



VISION 管 略

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ISO 9001如何幫助我們應對新冠肺炎疫情危機？

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Financing for Projects Fighting COVID-19

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Increase Resilience in a Turbulent World

As we all know, COVID-19 is posing challenges to markets around the world. Regional economies and enterprises need to improve their resilience against this kind of crisis in the long run.

According to research by the International Network of Financial Centres for Sustainability (FC4S Network) and the UN Environment Program (UNEP), investment in resilience-promoting projects to safeguard the health of citizens will be of increasing priority. Earlier this year, China's General Office of the National Development and Reform Commission released a notice to support bond financing of anti-epidemic industries. The International Finance Corporation (IFC) and the International Capital Market Association (ICMA) have also issued guidelines on COVID-19 related bonds.

To keep abreast of these market trends and social needs, HKQAA has launched the first COVID-19 Resilience Finance Certification Scheme. This new scheme aims to encourage issuers to direct capital to projects related to COVID-19 prevention, control and recovery, and building resilience against this virus. More details are given on the Feature section of this edition of VISION.

This issue also highlights how ISO 9001 can help organisations to survive, recover and eventually succeed during this crisis. Businesses need to implement changes in a timely manner during this difficult period, and quality management systems can assist them to do this in a systematic and agile way.

There are always disruptions to operations, but they are often impossible to predict. HKQAA will keep introducing advanced management tools to help enterprises and communities increase their resilience in the turbulent 'new normal' world that we face.

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How can ISO 9001 help us through the COVID-19 crisis?

Dr Nigel H Croft

Associate Technical Director, HKQAA
Convener of ISO/IEC Global Task Force for
Management System Standards



Introduction

The year 2020 will be remembered as the year that changed the world. COVID-19 has changed the way we look at our lives, the way we behave, and the way we do business. Even when the pandemic is eventually over, things will never be the same again – we will have a “new normal”. So how can a quality management system based on and certified to ISO 9001:2015 help organisations to survive, recover and eventually succeed during this crisis?



For those who are familiar with ISO 9001:2015, several key requirements will no doubt come to mind. The changes brought about by COVID-19 affect quite dramatically the context of most organisations, the needs and expectations of their relevant interested parties and the risks and opportunities the organisations face, to name but three.

But before going into details of ISO 9001, let's begin by looking at some important extracts taken from ISO 9000:2015, which establishes the fundamental principles of quality on which ISO 9001 is based:

“An organisation focused on quality promotes a culture that results in the behaviour, attitudes, activities and processes that deliver value through fulfilling the needs and expectations of customers and other relevant interested parties”.

“The quality of an organisation's products and services is determined by the ability to satisfy customers and the intended and unintended impact on relevant interested parties”.

“The quality of products and services includes not only their intended function and performance, but also their perceived value and benefit to the customer.”

So, for example, organisations that provide excellent IT support services to people's home computers, but whose technicians do not use face masks or respect social distancing rules during the COVID-19 crisis are no longer delivering a “quality service”. On the other hand, some supermarkets have excelled by providing free home delivery services to vulnerable people who are not able to leave their homes, thereby taking an opportunity to gain future loyal customers.

These are just two very simple examples where the changing business context has changed customer needs and expectations. There are also situations where the needs and expectations of interested parties other than customers have to be taken into consideration. This includes, for example, the needs and expectation of society that might lead to shops rationing customer purchases to a “maximum of three” items that are in high demand (such as toilet paper, hand sanitizers and so on), so that stocks will be still available for everyone who needs them.

The important thing an organisation needs to do in these very turbulent times is to recognize the need for change, and to implement changes in a timely manner. The quality management system can help an organisation to do this in a way that is both systematic and agile. Figure 1 is an old slide that I have used many times in my presentations and seminars, that I believe is extremely relevant here.

Quality Management System.....

A “documented system” – NOT a “system of documents”

IMPORTANT:

- System should not be “carved in stone”
- Should allow **flexibility and agility**
 - to seize **opportunities** as they arise,
 - adapt to the **risks** posed by the ever-changing business context

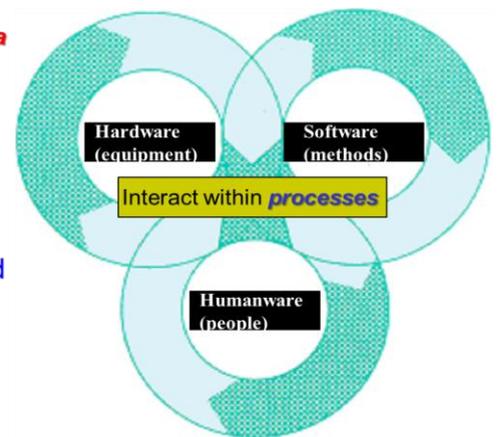


Figure 1 – Process-driven quality management system

A quality management system that is based on ISO 9001 should be process-driven, not document-driven, and should not inhibit change. Unfortunately, for some people, the first thing that comes to mind when management system standards are mentioned is the outdated (and near-sighted) philosophy of “write down what you do, then do what you wrote” that was associated with the first versions of ISO 9001 over 30 years ago. This created a mentality that innovation and organisational agility were incompatible with “ISO 9000” and quite often changes were not implemented by using the excuse “our ISO system will not allow us to do that!” Nothing could be farther from the truth - if a management system is properly implemented and is truly being put to good use by the organisation, it should be results-focused and facilitate innovation and change in a structured, disciplined and agile manner. As Charles Darwin famously said “It is not the strongest of the species that survive; nor the most intelligent – it is those that are most adaptable to change”.

This is also reflected in the ISO 9004:2018 Guidance Standard that focuses on the “sustained success” of an organisation: “Factors affecting an organisation’s success continually emerge, evolve, increase or diminish over the years, and adapting to these changes is important for sustained success. Examples include social responsibility, environmental and cultural factors, in addition to those that might have been previously considered, such as efficiency, quality and agility; taken together, these factors are part of the organisation’s context.”

So how can ISO 9001 help organisations through the COVID-19 crisis? Here are just a few ways, with reference to some specific ISO 9001:2018 requirements.....

Clause 4.1 (“Understanding the organisation and its context”) requires an organisation to determine the external and internal issues that can affect its ability to provide quality products and services, and to monitor these issues on a regular basis. This can then provide important information to the management review process (Clause 9.3). In these difficult times, extra (unscheduled) management reviews can provide an excellent opportunity to react quickly to the changing circumstances brought about by the pandemic, and to plan and deploy rapid responses as appropriate. Any changes needed (to the design of products and services (Clause 8.3.6), the way in which services are provided (Clause 8.5.6), the necessary process environment (Clause 7.1.4) and others) can then be communicated (Clause 7.4) and implemented throughout the organisation in an agile and organized way (Clause 6.3).

Clause 4.2 (“Understanding the needs and expectations of interested parties”) requires the organisation to determine who **are** the interested parties that are relevant for the quality management system, **what** are their relevant needs and expectations, and to monitor any changes. As with the requirements of Clause 4.1, a good way to monitor the very rapid changes brought about by COVID-19 is to use the management review process, and in particular to programme very frequent management reviews in these turbulent times. Whilst the primary interested party for quality management is the (direct and indirect) customer of the organisation, the needs and expectation of other interested parties (previously not considered important) are likely to come into play. For example, the needs and expectation of society (for the organisation not to unnecessarily stockpile vital supplies or to act in a way that could put others citizens at risk); the needs and expectations of employees and workers (by allowing greater flexibility for home-working; leave of absence to care for vulnerable relatives), and so on.

Clause 6.1 (“Planning to address risks and opportunities”) is probably one of the most important clauses of ISO 9001 in terms of an organisation’s response to COVID-19, and the way in which the organisation addresses these requirements will be key to its survival and future success. In these uncertain times, it is appropriate for us to remind ourselves of the definition of risk – “*the effect of uncertainty (on objectives)*”. Any decisions that the organisation takes will need to be made in an extremely agile manner, and with a clear recognition that the factual basis on which they are taken is subject to considerable uncertainty and may change very rapidly. This means that decisions might need to be revisited and revised regularly as more information becomes available.



Most people will recognize this concept as part of the “Plan-Do-Check-Act” cycle that is so important at all levels in the ISO 9001 standard. They may not be so familiar, though, with PDCA cycle’s lesser-known “cousin”, the “OODA” loop, developed by the American Air Force pilot John Boyd for agile decision-making in fast-changing scenarios. The OODA loop (“Observe, Orient, Decide, Act”) is a four-step approach to decision-making that focuses on filtering available information, putting it in context and quickly making the most appropriate decision, whilst at the same time understanding that changes can be made as more data becomes available. Although the OODA loop is not specifically mentioned in ISO 9001, its application can greatly assist organisations in these rapidly-changing COVID-19 related situations, and is totally consistent with the Quality Management Principle of “Evidence-based decision making”, which mentions that *“Decision-making can be a complex process and it always involves some uncertainty. It often involves multiple types and sources of inputs, as well as their interpretation, which can be subjective.”* (ISO 9000:2015, Clause 2.3.6)

.....but a well-implemented Quality Management System is not only about avoiding problems or minimising things that might go wrong! Clause 6.1 also emphasizes the need to recognize and act on opportunities as and when these arise. The commonly used dictionary definition of an “Opportunity” is a *“set of circumstances or a moment in time that makes it possible to do something”*. So the more forward-thinking organisations will actively seek out new opportunities during the COVID-19 crisis, by identifying potential new products and services they can provide, making modifications to existing products and services (including the ways in which these are provided), or entering new markets where competitors might be having difficulties in meeting market demand.

We have seen examples of engineering companies adapting their production lines to manufacture much-needed hospital equipment such as artificial ventilators or EPIs; grocery stores making free home deliveries, and construction companies being hired to build new hospitals in a matter of days or weeks. Of course, any such opportunities come with associated risks that need to be taken into consideration, and with specific requirements from the customers and regulatory bodies that have to be addressed within the quality management system (Clause 8.2.2) to ensure customer satisfaction (Clause 9.1.2) and, primarily, customer safety.



Clause 9.3 ("Management review") - as mentioned earlier, organisations can benefit from adopting a much shorter cycle time for management review than would normally be the case. Those who have taken a reactive approach to this requirement of ISO 9001 ("we have to do this once a year to show to our auditor") will have very little benefit, but those who have truly embraced the management review process as an important part of their business (see clause 5.1.1 c) will be able to use it in a quick and agile way to respond to the current COVID-19 crisis. This is no different from what many organisations and indeed governments are doing around the world, by having daily "crisis management (review) meetings" to assess the ongoing pandemic and the effectiveness of their reaction to it.

Clause 10 ("Improvement") The final clause of ISO 9001 warrants special mention because it includes several concepts within its requirements that can help organisations to deal with the COVID-19 crisis. Clause 10.1 recognizes the need to "improve products and services to meet requirements **as well as to address future needs and expectations**". As mentioned earlier, customer needs and expectations have changed significantly during the pandemic, and some of these changes will most likely become permanent as the world adjusts to the "new normal". The NOTE to Clause 10.1 recognizes that small-step continual improvements (whilst they are to be encouraged) are not always enough – sometimes breakthrough change, innovation or re-organisation is required.

Clause 10.2 ("Nonconformity and corrective action") can also be used to help organisations through the COVID-19 crisis. In particular, the requirement to "evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere" and to "determine if similar nonconformities exist, or could potentially occur" can be enhanced by looking **outside** the organisation. This could include, for example, learning from other organisations (and countries!) by looking at the successes and failures in the ways they have dealt with problems associated with the COVID-19 pandemic, and taking appropriate actions within the organisation to prevent similar problems from occurring.

So, to summarize, these are only a few selected examples of how a well-implemented quality management system can be an invaluable tool to help organisations through the COVID-19 crisis. It requires organisations to **embrace** the requirements of ISO 9001 in a constructive and proactive manner, rather than simply "meeting" the requirements in order to achieve certification.



COVID-19 Resilience Finance Certification Scheme

Financing for Projects Fighting COVID-19

Declared as a pandemic by the World Health Organisation (WHO), COVID-19 has been causing a huge impact on lives, families and communities across the globe. If no urgent socio-economic responses and long-term plans are implemented, suffering will increase, jeopardising lives and livelihoods for years to come, the United Nations has warned.

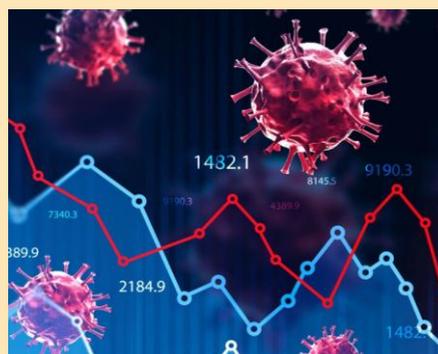
In response to the current situation and the recession that may result from it, the financial sector has been mobilising capital. COVID-19 related bond issuance has increased in mainland China and internationally. Since February, a number of Chinese banks and corporations have issued bonds to combat the coronavirus outbreak. Sovereign, supra-national and development banks have issued bonds, including the European Investment Bank, the African Development Bank and IFC. The International Capital Market Association (ICMA) and International Finance Corporation (IFC) have also issued guidelines on COVID-19 related bonds.



To cope with market needs, HKQAA has developed a new certification scheme, the **COVID-19 Resilience Finance Certification Scheme**. It aims at encouraging more issuers to direct capital to projects related to COVID-19 prevention, control and recovery, and building resilience against COVID-19.

About the Scheme

The COVID-19 Resilience Finance Certification Scheme is built on certification frameworks such as the Green Finance Certification Scheme (GFCS), and has similar requirements. Issuers of any bond or loan **which allocates all or part of its proceeds for COVID-19 Resilience** are eligible to apply for the certification. **Pre-issuance stage certificates** and **Post-issuance stage certificates** are available to cater to issuers which seek certification before or after debt instrument issuance.



The difference between GFCS and the new scheme mainly concerns the use of proceeds. In the new scheme, applicants can determine the percentage of proceeds to be allocated to COVID-19 Resilience. Also, issuers are required to disclose this percentage and how the remaining proceeds will be used.

An Eligible Project Classification has been developed, with reference to ICMA and IFC guidelines on COVID-19 related bonds and based on a recent UN report illustrating COVID-19's impact on Sustainable Development Goals (SDGs). The Classification is provided in the Scheme's Handbook for project matching. It provides examples of project activities that aim to tackle these impacts. Issuers match their project with the Classification to demonstrate their contribution to COVID-19 Resilience (i.e. Prevention, Control, Recovery and Resilience), describe the target population and intended outcome with KPI defined.



COVID-19's impact on Sustainable Development Goals (SDGs)

Benefits of the Certification

The certification enhances the credibility of and stakeholder confidence in the management framework of the debt instrument via independent, impartial third-party conformity assessments, reaches out to potential investors with specific focus on COVID-19 resilience with the aid of the Certificate and Certification Mark, demonstrates issuer's efforts to help with the COVID-19 resilience, and promotes a common understanding of responsible finance.

Green Finance Certification Scheme – ESG Fund

Further Promoting ESG Initiative

HKQAA announced the kick-off of its new initiative, the Green Finance Certification Scheme - ESG Fund, which provides third-party conformity assessments on ESG fund, further promotes ESG initiative to direct capital to companies with contribution to bring positive impact to sustainability, and in response to the Securities and Futures Commission's (SFC) Strategic Framework for Green Finance.

According to the Global Sustainable Investment Alliance (GSIA), worldwide ESG investment reached USD 30 trillion in 2018, and is expected to grow further. The rising global demand for ESG investment is creating more interest in ESG initiatives in local funds markets. In response to the Securities and Futures Commission's (SFC) Strategic Framework for Green Finance and the rising demand from investors to promote clarity among ESG Funds, HKQAA has developed a new extension, the Green Finance Certification Scheme – ESG Fund, which follows the launch in September 2019 of the Green Finance Certification Scheme – Green Fund.

An ESG Fund generally means a fund that aims to bring about a positive impact on sustainability by using environmental, social and governance (“ESG”) factors to identify companies and assets that contribute to sustainability. By integrating ESG factors into the decision-making process relating to portfolio selection and management, key risks can be managed and suitable investment opportunities offering competitive, risk-adjusted returns identified.

Develop the Scheme with Reference to International Standards

The certification framework for ESG funds is built on that of the Green Finance Certification Scheme. It was developed with reference to international principles and guidance, including the United Nations Principles for Responsible Investment (UNPRI). The certification requirements for ESG Funds and Green Funds are mostly similar. To accommodate the broader spectrum of ESG requirements, certain adjustments have been made to the terminology and fund objectives, such as addressing both environmental and social aspects, and expanding the related taxonomy.

With the launch of the ESG Fund certification pilot programme, HKQAA hopes to further promote ESG initiatives and drive capital to companies which have a positive impact on sustainability and are consistent and transparent in their disclosure to investors.



Introduction of New Council Members



Mr Chan Allan Sau Kit, BSc, BEng, MBA, R.P.E., FHKIE, MICE

Mr Chan had been the President since 2016 and was elected again as the President of the 70th Council (2019 – 2021) of the Hong Kong Construction Association. He is a member of the Land and Development Advisory Committee under the Development Bureau, a Director of the Hong Kong Green Building Council (HKGBC) and the incumbent Chairman of the Professional Green Building Council (PGBC). He is a Fellow Member of the Hong Kong Institution of Engineers and a Honour Advisor of the Institution of Civil Engineers Hong Kong.



Mr Calvin Chau

Born and raised in Hong Kong. Calvin attended boarding school in the UK and holds a B. Sc. Degree in Structural Design and M. Sc. in Production Technology and Industrial Management.

Calvin has been involved in a wide range of industries and commerce over the last 30 years, including electronics manufacturing, property management and insurance services. He is a member of the HK Institute of Real Estate Administrators, a Past President of the Rotary Club of the Peak and currently a council member of the Hong Kong Quality Assurance Agency.

Calvin is also an active member of business community, he is the Executive Vice President of the Hong Kong General Chamber of Small and Medium Business and an Executive Committee of the Hong Kong Playground Association (1933).

He has many social and community interests, serving as an Assistant Commissioner of the Hong Kong Scout Association (IB), Hon. Principal of the Confucian Academy, Observer of The Independent Police Complaints Council as well as being a member of the Confrerie de Chevaliers du Tastevin.

Calvin is committed to devote his time and endeavor on voluntary services and youth development, continuing to serve and contribute to our community and society in general.



Ms Law Suk Kwan Lilian, MH, JP

Ms Law Suk-kwan, Lilian has over 30 years of dedicated experiences in social services for Children and Youth, Women, Elderlies and Community Development. Before retirement, she was the Executive Director of the Boys' & Girls' Clubs Association of Hong Kong which has been serving Hong Kong for more than 80 years and around 1000 staff.

Ms Law has been and is serving as member in different statutory and government advisory committees including Town Planning Board, Community Investment & Inclusion Fund, Urban Renewal Fund and Community Care Fund Task Force, Commission on Poverty; and convenor of Sub-committee on Promotion of Student & Youth Volunteering (SWD) etc. She is currently appointed Adjunct Associate Professor of University of Hong Kong in Social Work and Administration.



Prof Thomas Ng

Prof Thomas Ng is Associate Dean (Student Development) of the Faculty of Engineering as well as Professor in the Department Civil Engineering, The University of Hong Kong. Thomas's research interests cover a wide range of topics including sustainable built environment, smart city, community resilience, infrastructure asset management, digital transformation, construction informatics, construction productivity and performance, project delivery systems, etc. Over the years, he has secured more than HKD 100 million of research grants and published over 400 scholarly items. Thomas is a Member of Technical Committee of Thermal Performance and Energy Use in the Built Environment set up by the International Organization for Standardization (ISO/TC163) and an Editor of Journal of Built Environment Project and Asset Management. He is a Fellow of the Institution of Civil Engineers, Hong Kong Institution of Engineers, Chartered Institute of Building, Royal Institution of Chartered Surveyors, etc.



Sr Dr Peter NG Yau-ye

Sr Dr Peter NG Yau-ye is an experienced quantity surveyor and businessman, with over 39 years' experience in the construction industry. He is the Chairman and Founder of Beria Consultants Limited with offices in Hong Kong, Chengdu, Macau, Shenzhen and Sydney and is a Registered Construction Manager and Registered Professional Surveyor in Hong Kong, Registered Cost Engineer of China as well as a Certified Quantity Surveyor in Australia. Dr Ng is Fellow Member of several professional associations including the Hong Kong Institute of Surveyors, Royal Institution of Chartered Surveyors, Australian Institute of Quantity Surveyors, Hong Kong Institute of Construction Managers, and Chartered Institute of Building. He is also Honorary President of Hong Kong Institute of Construction Managers.

Dr Ng serves the community in various capacities including the Hong Kong Chamber of Commerce in China-Sichuan, as Executive Member, and as Adjunct Professor of the Technological and Higher Education Institute of Hong Kong (THEi) and Sichuan Changjiang Vocational Institute. Dr Ng was the past President of Hong Kong Institute of Construction Manager (2010-2012), past Chairman of the VTC Building and Civil Engineering Training Board (2007-2013), past Chairman of the Association of Consultancy Quantity Surveyors Hong Kong (2013-2015) and past President of the International Chapter of the Australian Institute of Quantity Surveyors (2014-2016).



Mr Eric Pang

Mr Eric PANG is the Director of the Electrical and Mechanical Services Department (EMSD) and the General Manager of the Electrical and Mechanical Services Trading Fund (EMSTF), both of which are under the Government of the Hong Kong Special Administrative Region (HKSAR).

He leads over 5,000 staff in EMSD. As the Director, he is responsible for enforcing legislations in ensuring public safety on using electricity, gas, railway and other electrical and mechanical installations, and promoting energy efficiency and conservation as well as application of renewable energy in Hong Kong.

As the General Manager of the EMSTF, he administers the provision of one-stop, comprehensive, professional and quality E&M engineering services to government bureaux and departments, as well as public bodies such as the Hospital Authority and Airport Authority. The turnover of EMSTF reaches about \$8 billion in 2019/20.

Mr PANG is an engineer by profession. He has over 30 years' experience in engineering management and public administration. He is a fellow member of the Hong Kong Institution of Engineers (HKIE) and has served as the Chairman of the HKIE Gas and Energy Division.



Mr Wong Kit-loong

Mr Wong Kit-loong is the former Chief Executive Officer and Executive Director of the Hong Kong Housing Society. Mr. Wong is a Property Management professional, and possesses over 30 years' experience and extensive network in the housing and property sectors. He is a member of the Chartered Institute of Housing, Hong Kong Institute of Housing and Royal Institute of Chartered Surveyors.

Mr Wong has been actively involved in various public and community services. He is currently a member of the Hong Kong Housing Society, Elderly Commission, and the Steering Committee on Qualifications Framework Fund under Education Bureau.

He was also a member of Task Force on Land Supply, the Chairman of the Apprenticeship Training Board of Vocational Training Council, a member of Land, Rehousing and Compensation Committee of Urban Renewal Authority, a member of the Property Management Industry Training Advisory Committee under Education Bureau, the Chairman of Chartered Institute of Housing, Asian Pacific Branch, and a member of Hong Kong Housing Manager Registration Board.

International News

ISO makes standards related to COVID-19 available free of charge

ISO and a number of national standards bodies have made available to society, free of charge, technical standards supporting the fight against the COVID-19 pandemic. These include standards related to the manufacture and acquisition of medical devices identified as priorities for use in health services, as well as standards for pulmonary ventilators and some other products such as hand sanitizer gels. They also include a number of well-known management system standards such as ISO 13485 (Medical devices), ISO 22301 (Business continuity management) and ISO 31000 (Risk management).

A full list of the standards available from ISO and its member bodies can be found on the ISO website at <https://www.iso.org/covid19>

The webpage for SAC (China) <http://www.sac.gov.cn/sacen/FAC/> also provides useful comparisons and links, including:

- Chinese national standards list of products related to COVID-19
- Comparison information of relevant Chinese and foreign standards
- List of relevant Chinese national standards in foreign language
- Equivalence of standards information regarding face masks issued by foreign countries

Virtual Meetings in 2020

In light of the COVID-19 pandemic, ISO formally suspended all face-to-face technical meetings from the middle of March 2020. Meetings scheduled to be held before the end of September 2020 must now be postponed or held virtually. Given the logistics involved in planning large meetings, many committees have already cancelled physical meetings scheduled for later in the year. ISO/TC176 (Quality Management) was due to meet in Kigali, Rwanda at the end of October, but this meeting will now be conducted virtually. Likewise, the IAF cancelled its April 2020 meeting (originally scheduled to be held in Beijing) and its Annual Plenary meeting (originally scheduled for Montreal in November) will now also be held virtually.



“Annex SL” is circulated for ballot among ISO Member Bodies

The new revised version of ISO's “Annex SL” High-Level Structure for management system standards has now been distributed to ISO's 164 national member bodies for formal ballot. If approved, the new revision is expected to come into effect in early 2021, after which it will apply to the development of any new management system standards and any revision of existing standards. The ISO Technical Management Board Task Force, led by Dr Nigel Croft, is now preparing guidance for ISO Technical Committees that use Annex SL as a basis for these standards, to help with its effective implementation.

Latest Development on ISO Standards on Greenhouse Gas Emissions

Dr Nigel H Croft

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Introduction

Climate change is one of the biggest challenges our civilisation has ever had to deal with, and many organisations around the world are facing ever-increasing pressure to account for their contribution towards greenhouse gas ("GHG") emissions, which are one of the key factors in causing global warming. Climate change has implications for both human and natural systems and, even if mitigation efforts are successful, will ultimately lead to significant impacts on resource availability, economic activity and human wellbeing.



It is now over twelve years since ISO first published its ISO 14064 series of standards on the measurement and reporting of GHG emissions, to support global initiatives towards commitments made under the Kyoto Protocol (first adopted in 1997, but which only entered into force in 2005). The Kyoto Protocol marked the first major milestone in addressing climate change, and established targets for a reduction in overall emissions of the six main greenhouse gases, namely:

- Carbon dioxide (CO₂);
- Nitrous oxide (N₂O);
- Perfluorocarbons (PFCs); and
- Methane (CH₄);
- Hydrofluorocarbons (HFCs);
- Sulphur hexafluoride (SF₆)

The ISO 14064 standards have been updated, to bring them up-to-date with the changing global context, new climate change agreements, and current technologies and practices. This article describes some of the background to the latest update and the key changes that have been introduced.

Background

It is now over 25 years since many countries around the world joined the United Nations Framework Convention on Climate Change (UNFCCC) to begin to consider what could be done to reduce global warming, and a lot has happened since then. The UNFCCC recognised that the world climate is a shared resource that can be affected by industrial and other emissions of carbon dioxide and several additional greenhouse gases.

Around 200 countries ratified the UNFCCC, and in doing so agreed to collaborate in an overall framework for intergovernmental efforts to tackle the challenge posed by climate change. The United Nations Climate Change Conferences (often referred to as Conferences of the Parties, or "COPs") have been held on a yearly basis since that time, and it was the early "COPs" in the mid-1990s that developed and agreed the Kyoto Protocol.

When the Kyoto Protocol's first stage came to an end in 2012, it was agreed in principle to extend its validity, but less than 100 of the original signatories accepted the so-called "Doha Amendment" which would have kept their existing GHG reduction goals in place until 2020. After years of failure to reach an international consensus on a plan of action to replace the Kyoto Protocol, negotiators agreed in Paris in late 2015 ("COP 21") that instead, all nations would work to keep the global temperature rise this century "well below" 2 degrees Celsius above pre-industrial levels and to make serious efforts to keep the rise at just 1.5 degrees.

Latest Development Of The ISO 14064 Series Of Standards

ISO 14064 is published in three parts which together form a set of GHG accounting and verification criteria. This approach aims to ensure that emissions statements are comparable wherever in the world they are made so that end user groups such as governments, market traders and other stakeholders can rely on the data presented and the claims made.



ISO 14064-1:2018 ("GHG — Specification with guidance at the organisation level for quantification and reporting of GHG emissions and removals") addresses topics including the design, development, management, reporting and verification of an organisation's GHG inventory. The main changes introduced in this revision relate to indirect emissions and can be summarised as follows:

A new approach has been introduced to reporting boundaries, facilitating the inclusion and expansion of indirect emissions. This change is a response to a growing number of organisations that are recognising the importance and significance of indirect emissions and are developing GHG inventories that include more types of indirect emissions across the value chain.

The "indirect GHG emissions" category now requires the organisation to apply and document a process to determine which indirect emissions to include in its GHG inventory. As part of this process, it is required to define and explain the organisation's own pre-determined criteria for significance of indirect emissions, considering the intended use of the GHG inventory.

Requirements and guidance have been provided for classification of indirect GHG emissions into five specific categories.

- from imported energy
- from transportation
- from products used **by** the organisation
- those associated with the use of products **from** the organisation
- indirect GHG emissions from other sources

New requirements and guidance for GHG quantification and reporting of specific items, such as the treatment of biogenic carbon and GHG emissions related to electricity, have been added for clarification.

ISO 14064-2:2019 ("GHG - Specification with guidance at the project level for quantification, monitoring and reporting of GHG emission reductions or removal enhancements") includes requirements for planning a GHG project, identifying and selecting GHG sources, sinks and reservoirs relevant to the project and baseline scenario, as well as monitoring, quantifying, documenting and reporting GHG project performance and managing data quality. The main changes introduced recently compared to the previous edition are the inclusion of the concept of "additionality" (a term used in markets for "carbon offsets"), changes to the baseline scenario, and deletion of the text related to the Kyoto Protocol mechanism.

ISO 14064-3:2019 (“GHG - Specification with guidance for the verification and validation of GHG statements”) can be applied to the quantification of organisational or GHG projects, including monitoring and reporting carried out in accordance with ISO 14064-1 or ISO 14064-2. ISO 14064-3 also specifies requirements for selecting GHG validators/verifiers, establishing the level of assurance, objectives, criteria and scope, determining the validation/verification approach, assessing GHG data, information, information systems and controls, evaluating GHG assertions and preparing validation/verification statements. ISO 14064-3:2019 introduces a number of changes compared to the previous version, including the following:

The definitions of verification and validation and other key terms have been changed.

The structure of the document has been changed so that verification and validation are discussed in sequence rather than in parallel, because the processes of verification and validation are significantly different.



A new section on validation has been added, applicable to future estimates of emissions, removals, emission reductions and removal enhancements. The purpose of validation is to provide assurance on the assumptions, limitations and methods used to develop a GHG statement.

Requirements and guidance on the use of levels of assurance have been added.

A series of new Annexes has been included as follows:

- Annex A now defines requirements for verifiers to follow when undertaking engagements at a limited level of assurance.
- Annex B describes considerations for verification.
- Annex C provides guidance on a new process called agreed-upon procedures (AUP), which allows for only a selection of verification activities to be performed and reported upon.
- Annex D provides guidance on how verifiers and validators can provide statements on engagements that are mixed.

ISO 14065:2013 (“Requirements for Greenhouse Gas Validation And Verification Bodies for use in Accreditation or other Forms of Recognition”), first published in 2007 and revised in 2013, is also important, as it provides criteria for the verification and validation process and defines requirements for those who perform GHG validation and verification. This standard gives additional confidence to GHG programme administrators, regulators and accreditation bodies, and is used as a basis for IAF (International Accreditation Forum) mutual recognitions of accreditation that can be used globally.

MoU Signed with Center of Science and Technology and Industrialization Development of the Ministry of Housing and Urban-Rural Development

Join Hands to Promote the Development of Green Buildings

On 15 April 2020, HKQAA signed a Memorandum of Understanding (MoU) with the Center of Science and Technology and Industrialization Development of the Ministry of Housing and Urban-Rural Development (MOHURD). Our aim is to utilize the resources of both parties to jointly promote the high-quality development of green buildings in Hong Kong and on the Mainland.



We also aim to cooperate in the areas of research, consulting, certification, evaluation and training, and establish an in-depth exchange and collaboration platform for green buildings and other related fields. In view of the pandemic, the MoU signing event was held via video conference.

The MoU was signed by Dr Michael Lam, Chief Executive Officer of HKQAA (middle, bottom right photo), and Mr Liu Xinfeng, Director of the Center of Science and Technology and Industrialization Development of the MOHURD (left 2, bottom left photo). Mr P C Chan, Deputy Chief Executive Officer of HKQAA (left 1, bottom right photo) and Ms Jiang Zhongqiao, Deputy Director of the Center of Science and Technology and Industrialization Development of the MOHURD (right 2, bottom left photo) introduced both organisations 'development history, core businesses and development directions.

The parties spoke about their visions and expectations for further exchange and cooperation.



The MoU will utilise the strengths of both parties to foster exchanges and development in green buildings and other fields.

MoU Signed with San Qin Brand Development and Promotion Centre of Shaan Xi Province

Joining Hands to Promote Development of Brand Building in Shaanxi Province

On 18 June 2020, HKQAA signed a Memorandum of Understanding (MoU) with the San Qin Brand Development and Promotion Centre of Shaan Xi Province. Our aim is to utilise the advantages of both parties to jointly promote the establishment of service standardization system of Shaanxi social organisations and foster the high-quality brand image. In light of the pandemic, the MoU signing event was held via video conference.



The MoU was signed by Dr Michael Lam, Chief Executive Officer of HKQAA (middle, bottom right photo), and Mr Li Juncheng, Director of the San Qin Brand Development and Promotion Centre of Shaan Xi Province (right 2, bottom left photo). Mr Li and Mr P C Chan, Deputy Chief Executive Officer of HKQAA (left 1, bottom right photo) introduced organisations' history, core business and development directions. The parties spoke about their visions and expectations for further exchange and cooperation.



The MoU will utilise the resources of both parties to foster exchanges and development of brand building in Shaanxi province.

First Batch of "Made in the Bay Area" Organisations Certified

On 19 June 2020, HKQAA and the Guangzhou Brand and Quality Innovation Association jointly hosted a presentation ceremony at which the first batch of 12 "Made in the Bay Area" participating organisations were awarded certificates. The ceremony was attended by representatives from Guangzhou Municipal Administration for Market Regulation, Guangzhou Municipal Industry and Information Technology Bureau and China Council for the Promotion of International Trade Guangzhou Sub-Council.

The First Batch of "Made in the Bay Area" Participating Organisations

Guangzhou Liby Enterprise Group Co., Ltd.	Suofeiya Home Collection Co., Ltd.
Oppein Home Group Inc.	Guangzhou Snimay Furniture Co.,Ltd.
Guangzhou Liby Enterprise Group Co., Ltd.	Guangzhou Weimeizi Industrial Co., Ltd.
Guangzhou Uniasia Cosmetics Technology Co., Ltd.	Guangzhou Leonis Machinery Co., Ltd
Guangzhou Pearl River Kayserburg Piano Co., Ltd	Guangzhou Soundbox Acoustic Technology Co., Ltd.
Guangdong Hegii Co., Ltd.	Qingdao Kutesmart Co., Ltd



Qianhai Cross-border Green Bond Meeting

On 28 April 2020, Mr P C Chan, Deputy Chief Executive Officer of HKQAA, participated via video conferencing in the "Qianhai Cross-border Green Bond Meeting" organised by the Administrative Committee of Qianhai & Shekou Area of Shenzhen and The Authority of Qianhai. Also attending the meeting were Dr Ma Jun, Director General of the Green Finance Committee of the China Society for Finance and Banking, and representatives from numerous corporations, including Hong Kong Exchanges and Clearing, Bank of Jiangsu and China Securities.

The meeting discussed cross-border green bond policies and regulations, as well as a subsidy programme. It is expected that the meeting will lead to more cooperation between Hong Kong and Shenzhen in the area of green finance.



Launch of "Corporate Social Capital Implementation Guidance Document"

A New Way for Corporates to Optimising Sustainability Performance

Funded by the Community Investment and Inclusion Fund (CIIF) of the Labour and Welfare Bureau, Hong Kong Quality Assurance Agency (HKQAA) commenced a three-year project on "Bridging and Bonding – To Create Measurable Social Benefits" in 2017 to encourage the business sector to develop social capital. As part of the project, the "**Corporate Social Capital Implementation Guidance Document**" (**GD**), a management tool that assists companies in Hong Kong to develop their Corporate Social Capital (CSC), was launched. Through the building up of CSC, companies can improve their CSR performance, ultimately contribute to the sustainable development.

The development of **GD** is based on international norms and standards, professional management models and core dimensions of social capital. It is closely linked to the HKQAA Sustainability Rating and Research (HKQAA SRR) methodology, which is used for the assessment of HKQAA CSR Index Plus and for compiling the Hang Seng Corporate Sustainability Index Series.

The GD is a value-adding vehicle for recognising the sustainability achievements of a company. Please click [here](#) to know more or [download](#) it on the SOCIALCAPITAL.SHARE website.



Participating in UN75 Dialogue

Hong Kong's UN 75th Dialogue, on the theme of "Climate & Environment Sustainability", took place online on 18 May 2020. The event was jointly hosted by UNESCO Hong Kong Association (UHKA) and Hong Kong Institute of Education for Sustainable Development (HiESD).

The event invited the Chairman of Securities and Futures Commission, Mr Tim Lui to make the keynote speeches. Ir C. S. Ho, Chairman of HKQAA, was one of panelists, along with Prof. K C Ho, Honorary President of Green Power and Governing Council member of HKQAA, and Prof. Bernard V. Lim, Past President of Hong Kong Institute of Architects. Prof Wilson Chan from the HiESD moderated the panel discussion. The event attracted audience members from the United States, Japan, mainland China and Hong Kong.



Memorable Moments

Hong Kong Quality Assurance Agency (HKQAA) has been helping industrial and commercial bodies to develop effective management systems and good practices so that they can achieve their organisational and business goals.

From February 2020 to June 2020, we have been pleased to welcome various organisations to our community. They have obtained certificates in the following areas respectively:

- ISO 9001 Quality Management System
- ISO 13485 Medical Devices Quality Management Systems
- ISO 22000 Food Safety Management Systems
- ISO 37001 HKQAA Anti-Bribery Management Systems
- ISO 50001 Energy Management Systems Certification
- ISO 45001 Occupational Health and Safety Management
- ISO 22716 Cosmetics Good Manufacturing Practices
- ISO 14001 Environmental Management System
- Medical Face Masks Product Certification
- Quality Scheme for the Production and Supply of Concrete (QSPSC)
- SA8000 Social Accountability Management
- US FDA GMPC Cosmetic Good Manufacturing Practice (GMP)
- GB/T 23331 Energy management systems - Requirements
- Residential Care Home for the Elderly Certification Scheme
- OHSAS 18001 The Occupational Health and Safety Assessment Series
- HKQAA-HCS Hygiene Control System
- HKQAA-HACCP
- Green Finance Pre-issuance Stage Certificate
- Green Finance Post-issuance Stage Certificate

We believe the new clients will contribute to the overall success of the brand that prides itself on adding value to stakeholders.



Zhonghang Beautiful Urban And Rural Sanitation Group Co.,Ltd



China International Travel Service Of Zhongshan Co.,Ltd

HKQAA issues first “Medical Face Masks Product Certification”

HKQAA was pleased to issue the first Scheme certificate to **A.S. Watson Industries** (a division of A.S. Watson Group (HK) Limited) in mid 2020, which has also obtained **ISO 13485 Medical Devices Quality Management Systems Certification**. These certificates demonstrate that their medical face mask quality and production management have met international standards.



CQI & IRCA Certified ISO 9001:2015 QMS Lead Auditor

- Highlight the significant changes on the new 2015 standard as compared to the interpretation and application of the current ISO 9001 Standard.
- Focus on ISO 9001 and ISO 19011 Standard requirements
- Strengthen the foundation of audit methodology, skill & techniques.
- Learn to describe the purpose of an ISO 9001:2015 QMS audit and satisfy third-party certification.
- Acquire the skills to plan, conduct, report and follow up a QMS audit that establishes conformity and enhances overall organisational performance



Date	14-18 September 2020
Time	9:00am to 5:30pm
Venue	HKQAA, 19/F K Wah Centre, 191 Java Road , North Point, Hong Kong
Language	English with English materials

ISO 13485:2016 Medical Device Industry Quality Management System - Understanding & Application



- Understand the principles, definitions, requirements of ISO13485:2016
- Appreciate the actions required to establish a quality management system for manufacturing of medical devices
- Aware of tools and techniques which can be applied to manage risks
- Understand the preparation for certification

Date	1 September 2020
Time	9:00am to 5:30pm
Venue	HKQAA, 19/F K Wah Centre, 191 Java Road , North Point , Hong Kong
Language	Cantonese with English materials

Remarks 備註

Please refer the early bird payment deadline to our website
請於本局網頁參看優先報名之付款詳情

The course schedule is subject to change. Please refer to the most updated schedule in our web-site
課程內容或會略為改動，最新詳情請參看本局網頁

Organisations contracted HKQAA as their management system certification service providers have no obligation to enroll in any HKQAA training services
聘用本局管理體系認證服務的機構並無義務參加本局所舉辦的培訓課程

For enquires, please contact our Training Service Unit at
Tel: 2202 9111 Our website : <http://www.hkqaa.org/training/> Email : training@hkqaa.org

Greater Bay Area Financial Disputes Moderator Advance Internet Course 大灣區經濟糾紛調解員進階網絡課程

香港企業在中國大陸經貿日益頻繁，很多企業都會在生意上跟合作伙伴、供應商、客戶或競爭對手產生不同的糾紛，現時每每都會用法律訴訟來解決當中的大小問題。其實當中大部份問題都可以靠經濟糾紛人民調解員來協調，以達至雙方都可以在最公平、最公正、最有經濟效益和最短時間內提供給企業雙的營商環境，無論是通過訴訟或仲裁的途徑解決糾紛，方尋找出最好的解決方案。目前在中國內地政府大力推動和諧文明經商內地的法院和仲裁委員會都會採用「訴前聯調」的方式對所有案件進行調解，務求保持社會的安定團結與和諧。

香港品質保證局和經濟糾紛人民調解委員會合辦之大灣區經濟糾紛調解員進階課程，目的是讓港人能通過這個課程，了解國內目前處理糾紛的司法制度；《中華人民共和國人民調解法》和了解經濟糾紛案件的處理流程等實務性內容，為香港專業調解員在國內辦案是提供更多的協助。

課程內容

- 經濟糾紛人民調解員課程(基礎一)
- 經濟糾紛人民調解員課程(基礎二)
- 涉及行政決定及紀律的專業調解程序
- 處境討論及個案分析
- 考核環節

Date 日期

10 September 2020 2020年9月10日

Time 時間

9:00am to 5:30pm 上午 9時30分至下午5時30分

Language 語言

Chinese with Chinese materials 廣東話 - 輔以中文教材

Supervising Management Training Workshop 強勢督導管理培訓工作坊

督導人員是企業的中層骨幹，企業如要暢順運作和持續發展，有賴於督導人員的領導能力及管治表現。不過由於很多督導人員都是從機構內部晉升，一時間由下屬變成上司，督導人員頓時要面對及處理很多技術以外的人事管理問題；如要妥善處理上下層的工作關係，督導人員須擁有多方面的管理技能和敏銳的觸覺。古語有云：「修身、齊家、治國、平天下」，督導人員如欲成為一位出色領袖，應先從自我管理開始。本課程集古今管理智慧，將革新的管理哲學融會於現實工作環境中，並以互動及深入淺出的方式教學，讓學員有機會思考和分析不同處境，從而提升個人管理技能及管治魅力。

課程內容

單元一：督導管理簡介

- 管理人員的難處及挑戰
- 成功管理人員的特質
- 管理人員的角色及責任
- 何謂管理
- 管理人員常遇見之人事問題

單元二：高效督導管理

- 建立您的領導形像及風格
- 管理人員的權力來源
- 3+1 期望管理權式
- 有效授權過程及方法
- 制定有效工作目標
- 清楚訂明個人才能要求
- “推”與“拉”之員工輔導手法給與正面積極的工作表現回饋
- 處理問題員工
- 激勵員工手法
- 人心「贏」術
- 提升個人管治魅力

Date 日期

25 August 2020 2020年8月25日

Time 時間

9:00am to 5:30pm 上午9時30分至下午5時

Venue 地點

HKQAA, 19/F K Wah Centre, 191 Java Road, North Point, Hong Kong
香港北角渣華道191號嘉華國際中心19樓

Language 語言

Cantonese 粵語

