

## APPENDIX 2B Minimum Technical & Management Criteria for Admission, Confirmation and Promotion of Contractors for the List

- Table 1: Revised Requirements (applicable with effect from 1 December 2013)
- Table 2: Existing Requirements (prior to 1 December 2013)

### Table 1: Revised Requirements (applicable with effect from 1 December 2013)

(Note: except for contractors who have already submitted applications before 1 December 2013 for admission, or when contractors submit applications for confirmation or promotion basing solely on the experience of contracts for which tenders were invited before 1 December 2013, the existing requirements in Table 2 shall apply.)

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Entry on probation to Group A</b>	<p>1) Registration with the Building Authority's Register of General Building Contractors.</p> <p>2) Satisfactory completion of one building works contract (Government or non-Government contracts are acceptable) within the past 5 years.</p> <p>The contract shall be of value over 50% of the Group A limit and comply with the requirements in Annex 1.</p> <p>3) Experience as a sub-contractor will be accredited subject to the sub-contract works covering building trades and complying with other requirements specified in Annex 1.</p>	<p>There are no Group A contractors for the Port Works category.</p>	<p>1) Satisfactory completion of one roads and drainage works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 50% of the Group A limit.</p> <p>2) Experience as a sub-contractor will be accredited.</p>	<p>There are no Group A contractors for the Site Formation category.</p>	<p>1) Satisfactory completion of one mainlaying works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 50% of the Group A limit.</p> <p>2) Experience as a sub-contractor will be accredited.</p>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Confirmation to Group A</b>	1) Satisfactory completion as the main contractor of one Government or non-Government building works contract executed in HKSAR within the past 5 years, after inclusion in the Group A on probation, of value over 50% of the Group A limit and complying with the requirements specified in Annex 1.		1) Satisfactory completion as the main contractor of one Government or non-Government roads and drainage works contract executed in HKSAR within the past 5 years, after inclusion in the Group A on probation, of value over 50% of the Group A limit.		1) Satisfactory completion as the main contractor of one Government or non-Government waterworks contract executed in HKSAR within the past 5 years, after inclusion in the Group A on probation, of value over 50% of the Group A limit and covering mainlaying works.

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<p><b>Entry on Probation to Group B</b></p>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Registration with the Building Authority's Register of General Building Contractors.</li> <li>2) Satisfactory completion of one building works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 70% of the Group B limit and complying with the requirements in Annex 1.</li> <li>3) Experience as a sub-contractor will be accredited subject to the sub-contract works covering building trades and complying with other requirements specified in Annex 1.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Buildings category within the past 5 years, after confirmation in Group A, of value over 75% of the Group A limit and complying with the requirements in Annex 1.</li> </ol>	<ol style="list-style-type: none"> <li>1) Satisfactory completion of one port works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 50% of the Group B limit.</li> <li>2) Experience as a sub-contractor will be accredited.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of one roads and drainage works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 70% of the Group B limit.</li> <li>2) Experience as a sub-contractor will be accredited.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Roads and Drainage category within the past 5 years after confirmation in Group A, of value over 75% of the Group A limit.</li> </ol>	<ol style="list-style-type: none"> <li>1) Satisfactory completion of one site formation works contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 50% of the Group B limit and shall involve earthworks quantity (excluding quarrying and maintenance of spoil dumps) not less than 50,000 m<sup>3</sup>.</li> <li>2) Experience as a sub-contractor will be accredited.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of one waterworks contract (Government or non-Government contracts are acceptable) within the past 5 years. The contract shall be of value over 70% of the Group B limit and cover mainlaying works.</li> <li>2) Experience as a sub-contractor will be accredited.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in the Waterworks category within the past 5 years, after confirmation in Group A, of value over 75% of the Group A limit.</li> </ol>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Confirmation to Group B</b>	1) Satisfactory completion as the main contractor of one Government or non-Government building works contract executed in HKSAR within the past 5 years, after inclusion in the Group B on probation, of value over 70% of the Group B limit and complying with the requirements in Annex 1.	1) Satisfactory completion as the main contractor of one Government or non-Government port works contract executed in HKSAR within the past 5 years, after inclusion in the Group B on probation, of value over 50% of the Group B limit.	1) Satisfactory completion as the main contractor of one Government or non-Government roads and drainage works contract executed in HKSAR within the past 5 years, after inclusion in the Group B on probation, of value over 70% of the Group B limit.	1) Satisfactory completion as the main contractor of one Government or non-Government site formation works contract executed in HKSAR within the past 5 years, after inclusion in the Group B on probation, of value over 50% of the Group B limit.	1) Satisfactory completion as the main contractor of one Government or non-Government waterworks contract executed in HKSAR within the past 5 years, after inclusion in the Group B on probation, of value over 70% of the Group B limit

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<p><b>Entry on probation to Group C</b></p>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Registration with the Building Authority's Register of General Building Contractors.</li> <li>2) Satisfactory completion as the main contractor of at least one building works contract (Government or non-Government contracts are acceptable) within the past 7 years. Total value of not more than two of the above contracts shall be over 140 % of probationary limit of Group C and complying with the requirements in Annex 1.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Buildings category within the past 5 years, after confirmation in Group B, of value over 75% of the Group B limit and complying with the requirements in Annex 1.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of at least one port works contract (Government or non-Government contracts are acceptable) within the past 7 years. Total value of not more than two of the above contracts shall be over 140% of probationary limit of Group C.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Port Works category within the past 5 years, after confirmation in Group B, of value over 75% of the Group B limit.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of at least one roads and drainage works contract (Government or non-Government contracts are acceptable) within the past 7 years. Total value of not more than two of the above contracts shall be over 140% of probationary limit of Group C</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Roads and Drainage category within the past 5 years, after confirmation in Group B, of value over 75% of the Group B limit.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of at least one site formation works contract (Government or non-Government contracts are acceptable) within the past 7 years. Total value of not more than two of the above contracts shall be over 140% of probationary limit of Group C.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in Site Formation category within the past 5 years, after confirmation in Group B, of value over 75% of the Group B limit.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of at least one waterworks contract (Government or non-Government contractors are acceptable) within the past 7 years. Total value of not more than two of the above contracts shall be over 140% of probationary limit of Group C and covering mainlaying works.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion as the main contractor of one Government contract in the Waterworks category within the past 5 years, after confirmation in Group B, of value over 75% of the Group B limit.</li> </ol>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Confirmation to Group C</b>	1) Satisfactory completion as the main contractor of one Government or non-Government building works contract executed in HKSAR within the past 5 years, after inclusion to Group C on probation, of value over 70% of probationary limit of Group C and complying with the requirements in Annex 1.	1) Satisfactory completion as the main contractor of one Government or non-Government port works contract executed in HKSAR within the past 5 years, after inclusion to Group C on probation, of value over 70% of probationary limit of Group C.	1) Satisfactory completion as the main contractor of one Government or non-Government roads and drainage works contract executed in HKSAR within the past 5 years, after inclusion to Group C on probation, of value over 70% of probationary limit of Group C.	1) Satisfactory completion as the main contractor of one Government or non-Government site formation works contract executed in HKSAR within the past 5 years, after inclusion to Group C on probation, of value over 70% of probationary limit of Group C.	1) Satisfactory completion as the main contractor of one Government or non-Government waterworks contract executed in HKSAR within the past 5 years, after inclusion to Group C on probation, of value over 70% of probationary limit of Group C.

Remarks for Table 1 of this Appendix :

1. The revised admission/confirmation/promotion requirements in Table 1 of this Appendix shall take effect from 1 December 2013. Nevertheless, for contractors who have already submitted applications before 1 December 2013 for admission, the existing admission requirements in Table 2 of this Appendix will continue to apply. When contractors submit applications for confirmation or promotion basing solely on the experience of contracts for which tenders were invited before 1 December 2013, the existing confirmation or promotion requirements in Table 2 of this Appendix will also continue to apply.
2. “Government contract” in this Appendix refers to “HKSAR Government public works contract”.
3. Group A limit and Group B limit mean the Group Tender Limits for Group A and Group B respectively.
4. Probationary Group C limit means the total value of Group C contracts in any one category for which a probationary Group C contractor is eligible to be awarded.
5. Sub-contractor experience in this Appendix refers to working experience in carrying out sub-contract works in the first tier level (i.e. a sub-contract between the subject contractor and the main contractor) for all categories. In addition, for Waterworks category, relevant experience as a second tier sub-contractor for the main contract of other category under entrustment arrangement, incorporating waterworks elements that were required to be carried out by a contractor under the Waterworks category in the capacity as a sub-contractor will be accredited. In all cases, the sub-contract works shall be relevant to the works under the Category he is applying for. For avoidance of doubt, the same works can be counted only once for a contractor irrespective of the sub-contracting arrangement. The contractor shall provide sufficient evidence to demonstrate the experience acquired from his completed sub-contracts.
6. All Group B and Group C contractors must meet the Quality Management System Certification requirements as stipulated in WBTC No. 13/2001 and ETWB TCW No. 13/2001A.
7. For contracts completed by joint venture, only the part of contract completed by the contractor as a participant or shareholder in the joint venture shall be accredited and shall be calculated in accordance with his share of works by value. The part completed by the contractor shall be relevant to the works under the Category he is applying for. The contractor shall provide sufficient evidence to demonstrate the experience acquired from his completed part in the joint venture contracts.
8. Completion of contract refers to issue of certificate of completion of the works or the last completed section of the works (excluding establishment works) or, for term contracts, the issue of completion certificate for the last completed works order (excluding establishment works).
9. “value” refers to the Architect/Engineer’s estimated value of completed works and, in case of joint venture, the shared value of completed works undertaken by the applicant.
10. The non-Government main contract stipulated in the contract experience requirements for confirmation as set out in this Appendix should be comparable with Government main contract in terms of management and site practices, including among others, safety and environmental performance, as substantiated with proof by the contractor in his application. To facilitate investigation, the Managing Department and the Development Bureau may seek confirmation, as necessary, on the authenticity of the proof provided by the contractor and/or seek further references on the contractor’s technical and management capabilities from relevant authorities or clients/consultants/authorised persons/architects/engineers of the contracts concerned, as appropriate.

**Table 2: Existing Requirements (prior to 1 December 2013)**

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Entry on probation to Group A</b>	<ol style="list-style-type: none"> <li>1) Registration with the Building Authority's Register of Contractors.</li> <li>2) Satisfactory completion of at least two contracts within the past 5 years. Each contract shall be representative in size and complexity of Arch SD projects, and value over 50% of the Group A limit. <ul style="list-style-type: none"> <li>- sub-contract work must cover the whole range of building trades.</li> </ul> </li> </ol>	There are no Group A contractors for the Port Works category.	<ol style="list-style-type: none"> <li>1) Satisfactory completion of Government Roads and Drainage works within the past 5 years, to a total value of not less than 50% of the Group A limit. Experience as a sub-contractor may count. Private sector experience may also be accredited.</li> </ol>	There are no Group A contractors for the Site Formation category.	<ol style="list-style-type: none"> <li>1) Possession of adequate waterworks construction experience either acquired as contractor or sub-contractor for Government contracts.</li> <li>2) Mainlaying experience is a pre-requisite.</li> <li>3) Normally expected to have undertaken works of a waterworks nature with a total value of over \$10 million in the past 10 years.</li> </ol>
<b>Confirmation to Group A</b>	<ol style="list-style-type: none"> <li>1) Satisfactory completion of at least one Government building contract within the past 5 years, after inclusion in the Group, of value over 50% of the Group A limit and covering the whole range of building trades.</li> </ol>		<ol style="list-style-type: none"> <li>3) Satisfactory completion of at least one Government Roads and Drainage contract of value over 50% of the Group A limit after inclusion in Group A on probation. Experience as a sub-contractor may count.</li> </ol>		<ol style="list-style-type: none"> <li>1) Satisfactory completion of at least one mainlaying contract in the waterworks category of value over 75% of the Group A limit or two or more mainlaying contracts in the waterworks category with a total value of not less than \$20 million, after inclusion in Group A on probation.</li> </ol>



## Minimum Technical &amp; Management Criteria for Admission, Confirmation and Promotion of Contractors for the List

## Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Entry on Probation to Group B</b>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Registration with the Building Authority's Register of Contractors.</li> <li>2) Satisfactory completion of at least two contracts within the past 5 years as the main contractor. Each contract shall be representative in size and complexity of Arch SD projects, and value over 50% of the Group B limit.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of at least one Government building contract within the past 5 years, after confirmed in Group A, of value over 75% of the Group A limit and of considerable scope and complexity and covering the whole range of building trades.</li> </ol>	<ol style="list-style-type: none"> <li>1) Satisfactory completion of two contracts of predominantly port works nature within the past 5 years, of which one contract should be completed within 3 years preceding the application for inclusion and the value of works carried out for each of the two contracts should exceed 75% of the Group A limit; experience as a sub-contractor may be accredited.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of Government Roads and Drainage works, within the past 5 years, to a total value of not less than the Group B limit. Experience as a sub-contractor may count. Private sector experience may also be accredited.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of at least one Government Roads and Drainage contract of value not less than 75% of the Group A limit after confirmation in Group A. Experience as a sub-contractor may count.</li> </ol>	<ol style="list-style-type: none"> <li>1) Satisfactory completion, within the past 5 years, one contract or contracts involving total earthworks quantity not less than 100,000 m<sup>3</sup>, of which one contract would involve earthworks quantity not less than 50,000 m<sup>3</sup> in one or more of the following:- <ol style="list-style-type: none"> <li>i) bulk excavation and filling (excluding quarrying and maintenance of spoil dumps);</li> <li>ii) sanitary landfill;</li> <li>iii) slope stabilization.</li> </ol> </li> <li>2) Experience as a sub-contractor may be accredited.</li> </ol>	<p><b>A. Direct Entry</b></p> <ol style="list-style-type: none"> <li>1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for government contracts.</li> <li>2) Mainlaying experience is a pre-requisite.</li> <li>3) Satisfactory completion of three or more contracts of a waterworks nature of totally not less than \$75 million in value in the past 10 years. If in the capacity of a sub-contractor, the applicant must prove to have a major involvement in the works.</li> </ol> <p><b>B. By Promotion</b></p> <ol style="list-style-type: none"> <li>1) Satisfactory completion of three or more contracts in the waterworks category of totally not less than \$25 million in value after confirmation in Group A.</li> <li>2) Private sector experience may be accepted to supplement public sector experience.</li> </ol>

## Minimum Technical &amp; Management Criteria for Admission, Confirmation and Promotion of Contractors for the List

## Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
<b>Confirmation to Group B</b>	1) Satisfactory completion of at least one Government building contract within the past 5 years, after inclusion in the Group, of value over 75% of the Group B limit.	1) Satisfactory completion of at least one Government Group B port works contract within the past 5 years of value not less than 50% of the Group B limit. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of at least one Government Roads and Drainage contract of value not less than 75% of the Group B limit after inclusion in Group B on probation. Experience as a sub-contractor may count.	1) Satisfactory completion of at least one Government Site Formation contract within the past 5 years of value not less than 50% of the Group B limit, or one Government contract with earthworks quantity not less than 200,000 m <sup>3</sup> since inclusion. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of at least one contract in the waterworks category of value over 75% of the Group B limit or an aggregate value of work of at least \$50 million with at least one contract in Group B value, after admission to Group B on probation.
<b>Entry on probation to Group C</b>	<p><b>A. Direct Entry</b></p> <p>1) Registration with the Building Authority's Register of Contractors.</p> <p>2) Satisfactory completion of at least two contracts within the past 5 years as the main contractor. Each contract shall be representative in size and complexity of Arch SD projects, and value over the probationary limit of Group C.</p> <p><b>B. By Promotion</b></p> <p>1) Satisfactory completion of at least two Government building contracts within the past 5 years, after confirmed</p>	<p><b>A. Direct Entry</b></p> <p>1) Satisfactory completion of at least two contracts within the past 5 years in the Port Works category, each of value not less than 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p><b>B. By Promotion</b></p> <p>1) Satisfactory completion of at least one Government Group B port works contract, after confirmation to Group B, of value not less</p>	<p><b>A. Direct Entry</b></p> <p>1) Satisfactory completion in the past 10 years of a sufficient number of Roads and Drainage contracts of a total value not less than two times the probationary Group C limit. The value of each contract shall be over 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p><b>B. By Promotion</b></p> <p>1) Satisfactory completion of at least one Government Roads and Drainage contract of</p>	<p><b>A. Direct Entry</b></p> <p>1) Satisfactory completion in the past 5 years of at least two contracts in the works category, each of value over 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p><b>B. By Promotion</b></p> <p>1) Satisfactory completion of at least one Government Group B site formation contract within the past 5 years, after</p>	<p><b>A. Direct Entry</b></p> <p>1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for Government contracts.</p> <p>2) Mainlaying experience is a pre-requisite.</p> <p>3) Satisfactory completion of four or more contracts of at least two different types of work totally valued at not less than \$180 million with at least one contract of Group C value in the past 10 years. If in the capacity of a sub-contractor, the applicant must prove to have a major involvement in the works.</p>

## Minimum Technical &amp; Management Criteria for Admission, Confirmation and Promotion of Contractors for the List

## Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
	in Group B, of value over 75% of the Group B limit.	<p>than 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	value not less than 75% of the Group B limit after confirmation to Group B. Experience as a sub-contractor is not accredited.	<p>confirmation to Group B, of value not less than 75% of the Group B limit, or one Government contract involving earthworks quantity not less than 300,000 m<sup>3</sup>. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	<p><b>B. By Promotion</b></p> <p>1) Satisfactory completion of three or more contracts in the waterworks category of at least two different types of work totally valued at not less than \$60 million with at least one contract of Group B value, after confirmation to Group B.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>
<b>Confirmation to Group C</b>	1) Satisfactory completion of at least one Government Building contract within the past 5 years of value over \$90 million and of considerable scope and complexity.	1) Satisfactory completion of at least one Government Group C Port Works contract within the past 5 years of value over \$90 million. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of at least one Government Roads and Drainage contract of value over \$90 million. Experience as a sub-contractor is not accredited	1) Satisfactory completion of at least one Group C site formation contract within the past 5 years of value over \$90 million. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of two Group C contracts in the waterworks category of two different types of work totally valued at not less than \$120 million after admission to Group C on probation.

Remarks for Table 2 of this Appendix :

- #1. Group A limit and Group B limit mean the Group Tender Limits for Group A and Group B respectively.
- #2. Probationary Group C limit means the total value of Group C contracts in any one category for which a probationary Group C contractor is eligible to be awarded.
3. Where the relevant experience as a sub-contractor is counted for Buildings, Port Works, Site Formation or Waterworks category, it shall be that of a first tier sub-contractor, except that the relevant experience as a second tier sub-contractor for the contract of other category under entrustment arrangement, incorporating waterworks elements that were required to be carried out by a contractor under the Waterworks category in the capacity as a sub-contractor, may also be counted for the Waterworks category.
4. Where the relevant experience as a sub-contractor is counted for Roads & Drainage category only, it shall be the relevant experience as a principal sub-contractor, which is defined as a first tier sub-contractor who has completed at least 70% of the value of the works relevant to the Roads & Drainage category.
5. All Group B and Group C contractors must meet the Quality Management System Certification requirements as stipulated in WBTC No. 13/2001 and ETWB TCW No. 13/2001A.
- # The tender limits and probationary Group C limit effective as from 12 June 2009 will not affect the group limits and the minimum contract value referred in the contract experience requirement set out in Table 2 of this Appendix. The applicable tender limit for Group A, Group B and probationary Group C in Table 2 of this Appendix is \$20 million, \$50 million and \$180 million respectively.