17021:2011, Annex A. Table 1 specifies the ESMS specific knowledge that a certification body shall define for specific certification functions. Boxes marked with **X** mean the certification body shall define the criteria and depth of knowledge. The extent and level of knowledge required will vary according to the different certification functions involved.

Table 1 contains the competence requirements necessary to demonstrate the knowledge and understanding of the event industry, the event management cycle, the event processes needed and their interactions, as well as their application to a range of event types within different sectors. Knowledge includes an understanding of current good practice.

Table 1 — Required knowledge for ESMS certification functions

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
Event and event sustainability terminology (4.2)	X	X	X
Sustainability context (4.3)	X	X	X
Sustainable development principles (4.4)		X	X
Event sustainability design, planning and delivery (4.5)			X
Techniques for identification of sustainable development issues and the evaluation of their significance (4.6)	X	X	X
Legal and other requirements (4.7)		X	X
Venue characteristics (4.8)	X		X
Operational control (4.9)			X
Event sustainability metrics, measurement and monitoring techniques (4.10)			X
Event sustainability performance evaluation (4.11)		X	X

4.2 Event and event sustainability terminology

Personnel involved in ESMS certification functions shall have knowledge of the terms, definitions and concepts related to event sustainability issues.

4.3 Sustainability context

Personnel involved in ESMS certification functions shall have knowledge of the context in which the organization operates its event activities, including the needs and expectations of the interested parties to the event.

4.4 Sustainable development principles

Personnel reviewing audit reports and making certification decisions and personnel involved in ESMS auditing shall have knowledge of sustainable development principles as applied to event activities.

4.5 Event sustainability design, planning and delivery

Personnel involved in ESMS certification auditing shall have knowledge of the event management cycle and its application to achieve the intended outcome of an event sustainability management system (e.g. knowledge of how the events industry functions).

4.6 Techniques for identification of sustainable development issues and the evaluation of their significance

Personnel involved in ESMS certification functions shall have knowledge of sustainable development issues with respect to events and techniques for their identification and evaluation.

NOTE Application reviewers need an understanding of those sustainable development issues sufficient to decide upon the complexity of the scope of the audit and the composition of the audit team.

4.7 Legal and other requirements

Personnel reviewing audit reports and making certification decisions and personnel involved in ESMS auditing shall have knowledge to determine if the organization has identified and evaluated its compliance with all applicable legal requirements and other requirements.

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

NOTE 2 Other requirements may include voluntary national, international and sector specific protocols for event sustainability reporting.

4.8 Venue characteristics

Personnel conducting the application review to determine the required audit team competence, to select the audit team members, and to determine the audit time and personnel involved in ESMS auditing shall have knowledge of venue characteristics (indoor, outdoor and virtual) at which event activities occur that can influence the organization's design, planning and delivery related to event sustainability. This can include its location, access in terms of public and other transportation, proximity to the local community and a suitable workforce and the short and long term potential impacts of the event on the surrounding areas, economy, ecosystem and communities.

4.9 Operational control

Personnel involved in ESMS certification auditing shall have knowledge of use of operational controls consistent with the organization's significant sustainable development issues, including the use of the supply chain (see 3.8) to achieve objectives and targets.

4.10 Event sustainability metrics, measurement and monitoring techniques

Personnel involved in ESMS certification auditing shall have knowledge of sustainability metrics, analytical methods, event measurement and monitoring techniques.

4.11 Event sustainability performance evaluation

Personnel reviewing audit reports and making certification decisions and personnel involved in ESMS auditing shall have knowledge of performance evaluation, including indicators sufficient to determine whether an organization's event sustainability performance is meeting the objectives and targets established by its management.

NOTE ISO 14031 provides further information on environmental performance evaluation (EPE).

5 Event specific competence requirements for the audit team

5.1 General

The audit team shall be appointed and composed of auditors (and technical experts, as necessary) who, between them, have the totality of the competencies identified by the certification body as set out in this clause, consistent with the scope of certification. The team shall have an understanding of the event management cycle, including the supply chain (see 3.8).

Individual auditors shall have an understanding of event sustainability issues and their associated impacts but might not possess sufficient knowledge to audit each of the economic, social and environmental issues.

The need for some or all of the following additional event specific competencies in 5.2 to 5.4 shall be determined prior to the Stage 2 audit.

NOTE 1 Many issues cut across economic, social and environmental categories. These could include food and beverage, governance, transport, venue selection, supplier selection, accessibility, animal welfare, corruption, product responsibility, etc.

NOTE 2 Risk and complexity are other considerations when deciding the level of expertise needed for any of these functions.

NOTE 3 Annex A contains examples of typical event functional activities.

5.2 Environment

5.2.1 General

The audit team shall have knowledge of environmental issues that result from activities prior to, during and after the event where resources are utilized, materials chosen and emissions are created and released.

5.2.2 Emissions and releases to land, air or water

The audit team shall have knowledge of emissions, releases and their potential impacts to land, air and water resulting from the event activities and their control (e.g. delivery vehicle emissions and impact on local air quality, waste discharges to landfill, resource depletion, sewage discharges and reduced water quality, temporary drainage, use of self-contained portable toilets, noise and impact on human health).

5.2.3 Resource utilization

The audit team shall have knowledge of the resources needed to deliver the event and how they can be used efficiently (conserved) or effectively (e.g. energy and infrared activated lighting, use of grey water for toilet flush, transportation and use of low energy vehicles (electric, gas, diesel, biofuels), use of potable water for personal hygiene only, selection of materials for food and beverage service ware, biodiversity change to flora and fauna through noise and light pollution).

5.2.4 Monitoring and measurement

The audit team shall have knowledge of the techniques used to monitor environmental issues (e.g. energy consumption/per operating hour, waste stream segregation and reuse/recycling, product labelling and life cycle, continuous or sample based noise observations, air sampling and analysis, etc.).

5.3 Economic

5.3.1 General

The audit team shall have knowledge of economic issues that result from activities prior to, during and after the event including the economic impact on the local community, potential return on

investment to stakeholders, use of innovation in providing events, direct and indirect economic impacts associated with events.

5.3.2 Economic impacts

The audit team shall have knowledge of the direct and indirect impacts, including return on investment or the benefit to the local economy and to the interested parties from the event (e.g. financial and other benefits to the shareholders, organizers, contractors, injection of some long term capital legacy such as a new soccer stadium or short-term cash flow to the local economy, including local employment initiatives or potential economic loss to local suppliers, etc.).

5.3.3 Monitoring and measurement

The audit team shall have knowledge of the techniques used to monitor economic issues (e.g. cost-benefit analysis, increased trading levels, including resource consumption per head of population, increased spending power, etc.).

5.4 Social

5.4.1 General

The audit team shall have knowledge of social issues that result from activities prior to, during and after the event including those related to labour standards, public and occupational health and safety, social justice, inclusion, indigenous rights, heritage, cultural and religious sensitivity.

5.4.2 Operating standards and codes

The audit team shall have knowledge of the International Labour Organization (ILO) and local labour, gender and equity, human and indigenous rights, inclusion, civil liberties, social justice, access and health and safety codes and standards associated with delivering events (e.g. fair wages and working hours, adequate working conditions, absence of child labour, freedom of speech, ILO conventions on social justice, labour, machinery, wheel chair access, braille numbering in lifts, non- discrimination policies, etc.).

5.4.3 Community

The audit team shall have knowledge of the needs, expectations and concerns of the local community and workforce, including heritage, cultural customs and religious sensitivities (e.g. traffic congestion, late night noise, potential for violence, serving only non-alcoholic beverages, sites sacred to indigenous peoples, prayer times and facilities, etc.).

5.4.4 Monitoring and measurement

The audit team shall have knowledge of the techniques used to monitor social issues (e.g. labour standards, wage rates, employment contracts, loss time injury rates, freedom of association, handling of grievances, equal opportunity, etc.).

Annex A
(informative)

Example of typical event functional activities

Table A.1 is informative and provides an example of typical event functional activities and their description.

Table A.1 — Example of typical event functional activities

Functional activities	Functional description
Communication and marketing	Brochures, signage, engagement with interested parties (internal and external), use of new media, engagement with press and broadcast, etc.
Transport and logistics	Movement of people, goods, infrastructure and equipment including participants and work force.
Destination/venue/site accommodation	Selection, including location, credentials, facilities, specification and accessibility.
Sourcing and supply chain management (procurement)	Evaluation and procurement of all components of the event, including goods and services.
Workforce	Management and training of individuals directly or indirectly engaged to deliver the event, including volunteers, contractors and employees.
Event production	The process involved in installing, delivering and breaking-down the main purpose of the event (e.g. sporting competition, trade exhibition, music festival).
Food and beverage	Provision of food and beverage to event participants.
Site or facilities management	Management of event infrastructure (e.g. facilities management, cleaning, waste etc.).
Retail/concessions/exhibitors/stallholders/sponsor activation	Commercial and non-commercial activities taking place within the event (e.g. points of sale for merchandise, information services, exhibition stands, sponsor marketing).
Event services	Services to event attendees (e.g. including ticketing, medical, mobility assistance, etc.).
Security	Security policies and procedures (including observance of the special needs of people with disabilities when designing emergency and evacuation systems) and human rights.

NOTE 1 There is usually one overall operational control function and it differs from event to event as to what this function is called and where this function resides (e.g. of functional name include venue management, operations team, production office etc.).

NOTE 2 Emergency/contingency plans including engagement with emergency services are normally managed by the operational control team.

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[3] ISO 14031, *Environmental management — Environmental performance evaluation — Guidelines*

[4] ISO 14040, *Environmental management — Life cycle assessment — Principles and framework*

[5] ISO/TR 14062, *Environmental management — Integrating environmental aspects into product design and development*

[6] ISO 14064 (all parts), *Greenhouse gases*

[7] ISO 14065, *Greenhouse gases — Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition*

[8] ISO 14066, *Greenhouse gases — Competence requirements for greenhouse gas validation teams and verification teams*

[9] ISO/TR 14069, *Greenhouse gases — Quantification and reporting of greenhouse gas emissions for organizations — Guidance for the application of ISO 14064-1*

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