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Sustainable cities and communities – Transforming our cities – Guidance for practical local implementation of ISO 37101 (ISO 37104:2019, IDT)

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The International Standard ISO 37104:2019 has the status of a Swedish Standard. This document contains the official English version of ISO 37104:2019.

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Denna standard är framtagen av kommittén för Nordic Forum for Smart and Sustainable Cities and Communities

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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 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 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 Technical Committee ISO/TC 268, *Sustainable cities and communities*.

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.

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Introduction

The unprecedented growth in urban population across the globe presents massive challenges to governments and their citizens. At the same time, this trend offers an opportunity to find new ways of managing cities and the overall impact of human settlements on the environment, respecting planetary boundaries[1)], addressing in particular climate change and loss of biodiversity. Accordingly, many communities, both large and small, are therefore committed to sustainable development.

On 25 September 2015, many countries through the United Nations committed to adopting 17 sustainable development goals (SDGs) addressing a broad range of development issues, including ending poverty, protecting the planet and ensuring sustainable levels of prosperity for all[2)]. Each goal has specific targets to be achieved by 2030. However, UN SDG 11b specifies that by 2020 cities should embark on integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, and resilience to disaster. Achieving these goals requires coordinated work by governments, the private sector, civil society and citizens. Cities, in particular, are key sites of, and actors in, sustainable development. Local governments play a key organizing role in building more sustainable and desirable collective futures. ISO 37101 refers to the SDGs: "When evaluating the contribution to achieve the six purposes of sustainability, taking into account the twelve sustainability areas of action, the organization shall *consider the UN SDGs* (in particular Goal 11), as well as their **potential implementation** in communities".

ISO 37101 is a management system standard for communities that commit to the sustainable development of their administrative area or territory. **This document applies ISO 37101 to specific types of communities: cities, towns, villages or other kinds of human settlements** with territorial boundaries and administrative authority. Building on and operationalizing the general requirements set out in ISO 37101, this document offers practical guidance to all types of cities and other settlements on initiating, planning, implementing, measuring and managing sustainable development activities in a way that is holistic, inclusive and based on sustainability principles. Successful sustainable development should deliver well integrated environmental and societal outcomes (social cohesion, economic stability and people's quality of life), and other long-lasting benefits.

The purpose of this document is to guide organizing bodies, usually local governments, in their efforts to stimulate and coordinate sustainable development. This document is primarily designed to assist with city-wide strategies. Other ISO standards might apply or other guidance might be developed for schemes on a broader or smaller scale. This document helps cities to raise questions without necessarily providing standardized answers. It provides a common framework that facilitates exchange and communication.

This document recommends the different steps that local governments should take to ensure that, in their city or community, their actions contribute to the achievement of the six purposes of sustainable development set out in ISO 37101. It applies the ISO 37101 Plan-Do-Check-Act systems approach (PDCA) to local governments. PDCA is a management methodology of five steps, based on political commitment, used to ensure the continuous improvement of a wide range of complex processes. This document also gives guidance for establishing, implementing, maintaining and continually improving such a management system to enable local governments to follow a systematic approach to sustainable development.

ISO 37101 and this document coalesce around *six main purposes* that typically express and underpin the values of communities that wish to develop sustainably: overall attractiveness, the preservation and improvement of the environment, resilience, responsible resource use, social cohesion and the well-being of citizens. These purposes are explored across *12 closely relevant sustainable development areas of action*.

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1) See ISO 37101:2016, Introduction.

2) See UN Report 'Transforming our world: the 2030 agenda for sustainable development', https://sustainabledevelopment.un.org/post2015/transformingourworld/publication. Use of the word 'transforming' in the title of the current document represents a direct connection to this UN report, seeking to highlight the role of cities in securing the broad transformation required by the SDGs.

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In addition to recommendations for the use of a management system approach, this document provides local governments with a methodological framework based on cross-tabulation of the purposes and areas of action that allows users to explore systematically whether existing and new strategies, programs, plans or services inter-connect and make a positive contribution to the sustainable development of cities and other settlements.

Following the introductory clauses outlining the scope of this document (Clause 1), relevant normative references (Clause 2) and a set of terms and definitions drawn principally from ISO 37101 (Clause 3), this document identifies three main components for successful implementation of a management system for sustainable development, as described in Figure 1:

1) In Clause 4, a **political commitment** that supposes:
   - city council leadership of a scheme and the expression of a vision for its implementation;
   - one organization in charge of the management of the scheme;
   - involvement of all relevant interested parties;
   - awareness, capacity building and reinforcement of staff competencies.
2) In Clause 5, a **management system of the scheme** that mobilizes all relevant fields for the sustainable development of cities, cross-analysing the 12 areas of action and six purposes, with four main stages:
   - baseline review;
   - establishing the strategy, which includes identifying and prioritizing the objectives according to the policy, that provides the global vision, conformity obligations, resources and their contribution to the six purposes;
   - establishing the action plan;
   - conducting evaluation of performance and continual improvement.
3) In Clause 6, robust **support for the management system** that ensures:
   - mobilization of adequate resources;
   - a communication plan at each stage of the process;
   - a record of the documented information.

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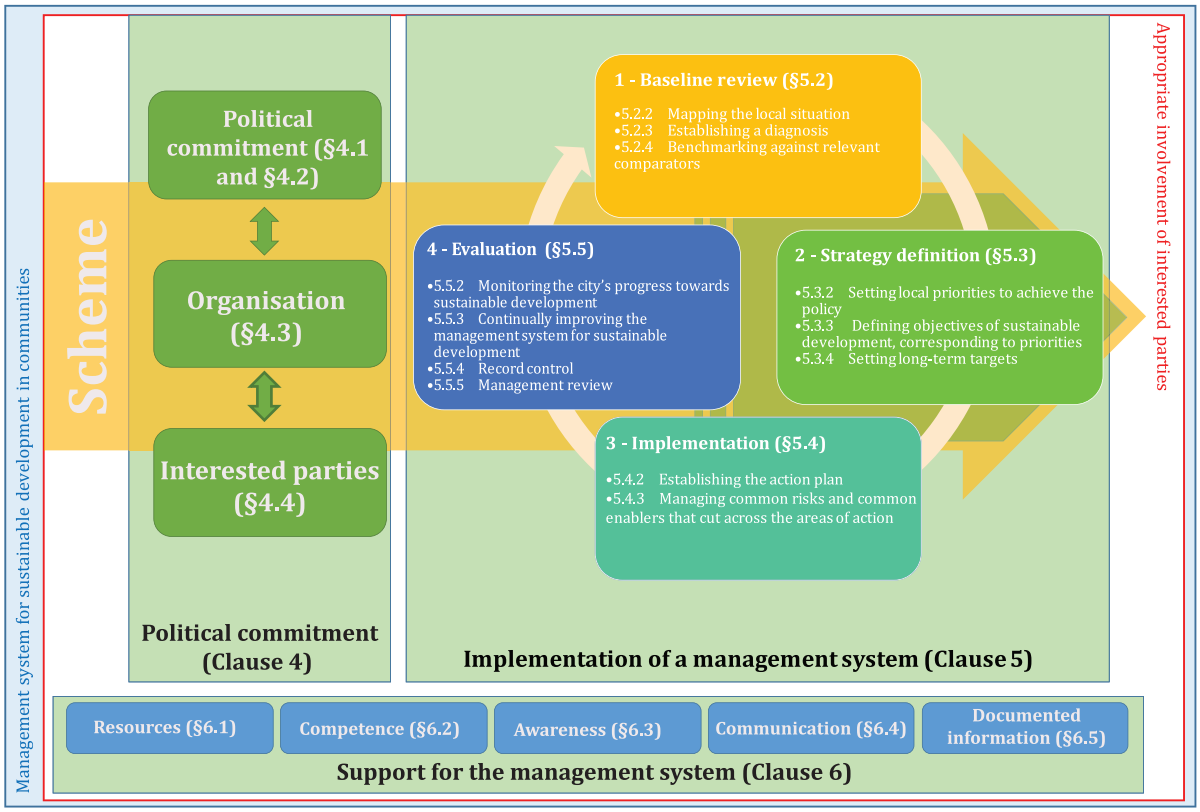

Figure 1 — Key steps of the management system

The "cross-analysis" of purposes and areas of action is a useful tool to support integrated implementation of the UN SDGs, especially Goal 11, as Annex A explains.

Annex B provides examples from cities which have implemented management practices in line with ISO 37101.

Annex C provides a national example of use of the cross-analysis matrix.

ISO 371xx family

ISO 37101 and this document are part of the ISO 371xx family which aims to foster the exchange of experiences at national and international levels. The family is an open framework, allowing the inclusion of a wide range of supporting documentation, examples and references from many sources. This library will be added to, updated and revised over time. Note that neither this document nor any subsequent standards in the series are intended to introduce new requirements for certification beyond those contained in the over-arching ISO 37101 framework. Rather, this document provides a degree of practical substance and reference material that complements other ISO 371xx standards.

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Sustainable cities and communities — Transforming our cities — Guidance for practical local implementation of ISO 37101

1 Scope

This document provides guidance on how to implement and maintain a management system for sustainable development based on ISO 37101 principles, specifically in the context of cities, but applicable to other forms of settlement. This document:

— provides guidance for practical implementation of a management system for sustainable development in cities and other settlements, based on ISO 37101;

— establishes a methodological framework for the systematic evaluation of the sustainable development schemes and achievements in the city or other settlements, based on the cross-analysis of the six purposes of sustainability and the 12 areas of action of ISO 37101;

— illustrates how other International Standards can be used to support successful implementation of ISO 37101, including, in particular, ISO 37120 (which recommends a suite of city indicators mapped against the six purposes of ISO 37101) and ISO 37106 (which provides practical guidance on how to implement joined-up delivery and innovation across organizational boundaries within the city or settlement).

This document is intended for organizing bodies, decision-makers, executive officers and managers in cities – usually, in the first instance, the relevant local governments.

This document is intended to help cities become more sustainable, through the implementation at city level of strategies, programmes, projects, plans and services referred to in this document as schemes (see Note 1 and 3.7). It also provides a platform to help demonstrate and communicate their commitment, progress and achievements.

NOTE 1 In this document, the term “scheme” is used to cover strategies, programs, projects, plans and services.

NOTE 2 The guidance can be used for city-wide strategies, but also, potentially, for some sector-specific schemes at a city level.

This document is applicable to a range of types and scales of communities: cities, towns, villages or other kinds of human settlements with defined boundaries.

NOTE 3 In this document, the term “city” refers to cities, towns, villages or other kind of human settlements with defined territorial boundaries and administrative authority.

The approach is in line with other deliverables developed by ISO/TC 268 and ISO/TC 268/SC 1 that could be identified as the ISO 371XX family.

This document can be used in whole or in part to establish or systematically improve a community-based sustainable development management system. It provides additional operational instructions and examples regarding ways of meeting the 37101 requirements.

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