

Contractor Management Handbook

Development Bureau

**Revision B-14
December 2016**

REVISION SHEET

Revision	Date	TC No.	Amendment
0	10/03/2001	5/2001	-
A	21/06/2002	25/2002	As shown in the Annex to WBTC No. 25/2002.
B	16/06/2005	9/2005	As shown in paragraph 7 of ETWB TCW No. 9/2005.
B-1	16/2/2007		Change from 3-grade to 5-grade Contractors' Performance Reporting System – Appendices 4A, 4B & Annex 1 to Appendix 4B as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (01CXS-01-4) in ETWB(PS) 108/34 of 9 Feb 2007.
B-1A	2/5/2007		Extension of time allowed for Contractor's Performance Report processing – paragraph 4.6.4 & Appendix 4D as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (01FK7-01-2) in DEVB(PS) 108/34 of 14 May 2007.
B-2	2/3/2009		Revision of Section 9 of Contractor's Performance Report and Guidance Notes – Appendices 4A & 4B as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (01YTL-01-4) in DEVB(PS) 108/34 of 6 Mar 2009.
B-3	12/6/2009		Revision of Tender Limit - paragraphs 2.2.1 and 2.5.1 & Appendix 2A as promulgated by letter to all contractors on the List of Approved Contractors for Public Works ref: (0213J-01-1) in DEVB(PS) 108/6/2 of 29 May 2009.
B-4	17/7/2009		Change of contract sum and financial criteria including employed and working capital and change of category name – Appendices 3A, 3B & 3C as promulgated by letter to all contractors on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (021JC-01-5) in DEVB(PS) 108/6/2 of 3 July 2009.

B-5	11/11/2009		Revision of academic qualifications – Annex 15 to Appendix 3C as promulgated by letter to all contractors under the “Ground Investigation Field Work” category of the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (0240X-01-4) in DEVB(PS) 108/34 of 11 Nov 2009.
B-5A	1/6/2011		Revision of Section 7 of Contractor’s Performance Report and Guidance Notes – Appendices 4A & 4B as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02BUT-01-7) in DEVB(PS) 108/34 of 18 May 2011.
B-5B	5/8/2011		Checklist for Projects of Considerable Scope and Complexity under Buildings category – Annex 1 to Appendix 2B as promulgated by letter to all contractors under the “Buildings” category of the List of Approved Contractors for Public Works ref: (02CPG-01-2) in DEVB(PS) 108/34 of 5 Aug 2011.
B-6	1/9/2011		Change in eligibility of Award of Contracts to Probationary Contractors – Sections 2 & 3.
B-7	30/4/2012		Review of the re-inclusion requirements for contractors who have been removed due to misconduct, and other routine updates in Sections 2, 3 and 5 as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02FBC-01-9) in DEVB(PS) 108/34 of 30 April 2012.
B-8	28/11/2012		Update on Items 5.8 and 6.7 of “Guidance Notes for Completion of Reports” as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02H8Y-01-5) in DEVB(PS) 108/34 of 28 November 2012.
B-9	11/1/2013		Revision of Sections 1 & 6 of the Report on Contractor’s Performance and the Guidance Notes for Completion of Reports at Appendices 4A & 4B as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02HNX-01-4) in DEVB(PS) 108/34 dated 11 Jan 2013.

B-10	25/3/2013		Promulgation of the establishment of the category of “Plumbing Installation”, and revision of the scope and the “minimum technical and management criteria for admission, confirmation and promotion” of the category of “Landscaping: Class I – General Landscape Work” as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02J7J-01-5) in DEVB(PS) 108/34 dated 25 March 2013.
B-11	1/9/2013		Revision of the procedures for substitution of listing status in Sections 2 and 6 as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02J81-01-3) in DEVB(PS) 108/34 dated 23 August 2013. Rectification of the typographic errors on items 6.8, 7.5 and 7.6 of the Report on Contractor Performance, Part II, Appendix 4A.
B-12	1/12/2013		Revisions in tender limits/financial criteria and admission/confirmation/promotion requirements for contractors on the List of Approved Contractors for Public Works – Sections 1 and 2, as well as Appendices 2A and 2B as promulgated by letter to all contractors on the List of Approved Contractors for Public Works ref: (02LMY-01-11) in DEVB(PS) 108/34 of 28 November 2013. Revisions in admission/confirmation/promotion requirements for specialist contractors under the categories of Landslip Preventive/Remedial Works to Slopes/Retaining Walls and Turn-key Interior Design & Fitting-out Works – Appendix 3C and Annex 18 to Appendix 3C as promulgated by letters to all specialist contractors under the two relevant categories on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: DEVB(PS) 108/34 of 28 November 2013.

B-13	9/5/2014	As promulgated by letter to all contractors on the List of Approved Contractors for Public Works List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02MQF-01-05) in DEVB(PS) 108/34 of 9 May 2014: (1) Revision of Sections 2 and 6, as well as Appendices 6A to 6E to align with the provision of the new Companies Ordinance (Cap. 622), which commenced operation on 3 March 2014; (2) Revision of Section 2 to clarify the counting of Housing Authority contracts associated with the eligibility to tender and for the award of contracts, and to align with the updated guidelines on public works tender procedures issued in pursuant to the revised Agreement on Government Procurement of the World Trade Organization which came into force on 6 April 2014 that contractors not yet on the approved contractor list in the relevant category / group / status will be permitted to take tender documents and may also submit a tender according to the tender notice; (3) Revision of Section 5 to clarify the need to report tendering performance of contractors in tender exercises which have been cancelled, and to update the distribution list in relation to the regulating actions associated with contractors given the 2nd consecutive Adverse report on performance; (4) Revision of Appendices 4A and 4B to incorporate new aspects and the relevant guidelines for the assessment of contractors' performance on training of workers to meet manpower demands and productivity enhancements into the Report on Contractor's Performance and the Guidance Notes for Completion of Reports respectively; and (5) General updating of Sections 2 to 5, Appendices 3B, 4A, 4B and 5A to 5D, and Annex 1 to Appendix 3C, Revisions of Section 4 to subsume the requirement on deferment of preparation of a report on contractor's performance if the contract commences shortly before the end of the reporting period as previously promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (01RYD-01-6) in DEVB(PS) 108/34 of 26 May 2008.
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B-14	1/12/2016		Revisions in tender limits/financial criteria and admission/confirmation/promotion requirements for contractors on the List of Approved Contractors for Public Works – Sections 1 and 2, as well as Appendices 2A, 2B and 2C as promulgated by letter to all contractors on the List of Approved Contractors for Public Works ref: (02VFH-01-2) in DEVB(PS) 108/34 of 30 November 2016. Revision of Section 2 to update values of contracts normally required financial vetting in paragraph 2.9.2. General updating of Section 2.
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SECTION 1 INTRODUCTION

1.1 General

1.1.1 The Contractor Management Handbook consolidates and updates the existing guidelines and procedures pertaining to administration and monitoring of the performance of contractors and suppliers on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works into a single handbook.

1.2 Effective Date

1.2.1 The Revision B of this Handbook shall take effect from **1 July 2005**.

1.2.2 For the effective dates of the subsequent revisions, please refer to the Revision Sheet and the relevant ensuing paragraphs.

1.3 Effect on Existing Technical Circulars

1.3.1 This Handbook shall supersede the following Technical Circulars: -

- (a) WBTC No. 5/2001 – Contractor Management Handbook;
- (b) WBTC No. 25/2002 – Contractor Management Handbook – Revision A;
- (c) ETWB TCW No. 44/2002 and 44/2002A – Regulating Actions for Contractors Convicted of Employing Illegal Workers or of Having Illegal Workers on Sites under their Control; and
- (d) ETWB TCW No. 18/2003 – Substitution of Listing Status and Transfer of Benefits and Obligations of Contracts.

1.3.2 This Handbook should be read in conjunction with the following Technical Circulars or such subsequent amendments as may be issued from time to time: -

- (a) WBTC No. 17/96 – Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing;

- (b) WBTC No. 26/2000 – Score Card for Assessment of Site Safety Performance;
- (c) WBTC No. 13/2001 and ETWB TCW No. 13/2001A – Quality Management System Certification of Consultants and Contractors for Public Works Administered by the Works Group of Departments;
- (d) WBTC No. 25/2001 and ETWB TCW No. 25/2001A – Admission of EMSTF onto the List of Approved Suppliers of Materials and Specialist Contractors for Public Works under 25 Categories of E&M, Electronics and Building Services;
- (e) WBTC No. 13/2002 – Employment of Qualified Tradesmen and Intermediate Tradesmen by Contractors of Public Works Contracts;
- (f) Not used
- (g) ETWB TCW No. 50/2002 – Contractors' Joint Ventures;
- (h) Not used
- (i) ETWB TCW No. 12/2003 – Employment of Technician Apprentices and Building & Civil Engineering Graduates by Contractors of Public Works Contracts;
- (j) Not used
- (k) ETWB TCW No. 22/2003 & 22/2003A – Additional Measures to Improve Site Cleanliness and Control Mosquito Breeding on Construction Sites;
- (l) ETWB TCW No. 10/2004 – Tenderer's Eligibility for the Award of Works Contracts;
- (m) Not used
- (n) ETWB TCW No. 31/2004 and DEVB TCW No. 6/2010 – Trip Ticket System for Disposal of Construction & Demolition Materials;

- (o) ETWB TCW No. 19/2005 – Environmental Management on Construction Sites (and Pay for Safety Performance Merit Scheme);
- (p) ETWB TCW No. 3/2007 & DEVB TCW No. 3/2007A – Contractors' Performance Index System;
- (q) DEVB TCW No. 3/2009 – Regulating Action against Contractors for Occurrence of a Serious Incident or Conviction for Site Safety or Environmental Offences; and
- (r) DEVB TCW No. 1/2013 – Rules for the Administration of the “Plumbing Installation” Category under the List of Approved Suppliers of Materials and Specialist Contractors for Public Works.

1.4 Changes Incorporated

1.4.1 The revisions made to the Revision A of this Handbook by the following documents have been incorporated in this Revision B: -

- (a) ETWB TCW No. 13/2001A – Quality Management System Certification of Consultants and Contractors for Public Works Administered by the Works Group of Departments;
- (b) ETWB TCW No. 44/2002 and 44/2002A – Regulating Actions for Contractors Convicted of Employing Illegal Workers or of Having Illegal Workers on Sites under their Control [superseded by Section 5 of this Handbook];
- (c) ETWB TCW No. 47/2002 – Management of Sub-contractors by Contractors [subsumed under Chapter 5 and Chapter 7 of the Project Administration Handbook for Civil Engineering Works (PAH) which is available in the website of the Civil Engineering and Development Department (CEDD), and Section 5 of Appendix 4B of this Handbook];
- (d) ETWB TCW No. 2/2003, 2/2003A and 2/2003B [superseded by ETWB TCW No. 3/2009 – Regulating Action against Contractors for Occurrence of a Serious Incident or Conviction for Site Safety or Environmental Offences];
- (e) ETWB TCW No. 12/2003 – Employment of Technician Apprentices and Building & Civil Engineering Graduates by Contractors of Public Works Contracts;
- (f) ETWB TCW No. 18/2003 – Substitution of Listing Status and Transfer of Benefits and Obligations of Contracts [superseded by Section 6 of this Handbook];
- (g) ETWB TCW No. 10/2004 – Tenderer's Eligibility for the Award of Works Contracts;

- (h) ETWB TCW No. 13/2004 – Engagement of Sub-contractors Registered from Voluntary Sub-contractor Registration Scheme [subsumed under Chapter 5 and Chapter 7 of PAH which is available in the website of CEDD];
- (i) ETWB TCW No. 31/2004 – Trip Ticket System for Disposal of Construction & Demolition Materials;
- (j) changes in category description as publicized in the website of DEVB;
- (k) deletion of 2 categories of works as publicized in the website of DEVB; and
- (l) subsequent amendments made on Appendix 3C to the Contractor Management Handbook – Revision A, as publicized in the website of DEVB.

1.5 Amendments in the Revision B

1.5.1 The amendments made in the Revision B of this Handbook are listed hereunder for ease of reference: -

	<u>Brief Description</u>	<u>Reference</u>
(a)	General updating	
(b)	Requirement of submitting written partnership agreement	Paragraphs 2.1.7, 2.4.4 & 2.15.1
(c)	Clarification on the value of contracts for Group Tender Limits	Paragraph 2.2.1
(d)	Elaboration on the vetting required for changes in company structure	Sub-sections 2.15 & 3.15
(e)	Updating the means of publishing the Approved Lists	Paragraphs 2.4.8 & 3.4.8
(f)	Revision of the list of categories which financial checking is not required on the contractors except those tenderers whose contract is of value exceeding \$5,000,000	Paragraphs 3.4.6 & 3.9.2

(g)	Introduction of Profitability Trend Analysis (PTA) for contractors on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works	Paragraph 3.9.3; Appendix 3B: 7 to 10 & 14
(h)	Revision of reporting system at the maintenance and defects liability periods	Sub-section 4.5
(i)	Clarification on the procedure for issuing additional six-weekly intervening reports	Sub-section 4.5
(j)	Clarification on the timetable for reporting on contractors' performance if the Reporting Review Committee intends to alter any grades in the performance report	Paragraph 4.6.4; Appendix 4D
(k)	Clarification on the circumstances for failing to comply with any of the Rules for Administration of the Approved Lists	Sub-paragraph 5.1.3(xvii)
(l)	Clarification on "misconduct" & "suspected misconduct" leading to regulating actions	Sub-paragraphs 5.1.3(v), 5.2.3(a)(i), 5.2.3(a)(ii) & 5.2.3(c)(i) and paragraphs 5.2.4 & 5.2.5
(m)	Clarification on non-conforming tenders leading to regulating actions	Sub-paragraph 5.2.3(b)(i)
(n)	Elaboration of the definition of a competitive tender	Sub-paragraph 5.2.3(b)(i)
(o)	Specifying the commencement date of voluntary suspension for consecutive Adverse reports	Sub-paragraph 5.4.5(b)(ii)
(p)	Clarification on the procedure for uplifting of voluntary suspension made during the maintenance period or defects liability period	Sub-paragraph 5.4.5(b)(ii)

(q)	Clarification on the circumstances requiring an overall review of the situation after completion of the contract	Sub-paragraphs 5.4.5(b)(ii) & 5.4.5(d)
(r)	Additional circumstances which may lead to the taking of regulating actions against contractors on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works	Paragraph 5.6.4
(s)	Tightening the triggering criterion for taking regulating actions against contractors convicted of contraventions of the Employment Ordinance (Cap. 57)	Paragraph 5.7.1
(t)	Update on Sub-sections 6.5 - 6.8	Paragraphs 6.5.1 - 6.8.1; Appendices 6A - 6C
(u)	Revision of financial criteria for retention and tendering	Appendix 2A: 5; Appendix 3B: 3, 4 & 15
(v)	Clarification of the existing financial information required to be submitted for financial assessment	Appendix 2A: 2, 13; Appendix 3B: 2,12; Annex to Appendices 2A & 3B
(w)	Specifying time limits for the minimum technical criteria and the requirements for relevant experience as sub-contractors	Appendix 2B
(x)	Update on guidance notes for completion of reports on contractors' performance	Appendix 4B

1.5.2 In order to facilitate the existing contractors on the List of Approved Contractors for Public Works and/or the List of Approved Suppliers of Materials and Specialist Contractors for Public Works to maintain their present listing status, the contractors will be given a 18-months' grace period to adjust to the new financial criteria. All contractors on the aforesaid Lists shall meet the new financial criteria set out in the Revision B from **1 January 2007**. That is to say, all management accounts or audited accounts with

the accounting periods ending on or after 30 June 2006 will be subject to the new financial criteria.

1.5.3 Commencing from **1 July 2005**, all contractors shall meet the new financial criteria applicable to the specific category and/or Group for admission, confirmation or promotion even though application for admission, confirmation or promotion has been made prior to **1 July 2005** and consideration is being given to the application.

1.5.4 For the purpose of tender evaluation, contractors shall be subject to the financial assessment based on the new financial criteria set out in the Revision B if the tender closing date of a tender falls on **1 July 2005** or anytime thereafter.

1.6 Amendments in the Revisions B-1 to B-11

1.6.1 Please refer to the Revision Sheet.

1.7 Amendments in the Revision B-12

1.7.1 The revised tender limits for the contractors on the List of Approved Contractors for Public Works shall take effect from **1 December 2013**, except that the probationary Group C limit will be revised in two stages taking effect from **1 December 2013** and **1 December 2015** respectively. For contracts with the first date of invitation for tender being before the effective date of the revised tender limits, the tender limits before the revision are adopted for assessment purpose.

1.7.2 The revised financial criteria for the contractors on the List of Approved Contractors for Public Works shall take effect from **1 December 2013**. Existing contractors on the List will be given a grace period of 12 months after which they are required to fully comply with these revised financial criteria for retention by **1 December 2014**. Notwithstanding this grace period, contractors will have to meet the revised financial criteria when tendering for a new contract with tender invitation date on or after the effective date, viz. 1 December 2013.

1.7.3 The revised admission/confirmation/promotion requirements for the contractors on the List of Approved Contractors for Public Works shall also take effect from **1 December 2013**. The revised requirements mainly include:

- (a) cancellation of the minimum 24-month probationary period;
- (b) alignment of different experience requirements amongst the categories; and
- (c) acceptance of relevant non-government main contracts executed in HKSAR for probationary contractors to get the confirmation status.

1.7.4 Moreover, the revised admission/confirmation/promotion requirements for the contractors on Landslip Preventive/Remedial Works to Slopes/Retaining Walls category and Turn-key Interior Design & Fitting-out Works category shall take effect from **1 December 2013**.

1.8 Amendments in the Revision B-13

1.8.1 The major amendments made in the Revision B of this Handbook are listed hereunder for ease of reference: -

	<u>Brief Description</u>	<u>Reference</u>
(a)	General updating	Paragraphs 2.8.1, 2.9.1, 2.15.2, 3.5.3, 3.15.1, 3.15.5, 3.15.6, 4.2.1, 4.2.2, 4.4.2, 4.5.1, 4.5.3, 4.5.8, 4.6.2, 4.6.3, 4.6.4 & 5.2.2; Sub-paragraphs 5.2.3(d)(ix); Paragraphs 5.7.9, 5.8.9, 5.15 & 5.15.1; Appendix 3B; Annex 1 to Appendix 3C; and Appendices 4A, 4B and 5A to 5D
(b)	Clarification on the counting of Housing Authority contracts associated with the eligibility to tender and for the award of contracts	Paragraph 2.3.3; Sub-paragraph 2.5.1(c); and Paragraphs 2.5.3 & 2.5.4
(c)	Alignment with updated guidelines on public works tender procedures issued in pursuant to the revised Agreement on Government Procurement of the World Trade Organization (WTO GPA) that contractors not yet on the approved contractor list in the relevant category / group / status will be permitted to take tender documents and may also submit a tender according to the tender notice	Paragraph 2.8.5
(d)	Alignment with the provision of the new Companies Ordinance (Cap. 622)	Paragraph 2.11.1; Sub-paragraph 6.1.1(b); and Appendices 6A to 6E
(e)	Subsumption of the requirement on deferment of preparation of a report on contractor's performance if the contract commences shortly before the end of the reporting period as previously promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (01RYD-01-6) in DEVB(PS) 108/34 of 26 May 2008	Paragraphs 4.5.2 & 4.5.2A

(f)	Clarification on the need to report tendering performance of contractors in tender exercises which have been cancelled	Sub-paragraph 5.2.3(b)(i)
(g)	Removal of the Central and Public Works Tender Boards from the distribution list on confirmation of voluntary suspension, confirmation of uplifting of voluntary suspension and advice on the reason of recommendation for mandatory suspension not being supported in relation to the regulating actions associated with contractors given the 2nd consecutive Adverse report on performance	Sub-paragraphs 5.4.5(b)(ii) & 5.4.5(b)(iii)
(h)	Incorporation of new aspects and the relevant guidelines for the assessment of contractors' performance on training of workers to meet manpower demands and productivity enhancements into the standard proforma of the Report on Contractor's Performance and the Guidance Notes for Completion of Reports respectively	Items 7.6 and 7.10 in Section 7 of Appendix 4A and Items 7.6, 7.10 and 9.3(d) of Appendix 4B

1.8.2 The new Companies Ordinance (Cap. 622) commenced operation on 3 March 2014. To align with the provision of the new Companies Ordinance (Cap. 622), the corresponding amendments made to this Handbook should take effect from **3 March 2014**.

1.8.3 The revised WTO GPA came into force on 6 April 2014. The relevant amendment made to paragraph 2.8.5 should take effect on all works contracts governed by WTO GPA to be tendered on or after **6 April 2014**.

1.8.4 The revised standard proforma of the Report on Contractor's Performance and the Guidance Notes for Completion of Reports will become effective from **1 June 2014** (i.e. 2014Q3), and reports with end date on 1 June 2014 and thereafter shall be completed with the use of the revised proforma.

1.9 Amendments in the Revision B-14

1.9.1 The major amendments made in the Revision B of this Handbook are listed hereunder for ease of reference: -

	<u>Brief Description</u>	<u>Reference</u>
(a)	General updating	Paragraphs 2.5.4
(b)	Revision of group tender limits, minimum technical and management criteria for confirmation and minimum number and qualifications of full time management and technical personnel as previously promulgated by letter to all contractors on the List of Approved Contractors for Public Works ref: (0213J-01-1) in DEVB(PS) 108/6/2 of 29 May 2009	Paragraphs 2.2.1, 2.2.3, 2.5.1, 2.5.4 & Appendix 2A, Appendix 2B and Appendix 2C.
(c)	Updating values of contracts normally required financial vetting	Paragraph 2.9.2

1.9.2 The revised tender limits for the contractors on the List of Approved Contractors for Public Works shall take effect from **15 February 2017**. For contracts with the first date of invitation for tender being before the effective date of the revised tender limits, the tender limits before the revision are adopted for assessment purpose.

1.9.3 The revised financial criteria for the contractors on the List of Approved Contractors for Public Works shall take effect from **15 February 2017**. Existing contractors on the List will be given a grace period of 12 months after which they are required to fully comply with these revised financial criteria for retention by **15 February 2018**. Notwithstanding this grace period, contractors will have to meet the revised financial criteria when tendering for a new contract with tender invitation date on or after the effective date, viz. 15 February 2017.

1.9.4 The revised admission/confirmation/promotion requirements for the contractors on the List of Approved Contractors for Public Works in Appendix 2B and Appendix 2C shall also take effect from **15 February 2017**.

SECTION 2 RULES FOR ADMINISTRATION OF THE LIST OF APPROVED CONTRACTORS FOR PUBLIC WORKS

2.1 General

2.1.1 The List of Approved Contractors for Public Works (the List) shall comprise contractors who are approved for carrying out public works in one or more of the categories listed below.

<u>Category</u>	<u>Managing Department</u>
Buildings	Architectural Services Department
Port Works	Civil Engineering and Development Department
Roads and Drainage	Highways Department
Site Formation	Civil Engineering and Development Department
Waterworks	Water Supplies Department

2.1.2 The Managing Department for a category is the department most closely connected with that particular type of work and is responsible for servicing and monitoring the performance of all contractors within that category. The Managing Department for a category may not necessarily be the department responsible for a contract let under that particular category.

2.1.3 Contractors within each category are further divided into Group A, B or C according to the value of contracts for which they are normally eligible to tender. A contractor's status in a particular group will be either probationary or confirmed. Probationary contractors are limited in the number and value of contracts for which they are eligible to tender and to be awarded in accordance with the rules set out in Sub-section 2.5 below.

2.1.4 A contractor on the List shall be responsible for the good behaviour of his employees, agents and sub-contractors in relation to any public works contract under his control. The contractor shall advise his employees, agents or sub-contractors that they are not allowed offering or giving any advantage or excessive entertainment to any of the Government employees or members of their family, or to solicit or accept any advantage or excessive entertainment from other employees, agents or sub-contractors in relation to the works under any public works contract. The contractor may be subject to regulating actions as stated in sub-paragraph 5.1.3(xiii) below if the contractor, his employees, agents or sub-contractors have committed any offence under the Prevention of Bribery Ordinance in relation to any public works contract unless the misconduct is not within the control of the contractor. In addition, the contractor may be subject to regulating actions for poor integrity such as negligence, misconduct and impropriety as proven in cases where his employees,

agents or sub-contractors have solicited, accepted or been given advantage as defined in the Prevention of Bribery Ordinance in relation to any public works contract unless the misconduct is not within the control of the contractor.

2.1.5 The Secretary for Development reserves the right to amend these Rules and any criteria pertaining to the administration of the List without reference to contractors on the List and any such amendments will be published by the Secretary for Development in the appropriate manner.

2.1.6 Applying to be placed on the List of the Development Bureau under any category shall mean the contractor unconditionally accepts these Rules and any future amendments or additions thereto. Failure or refusal to observe these Rules may lead to refusal of entry to the List for the category being applied for, or removal from all categories in which the contractor is listed.

2.1.7 A contractor on the List is required to submit updated company information (including but not limited to updated partnership agreements) upon request of the Secretary for Development or the Managing Department for reviewing his listing status as and when required. It is the duty of the contractor to immediately inform the Secretary for Development of any material changes of his company which may affect his listing status.

2.1.8 A contractor who has been removed from any category under the List for financial reasons or for failure to submit a tender within a period of three years under sub-paragraph 5.2.3(b)(vi) below may be allowed to apply for re-inclusion in this category at any time after removal. However, a contractor who has been removed from any category under the List for any other reasons is not eligible for re-inclusion in that category for a period of two years from the date of removal. Any application for re-inclusion, may it be an application for re-inclusion after removal due to misconduct, will be deemed a fresh application for admission and will be subject to the criteria set forth in these Rules for the time being in force.

2.1.9 A contractor who has been removed from the List due to misconduct may apply for re-inclusion under probation after expiry of two years from the date of removal with proof of successful completion of integrity training course¹, and establishment of an integrity management system (IMS) with the proof of complying with all the IMS requirements as prescribed in the “Guidelines for Setting Up of Integrity Management System” provided in **Appendix 2D**. Such proof can be substantiated by a statement of compliance issued by an independent auditor recognised by the Development Bureau, after his completion of the integrity audit exercise.

2.1.10 The contractor re-included under paragraph 2.1.9 above is required to upkeep the operation of the IMS and provide proof of complying with all the IMS requirements thereafter during the probation period through the integrity audit exercise on a yearly basis. Failure to satisfy this requirement shall result in regulating action to be taken against the contractor in accordance with Sub-section 5.2 below.

¹ The Development Bureau, with the assistance of the Corruption Prevention Department of the Independent Commission Against Corruption (ICAC), will develop training materials and conduct “train-the-trainer” workshops for top management, technical and supervisory staff of contractors who apply for re-inclusion in the List after the removal due to misconduct.

2.2 Group Tender Limits

2.2.1 The value upon which contracts are grouped is based on the value of the tendered sum offered by the successful tenderer. The Group Tender Limits are periodically adjusted and are currently set as follows: -

Group A - contracts of value up to \$100 million.

Group B - contracts of value up to \$300 million.

Group C - contracts of any values exceeding \$300 million.

2.2.2 Group C contractors will normally not be allowed to tender for contracts in Groups A and B unless the department considers that there may be an inadequate number of tenderers as a result of the restriction. In such cases, prior approval must be obtained from a D2, or higher level officer of the department concerned and notification given to the Managing Department of the intention to invite tenders from Group C contractors for lower group contracts.

2.3 Eligibility to Tender for Term Contracts

2.3.1 Eligibility to tender for term contracts shall be determined by the estimated value of the term contract except where a specialist category has been created in the List of Approved Suppliers of Materials and Specialist Contractors for Public Works in which case tenders shall be invited from contractors in the specialist category.

2.3.2 For the purpose of defining eligibility to tender, the value of a term contract shall be taken to mean the total estimated expenditure under the contract.

2.3.3 At the discretion of the head of the department responsible for the contract, contractors confirmed in Group B may be permitted to tender for term contracts above the limit of \$300 million but which are of a simple and repetitive nature, provided the contractors can demonstrate adequate technical and financial resources and have satisfactory performance records. Group B contractors who are carrying out or have recently completed similar term contracts satisfactorily shall be considered under this rule. However, the total value of the Group C term contracts in any one category should not exceed the Group C probationary limit given in sub-paragraph 2.5.1(c) or paragraph 2.5.4 below.

2.4 Admission

2.4.1 Applications from contractors for admission to the List can be submitted at any time, and should be addressed to the Secretary for Development, Works Branch,

Development Bureau, 15/F, West Wing, Central Government Offices, 2 Tim Mei Avenue, Tamar, Hong Kong (Attn: SEO(PS)).

2.4.2 The suitability of a contractor for inclusion in one or more of the works categories and in a particular group is assessed on the basis of both the contractor's global business activity and his activity in Hong Kong following his application for admission. Except in the most exceptional circumstances, a contractor will be admitted initially on probation to the appropriate category and group.

2.4.3 Upon receipt of an application by the Secretary for Development, the Finance Section of Development Bureau will investigate whether the applicant meets the financial criteria established by the Development Bureau included in **Appendix 2A**. The Managing Department will investigate whether the applicant has appropriate technical and management capability in respect of each particular category and group which they have applied for or is being considered and will submit a recommendation to the Secretary for Development within two calendar months from the date of referral to the Managing Department. If the technical vetting cannot be proceeded due to incomplete or inadequate information from the applicant, the Managing Department shall recommend rejecting the application within 6 weeks from the date of requesting supplementary information. All recommendations shall be personally endorsed by the Director, the Deputy Director or an equivalent D3 officer of the department concerned. Should the Managing Department fail to do so by the due date, a situation report, signed by an officer at D3 rank or above, must be submitted within one week from the due date to the Development Bureau (Attn.: PAS(W)4) stating the cause for delay and providing an anticipated date of completing the job. The minimum technical and management criteria for admission, confirmation and promotion within each category of work are included in **Appendix 2B**. If an applicant applies for more than one category of works, only one Managing Department, usually the one responsible for the highest group applied, will conduct the vetting of top management. For cases where the groups applied are the same, the Development Bureau will assign one department for the vetting of top management on a rotation basis. Admission will be subject to the applicant meeting the financial criteria, having the appropriate technical and management capabilities and in all other ways being considered suitable for inclusion in the List.

2.4.4 As a condition for admission, all applicants must possess or set up in Hong Kong a place of business as defined in Section 2 of the Business Registration Ordinance (Cap. 310) and employ in Hong Kong, the minimum number of full time management and technical personnel with relevant experience in engineering and project management specified in **Appendix 2C**. Details of the applicant's management and technical personnel and his business registration certificate shall be submitted with their applications for admission onto the List. In the case of partnerships, applicants must supply a certified true and complete copy of the partnership agreement signed by all partners in submitting their applications. The contractors who are admitted on the List must also submit updated partnership agreements to the Development Bureau whenever there are changes in their partnerships. All contractors shall employ the minimum number of full time management and technical personnel specified in **Appendix 2C** while he is on the List and shall keep the Development Bureau informed of any changes of such personnel. The contractor shall be removed from the List or demoted to a lower group if he fails to comply with this requirement.

2.4.5 To facilitate investigation by the Development Bureau and the Managing Department, applicants will be required to produce all necessary financial documents including their latest unconsolidated audited accounts showing their financial status (in English or Chinese), together with evidence of their technical and management capabilities. In the case of applications from contractors incorporated outside Hong Kong or whose main presence and head offices are outside Hong Kong, evidence of their technical and

management capabilities overseas can be submitted as proof. Unless the Secretary for Development specifically waives this requirement, these applicants must prove that their experience outside Hong Kong meet the admission criteria set out in **Appendices 2B and 2C** and such evidence must be substantiated by the consul or trade commissioner of the applicants' country in Hong Kong, or other appropriate authorities of the applicants' home country, which are considered acceptable by the Development Bureau. For instance, contractors who are incorporated in the Mainland are required to submit a certified true and complete copy of certificates/proof issued by the Ministry of Commerce, or the China International Contractors Association as delegated by the Ministry of Commerce, and/or other authorities which are accepted by the Development Bureau. Notwithstanding the above, the Secretary for Development may seek references on the applicants' technical capabilities from the Ministry of Construction and other sources or confirmation on the authenticity of the proof provided by the applicants from the relevant authorities including the employers of the concerned projects completed by the applicants.

2.4.6 Contractors applying for admission to the Buildings category are required to be registered in the Contractors' Register kept by the Building Authority in accordance with the Buildings Ordinance (Cap 123) and shall submit proof of their registration with their applications.

2.4.7 Admission to the List will be notified in writing to the applicant by the Secretary for Development. The letter of notification will specify the works category or categories to which the applicant has been admitted, his group and status as either probationary or confirmed. An unsuccessful applicant will be advised of the reasons for not being admitted but will be given the opportunity to present his view of the matter within 14 days from the date of notification before deciding on such action. The non-admission is confirmed if no representations from the applicant are submitted within the specified period.

2.4.8 The List is published annually in the Government of the Hong Kong Special Administrative Region Gazette and/or regularly in the web site of the Development Bureau as appropriate, giving the names of the contractors and their respective categories. Amendments to the List are also published from time to time.

2.5 Probationary Status

2.5.1 Probationary contractors are eligible to tender, and for the award of contracts, in each of the categories to which they have been admitted on probation, subject also to the rules set out in paragraphs 2.5.2 to 2.5.5 and, where applicable, paragraph 2.5.6 below, as follows (the rules in this paragraph 2.5.1 shall be read together with paragraph 2.5.1A):

(a) Probationary contractors in Group A

A probationary contractor is eligible to tender or for award of any number of Group A contracts in the same category, provided the total value of works in the Group A contracts that he already holds and the Group A contract being procured under the same category does not exceed \$100 million.

(b) Probationary contractors in Group B

A probationary contractor is eligible to tender or for award of:

- (i) any number of Group A contracts in the same category; and

- (ii) any number of Group B contracts in the same category, provided the total value of works in the Group B contracts that he already holds and the Group B contract being procured under the same category does not exceed \$300 million.

(c) Probationary contractors in Group C

Unless provided otherwise, a probationary contractor is eligible to tender or for award of Group C contracts in the same category, provided that the total number of the Group C contract that he already holds and the Group C contract being procured under the same category does not exceed two (2) and that the total value of works in the Group C contracts that he already holds and the Group C contract being procured under the same category does not exceed \$700 million.

2.5.1A For the purpose of eligibility checking in accordance with paragraph 2.5.1:

- (a) all probationary contractors' eligibility to tender as at the date set for the close of tender in the tender documents for the contract being procured or, if the date has been extended, the extended date, will be checked to screen out those that are ineligible to tender;
- (b) when recommending the award of a contract to a probationary contractor, the eligibility of the probationary contractor concerned for award of the contract being procured will be re-checked at the date when the tender report is completed and signed for submission to the relevant authority for determination of contract award and any new contracts awarded to the probationary contractor after tender closing up to and including this date will be taken into account. The tender report should contain a statement confirming that such re-checking has been done at the date when the tender report is completed and signed as aforementioned in recommending acceptance of the tender from the probationary contractor concerned. If the re-checking reveals that the contract limits of this probationary contractor is exceeded and he is no longer eligible for award of the contract, the tender recommendation should be revised accordingly;
- (c) "contract being procured" means the contract being procured under a particular procurement exercise in which the probationary contractor's eligibility is checked;
- (d) whether a contract is a Group A contract, Group B contract or Group C contract shall be determined by reference to the relevant group tender limits prevailing at the first publication date of tender invitation or, where the tender invitation is not published, the date of issuance of the tender invitation for the contract;
- (e) notwithstanding (d) above, in counting the number of Group C contract(s) that a probationary contractor already holds, only Group C contract(s) with a contract value exceeding the minimum value specified for Group C current at the date set for close of tender in the tender documents for the contract being procured or, if this has been extended, the extended date shall be counted.

2.5.2 For the purpose of checking the contracts which a probationary contractor

already holds under the rule in paragraph 2.5.1 above, the contracts which are completed shall not be counted. In this regard, a contract is considered completed when the certificate of completion of the works or the last completed section of the works (excluding establishment works) is issued or, for term contracts, the issue of completion certificate for the last completed works order (excluding establishment works). The rule in paragraph 2.8.2 below shall extend to probationary contractors in Group A and Group B.

2.5.3 Contracts (each of an original contract value corresponding to or above the group tender limit of the contract being procured) awarded by the Housing Authority in the corresponding category will be taken into consideration when calculating the total number and total value of works for checking whether the probationary contractors are eligible to tender and for the award of contracts, except as provided in paragraph 2.5.4 below.

2.5.4 Sub-paragraph 2.5.1(c) and paragraph 2.5.3 do not apply to probationary Group C contractors in the “Buildings” category tendering for Group C contract in the “Buildings” category with the Architectural Services Department, who have as at the date set for the close of tender in the tender documents for the contract being procured or the extended date (if the date has been extended), active Housing Authority contract(s) each of an original contract value exceeding \$300 million in the corresponding category. If the total outstanding value of such Housing Authority contract(s) exceeds \$700 million, this probationary Group C contractor will be restricted to tender or for award of one Group C contract in the “Buildings” category with the Architectural Services Department. Provided always that the total Group C contracts that he already holds and the Group C contract being procured under the same “Buildings” category does not exceed two (2) in number and does not exceed \$700 million in the total value of works. Active Housing Authority contracts here shall mean those Housing Authority contracts which are not completed within the meaning as provided in the second sentence of paragraph 2.5.2 above.

2.5.5 The total value of works in the relevant group and category of contracts that a probationary contractor already holds as described in the rule in paragraphs 2.5.1 and 2.5.4 above should be referred to as the total outstanding value of the existing contract(s) held by probationary contractors in the same group and category. The outstanding value of an existing contract shall be the difference between the original contract sum and the aggregate of all payments certified under the contract up to and including the date set for the close of tender in the tender documents for the contract being procured or, if this has been extended, the extended date for the contract being procured. The outstanding value shall be taken as zero if the original contract sum is less than the aggregate of all payments certified. For the purpose of checking eligibility for award of contract mentioned in paragraph 2.5.1A(b), the same outstanding value of the existing contract(s) determined as aforesaid shall be added to the total outstanding value of new contracts in the relevant group and category of contracts awarded after tender closing in checking compliance with the contract limits for probationary contractors.

2.5.6 Where –

- (a) a probationary contractor has submitted tenders and attained the highest combined scores for more than one contract in the same category and group; and
- (b) if the award of these contracts are determined at the same time but the award of two or more of these contracts to that probationary contractor will exceed the limits on number and/or value of contracts in the relevant category and group stipulated in paragraph 2.5.1 above,

the Government shall be entitled to determine which contract(s) is/are to be awarded to that probationary contractor on the basis of a combination of tender awards of these contracts that would cost least to the Government. An example is provided in **Appendix 7**.

2.6 Confirmation

2.6.1 A probationary contractor may apply for confirmation in writing to the Secretary for Development when he has satisfactorily completed works appropriate to his probationary status in accordance with the criteria for confirmation in **Appendix 2B**. The Managing Department shall submit a recommendation to the Secretary for Development within two calendar months from the date of referral to the Managing Department. The procedures of submitting a recommendation are the same as those given in paragraph 2.4.3 above. Confirmation will also be subject to the contractor being able to meet the financial criteria applicable to confirmed status, having the appropriate technical and management capabilities and in all other ways being considered suitable for confirmation. The contractor will be notified in writing accordingly. If the contractor's application is unsuccessful, he will be advised of the reasons.

2.7 Promotion

2.7.1 A confirmed contractor wishing to be promoted to the next higher group in a particular category may apply in writing to the Secretary for Development. The Managing Department shall submit a recommendation to the Secretary for Development within two calendar months from the date of referral to the Managing Department. The procedures of submitting a recommendation are the same as those given in paragraph 2.4.3 above. Promotion will be subject to the contractor being able to meet the financial criteria applicable to the higher group, having the appropriate technical and management capabilities, a satisfactory record of performance and in all respects being considered suitable for promotion. The contractor will be notified in writing accordingly. If the contractor's application is unsuccessful, he will be advised of the reasons.

2.7.2 Other than in the most exceptional circumstances, a contractor applying for promotion will be admitted initially on probation to the next higher group and the rules applicable to probationary contractors will apply.

2.8 Tendering

2.8.1 Invitations of tenders for public works contracts will be published in the Government Gazette normally for contracts with estimated value exceeding a certain limit. Tender invitations for works contracts under that limit may only be published in the web site of the Financial Services and the Treasury Bureau.

2.8.2 Invitations to contractors to tender will normally be limited to the particular group appropriate to the value of the contract. However, when the work involved is of a simple or repetitive nature, the span of groups invited to tender may be broadened at the discretion of the head of the department responsible for the contract, without immediate regard to the value of the contract.

2.8.3 If a contractor's tender falls outside the limits applicable to his group, category or status, he may not be eligible for the award of the contract.

2.8.4 A probationary contractor's eligibility to tender and for the award of contracts is more particularly set out in Sub-section 2.5 above. For the avoidance of doubt, a probationary contractor who is considered to have exceeded the tendering limits as set out in Sub-section 2.5 above at the time of tender invitation will still be permitted to take tender documents in respect of a contract and to submit a tender. However a tender submitted by such probationary contractor will not be considered unless he has become eligible to tender for the contract being procured at the date set for the close of tender in the tender documents, or if this has been extended, the extended date. Where the tender submitted by a probationary contractor is not considered because he has exceeded the limits given in Sub-section 2.5 above at tender closing as aforesaid, the procuring department shall, after the award of the contract has been made, notify him in writing of the reasons for rejection of his tender and remind him to check carefully against these limits in future bidding.

2.8.5 Contractors not in the group or confirmed status specified in the tender invitation or a tenderer who has applied for admission or promotion to the group specified in the tender invitation or who has applied for confirmed status will be permitted to take tender documents and may submit a tender. However, such a tender will not be considered unless his application for admission or promotion or, as the case may be, confirmation is approved by the date set for the close of tender, or if this has been extended, the extended date.

2.8.6 The Government reserves the right of dealing with contracts demanding the application of considerable financial resources, highly specialized equipment or unusual professional or technical expertise of a high order, on the basis of single, restricted or prequalified tendering by invitation.

2.9 Award of a Contract

2.9.1 Before recommending the award of a contract, the department responsible for the contract must be satisfied that the contractor being recommended is both technically and to the best of their knowledge financially capable of successfully carrying out the contract and, all other contracts he may hold. Please also refer to ETWB TCW No. 10/2004 for tenderer's eligibility for the award of works contracts.

2.9.2 In checking the financial capability of the tenderers, the department responsible for the contract is required to consult the Finance Section of Development Bureau :

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- (a) in respect of all tenderers for contracts of any values exceeding \$15,000,000;
and
- (b) in cases where there is reason to doubt the financial capability of tenderers for contracts with a value of \$15,000,000 or less.

For both (a) and (b) above, it is normally only necessary to refer the three highest combined scorers for a contract to the Finance Section of Development Bureau for financial checking.

2.9.3 A contractor must meet the financial requirements for acceptance of tenders established by the Development Bureau and included in **Appendix 2A** before the award of a contract. It should be noted that should the contractor fail to meet the financial requirements or to rectify the shortfall, or if the contractor's loss rate is greater than 30% under the Profitability Trend Analysis, he will not be recommended for the award of contracts in his prevailing groups.

2.10 Submission of Accounts

2.10.1 All contractors shall submit a copy of their unconsolidated audited accounts annually to the Secretary for Development. In addition, in order to enable the Finance Section of Development Bureau to make a more up-to-date financial appraisal, all Group C contractors shall submit half-yearly accounts. These shall be certified by their auditors but, if this is not feasible, by the directors, partners or the sole proprietor of the company.

2.10.2 Contractors are required to provide additional financial information as and when required to enable the Finance Section of Development Bureau to carry out ad hoc financial assessment.

2.11 Holding Companies and Subsidiaries

2.11.1 A holding company and his subsidiaries shall be permitted to be included in the List, either in the same or different categories or groups. However, the holding company and all its subsidiaries who are included in the List shall each give an undertaking that only one company will submit a tender for a particular contract. Failure to observe this undertaking will render all related tenders null and void. The existence of a holding-subsidiary relationship shall be determined in accordance with the provisions in Sections 13 to 15 of the Companies Ordinance (Cap. 622).

2.12 Regulating Actions

2.12.1 Please refer to Section 5 below.

2.13 Change of Company Name, Substitution and Transfer of Benefits and Obligations of Contracts

2.13.1 Please refer to Section 6 below.

2.14 Quality Management System Certification

2.14.1 Please refer to WBTC No. 13/2001 and ETWB TCW No. 13/2001A.

2.15 Changes in Company Structure

2.15.1 As provided in paragraph 2.1.7 above, it is the duty of the contractor to immediately inform the Secretary for Development of any material changes of his company which may affect his listing status, which include changes in company structure. When there are changes to the partnership, the contractor shall submit updated partnership agreements to the Secretary for Development in accordance with paragraph 2.4.4 above. Upon receipt of the contractor's notice or update, the Development Bureau will carry out vetting and, where necessary, ascertain the contractor's capability for retention. The Secretary for Development shall have the absolute discretion on whether or not such changes shall be approved for purpose of retention on the List and shall inform the contractor in writing as soon as a decision has been made.

2.15.2 Changes of a limited company involving a change in his legal entity will be classified as substitution under Sub-section 6.5 below, and are not allowed unless as allowed under Section 6.

2.15.3 Changes from sole-proprietorship to partnership are normally allowed, provided that the sole-proprietor becomes one of the partners in the partnership, holding a majority percentage of share after the change and the newly-formed partnership meets the minimum financial and personnel requirements as set out in **Appendices 2A and 2C**. When the Development Bureau is informed of the change, the contractor shall confirm in writing whether there are any changes to the full time management and technical personnel of the contractor and, if so, specify the details of the change. Changes from sole-proprietorship to a limited company are not allowed unless as allowed under Section 6.

2.15.4 Changes in partnership involving mere addition of partner(s) are normally allowed, provided that the existing partners before the addition remain as partners in the newly constituted partnership and the newly constituted partnership meets the minimum financial and personnel requirements as set out in **Appendices 2A and 2C**. Financial assessment will be conducted to ascertain if the new composition of partnership still meets the retention requirements in the List. When the Development Bureau is informed of the change, the contractor shall confirm in writing whether there are any changes to the full time management and technical personnel of the contractor and, if so, specify the details of the change.

2.15.5 For changes in partnership involving the death or retirement or replacement of an existing partner, a full vetting on the firm's financial, management, technical and personnel capabilities shall be conducted afresh in accordance with the criteria specified in **Appendices 2A to 2C**. For the purpose of assessing the technical and management capabilities under **Appendix 2B**, the experience of each partner will be apportioned according

to his percentage of share in the partnership. Any experience or qualification claimed by a partner by virtue of being a shareholder, director, agent or employee of a limited company will not be counted as the experience or qualification of the partner. Under normal circumstances, only the experience or qualification obtained by a partner in the capacity of a proprietor or a partner of a partnership will be counted. The partnership must collectively meet the stipulated requirements. Changes from partnership to a limited company are not allowed unless as allowed under Section 6.

2.15.6 Any contractor who fails to comply with the retention requirements set out in this Sub-section or fails to obtain the approval of the Development Bureau for the changes shall be liable to be removed from all categories of the List.

SECTION 3 RULES FOR ADMINISTRATION OF THE LIST OF APPROVED SUPPLIERS OF MATERIALS AND SPECIALIST CONTRACTORS FOR PUBLIC WORKS

3.1 General

3.1.1 The List of Approved Suppliers of Materials and Specialist Contractors for Public Works (the Specialist List) shall comprise contractors who are approved for carrying out public works in one or more of the categories listed in **Appendix 3A**. Some Works Departments also administer their own contractor/supplier/acceptable material lists and the concerned information can be found in the web site of the Development Bureau.

3.1.2 Same as paragraph 2.1.2 above.

3.1.3 Same as paragraph 2.1.3 above except that the references to Group A, B or C and Sub-section 2.5 should be changed to Group I, II or III and Sub-section 3.5 respectively. Some contractors within a category are further divided into classes according to the type of works within that particular category and groups according to the value of contracts for which they are normally eligible to tender.

3.1.4 Same as paragraph 2.1.4 above except that the reference to the List should be changed to the Specialist List.

3.1.5 Same as paragraph 2.1.5 above except that the reference to the List should be changed to the Specialist List.

3.1.6 Same as paragraph 2.1.6 above except that the reference to the List should be changed to the Specialist List.

3.1.7 Same as paragraph 2.1.7 above except that the reference to the List should be changed to the Specialist List.

3.1.8 Same as paragraph 2.1.8 above except that the reference to the List should be changed to the Specialist List.

3.1.9 Same as paragraph 2.1.9 above except that the reference to the List should be changed to the Specialist List.

3.1.10 Same as paragraph 2.1.10 above except that the reference to paragraph 2.1.9 should be changed to paragraph 3.1.9.

3.2 Group Tender Limits

3.2.1 Group Tender Limits are applicable to 8 categories of works in the Specialist List. They are periodically adjusted and are currently set as shown in **Appendix 3A**.

3.3 Eligibility to Tender for Term Contracts

3.3.1 Same as paragraph 2.3.2 above.

3.4 Admission

3.4.1 Same as paragraph 2.4.1 above except that the reference to the List should be changed to the Specialist List.

3.4.2 Same as paragraph 2.4.2 above except that some categories in the Specialist List do not have probationary status as shown in **Appendix 3C**.

3.4.3 Same as paragraph 2.4.3 above except that the Managing Department shall submit a recommendation to the Secretary for Development within three calendar months from the date of referral to the Managing Department. If the applicant does not return the completed questionnaire or the required information to the Managing Department within 6 weeks, it may mean that the applicant is not ready for admission and the Managing Department shall inform the Development Bureau (Attn.: SEO(PS)) to terminate the processing of application. In addition, the financial criteria and the minimum technical and management criteria of the Specialist List are included in **Appendices 3B & 3C** respectively.

3.4.4 All applicants must submit a copy of his business registration certificate in his application for admission onto the Specialist List. In the case of partnerships, applicants must supply a certified true and complete copy of the partnership agreement signed by all partners in submitting their applications. The contractors who are admitted on the Specialist List must also submit updated partnership agreements to the Development Bureau whenever there are changes in their partnerships. Contractors who are required to employ top management and/or technical personnel as specified in **Appendix 3C** shall keep the Managing Department informed of any changes of such personnel. The contractor shall be removed from the Specialist List or demoted to a lower group if he fails to comply with this requirement.

3.4.5 Same as paragraph 2.4.5 above except that only those contractors requiring to comply with the top management and/or technical staff requirements as specified in **Appendix 3C** are required to produce evidence of their management and/or technical capabilities.

3.4.6 Financial checking is not required for applicants of the following 16 categories but shall be subject to review from time to time (see paragraph 3.9.2 below):

- (a) Broadcast Reception Installation

- (b) Catering Equipment Installation
- (c) Fabrication of Steel Pipe Specials
- (d) Fabrication of Unfired Pressure Vessels
- (e) Land, Engineering and Hydrographic Survey Services
- (f) Liquefied Petroleum Gas Installation
- (g) Motor Vehicle Body-building and Painting
- (h) Radio Electronics Installation
- (i) Repair and Restoration of Historic Buildings
- (j) Repair of Motors, Transformers and Switchgear
- (k) Soil and Rock Testing
- (l) Space Frame Systems
- (m) Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)
- (n) Survey of Government Land Steam Boilers
- (o) Survey of Lifting Appliances and Lifting Gear
- (p) Uninterruptible Power Supply Installation

3.4.7 Same as paragraph 2.4.7 above except that the reference to the List should be changed to the Specialist List.

3.4.8 Same as paragraph 2.4.8 above except that the reference to the List should be changed to the Specialist List.

3.5 Probationary Status

3.5.1 Some categories of works have probationary status. Probationary contractors are eligible to tender and for the award of contracts in each of the categories, classes and/or groups to which they have been admitted on probation, subject to the rules set out in **Appendices 3B & 3C** and paragraphs 3.5.2 to 3.5.4 below. In checking against the maximum number of contracts and total value of works that a probationary contractor is eligible to tender and for award of the contracts in a particular category, class and group, the contracts that the probationary contractor already holds and the contract being procured in the same category, class and group shall be counted. For the avoidance of doubt, the limits for award of contracts as specified in Appendix 3C are equally applicable for checking

probationary contractor's eligibility to tender. For the further avoidance of doubt, the rules in this paragraph 3.5.1 shall be read together with paragraph 3.5.1A.

3.5.1A For the purpose of eligibility checking in accordance with paragraph 3.5.1:

- (a) Same as paragraph 2.5.1A(a) above;
- (b) Same as paragraph 2.5.1A(b) above;
- (c) Same as paragraph 2.5.1A(c) above;
- (d) whether a contract is a Group I contract, Group II contract or Group III contract shall be determined by reference to the relevant group tender limits prevailing at the first publication date of tender invitation or, where the tender invitation is not published, the date of issuance of the tender invitation for the contract;
- (e) notwithstanding (d) above, in counting the number of contract(s) that a probationary contractor already holds in a certain group, only contract(s) in that group with a contract value falling within the group tender limits current at the date set for close of tender in the tender documents for the contract being procured or, if this has been extended, the extended date, or in the case of the highest group, only contracts in that group with a contract value exceeding the maximum value specified for the immediately lower group at such time shall be counted.

3.5.2 For the purpose of checking the contracts which a probationary contractor already holds under the rule in paragraph 3.5.1 above, the contracts which are completed shall not be counted. In this regard, a contract is considered completed when the certificate of completion of the works or the last completed section of the works is issued or, for term contracts, upon the issue of completion certificate for the last completed works order.

3.5.3 Same as paragraph 2.5.3 above, without the phrase "except as provided in paragraph 2.5.4 below" at the end of the paragraph.

3.5.4 Same as paragraph 2.5.5 above except that:

- (a) the total value of works in the relevant category, class and/or group of contracts that a probationary contractor already holds is described in Appendix 3C;
- (b) the references to "paragraph 2.5.1" and "paragraph 2.5.1A(b)" in the second and last sentences of paragraph 2.5.5 should be changed to "paragraph 3.5.1" and "paragraph 3.5.1A(b)" respectively.

3.5.5 Same as paragraph 2.5.6 except that the references to "same category and group" and "paragraph 2.5.1" should be changed to "same category, class and group" and "paragraph 3.5.1" respectively.

3.6 Confirmation

3.6.1 Same as paragraph 2.6.1 above except that the length of probationary period for each category, if any, and the confirmation criteria are set out in **Appendix 3C**.

3.7 Promotion

3.7.1 Same as paragraph 2.7.1 above.

3.8 Tendering

3.8.1 Same as paragraph 2.8.1 above.

3.8.2 Same as paragraph 2.8.3 above.

3.8.3 Same as paragraph 2.8.4 above except that contractors should observe the Rules for Administration of the Specialist List.

3.8.4 Same as paragraph 2.8.5 above.

3.8.5 Same as paragraph 2.8.6 above.

3.9 Award of a Contract

3.9.1 Same as paragraph 2.9.1 above.

3.9.2 Same as paragraph 2.9.2 above. Financial checking is also required on the tenderers for contracts under the categories listed in paragraph 3.4.6 above if the contract is of a value exceeding \$5,000,000.

3.9.3 Same as paragraph 2.9.3 above except that the financial requirements of the Specialist List are included in **Appendix 3B**.

3.10 Submission of Accounts

3.10.1 All contractors except those under the 16 categories of works as listed in paragraph 3.4.6 above, shall submit a copy of their unconsolidated audited accounts annually to the Secretary for Development. In respect of the contractors who are also Group C contractors on the List of Approved Contractors for Public Works, they shall also submit half-yearly accounts. The accounts shall be certified by their auditors but, if this is not feasible, by the directors, partners or the sole proprietor of the company.

3.10.2 Same as paragraph 2.10.2 above.

3.11 Holding Companies and Subsidiaries

3.11.1 Same as paragraph 2.11.1 above except that the reference to the List should be changed to the Specialist List.

3.12 Regulating Actions

3.12.1 Please refer to Section 5 below.

3.13 Change of Company Name, Substitution and Transfer of Benefits and Obligations of Contracts

3.13.1 Please refer to Section 6 below.

3.14 Quality Management System Certification

3.14.1 Please refer to WBTC No. 13/2001 and ETWB TCW No. 13/2001A.

3.15 Changes in Company Structure

3.15.1 Same as paragraph 2.15.1 above except that the reference to the List should be changed to the Specialist List and the reference to paragraph 2.4.4 should be changed to paragraph 3.4.4.

3.15.2 Same as paragraph 2.15.2 above.

3.15.3 Same as paragraph 2.15.3 above except that the financial and personnel requirements are set out in **Appendices 3B** and **3C** respectively.

3.15.4 Same as paragraph 2.15.4 above except that the reference to the List should be changed to the Specialist List, and that the financial, management & technical and personnel requirements are set out in **Appendices 3B** to **3C**.

3.15.5 Same as paragraph 2.15.5 above except that the financial requirements and the management, technical and personnel requirements are set out in Appendices 3B and 3C respectively.

3.15.6 Same as paragraph 2.15.6 above except that the reference to the List should be changed to the Specialist List.

SECTION 4 REPORT ON CONTRACTORS' PERFORMANCE

4.1 General

4.1.1 The standard proforma of the Report on Contractor's Performance is attached at **Appendix 4A**. The report should be completed in accordance with the Guidance Notes attached at **Appendix 4B**. The category codes are shown in **Appendix 4C**.

4.2 Central Record

4.2.1 A Central Record System is maintained in Development Bureau to monitor the workload, performance and financial status of contractors entering into contracts with Government for capital works including specialist works, term and maintenance contracts and specialist suppliers. This Central Record is maintained by SEO(PS), Development Bureau and is based on the Reports on Contractors' Performance compiled by the Works Departments on all current contracts. Finance Section of Development Bureau also assists in the maintenance of the Central Record by reference to the information received from the tender boards and departments.

4.2.2 Reports held by Development Bureau that are more than 5 years old will be destroyed provided that 10 subsequent reports are held on the contractors for the same category of works. Copies of reports held by a department may be retained for as long as it is deemed necessary by that department. However it should be noted that for purposes of Audit, the copies of reports must be retained for at least 7 years.

4.2.3 The Central Record of the Reports on Contractors' Performance is computerised to enable these to be more readily available for tender assessments and other purposes.

4.3 Managing Department

4.3.1 Please refer to paragraphs 2.1.2 and 3.1.2 above for the role of the Managing Department.

4.3.2 Managing Departments shall receive copies of all Adverse reports on contractors in the relevant category. If, after comparing all the reports on a particular contractor in the category, the Managing Department has reason to doubt the assessment of any individual report, it may request the Reporting Department to review the report.

4.4 Reporting Department

4.4.1 The department which controls a contract and prepares the reports on the contractor's performance on that contract is referred to as the Reporting Department.

4.4.2 After having given the reports appropriate consideration, the Reporting Departments shall send the copies of all Adverse reports to SEO(PS), Development Bureau for inclusion in the Central Record.

4.4.3 Where the Reporting Department is not also the Managing Department, it is important that the Managing Department is fully aware of the existence of the contract and is kept fully informed of the contractor's performance. The Reporting Department shall copy the Letter of Acceptance and all Adverse reports on the contractor's performance to the Managing Department. Where the contractor was required to be in more than one category or was required to be in one of two or more categories and is in more than one of the relevant categories, copies of the Letter of Acceptance and the reports shall be sent to all the relevant Managing Departments.

4.4.4 In addition, Reporting Departments shall send copies of all Adverse reports to all other Works Departments and Housing Authority. If any department requires further details with respect to an Adverse report, that department shall approach the Reporting Department direct who will respond direct, copying correspondence to the relevant Managing Department.

4.5 Reports on Contractors' Performance

4.5.1 Regular reports on contractor's performance are required for all current contracts. Domestic sub-contractors and minor works will not be included in the performance reporting system of Development Bureau, but departments may maintain their own records of sub-contractors' performance and if necessary, recommend to Development Bureau for any follow up action in cases of poor performance.

4.5.2 Subject to paragraphs 4.5.2A, 4.5.4 and 4.5.5 below, the reports should normally be quarterly from the commencement of the Works until the issue of the Maintenance Certificate or the Defects Liability Certificate, or until completion of all Works Orders in the case of term contracts.

4.5.2A It is noted that there may be few activities taking place in the very early period of a contract. To address this situation, the Reporting Officer shall generally not be required to prepare a report on a contractor's performance for a reporting period in which the contract has commenced less than 3 weeks before the ending of such reporting period. The Reporting Officer should include this short period in the report on contractor's performance for the subsequent reporting period instead. Notwithstanding this, if the Reporting Officer considers that a report on a contractor's performance is necessary for such a period, e.g. due to occurrence of a serious incident as defined in DEVB TC(W) No. 3/2009, the Reporting Officer shall prepare the report and provide reasons in the report to substantiate the need for reporting for such a short reporting period.

4.5.3 For reporting of contractors' performance during the maintenance or defects liability periods, "Attitude to claims" and a minimum of four out of the ten major aspects of performance shall be assessed and rated. It should be noted that the performance to be reported during such periods would mainly cover performance of outstanding works and repair or rectification of defects.

4.5.4 After the Maintenance Certificate or the Defects Liability Certificate has been issued, quarterly reports are no longer required. Instead, except for term contracts for

which no further reports are required, a report on the contractor's performance should be made upon issue of the final payment certificate (which will cover the resolution of claims).

4.5.5 If a contractor's overall performance is poor and close monitoring is desirable, additional six-weekly intervening reports between the normal reporting periods may be made by the Reporting Officer provided that the contractor shall be given written notice of not less than 7 working days before the next reporting date. The contractor will be informed when the intervening reports are no longer required.

4.5.6 The reports should be prepared by the Architect's/Engineer's Representative and be agreed by the Architect/Engineer. Where a consultant is named as the Architect/Engineer for the contract, the report should be endorsed by the appropriate officer (D1 or above) of the Reporting Department.

4.5.7 The circulation of reports and correspondence relating to reports shall be classified as Restricted (Administration).

4.5.8 The prevailing requirements under Sub-section 4.5 in the Revision A of this Handbook shall continue to apply to existing contracts where the Completion Certificate has been issued on or before the effective date of the Revision B of this Handbook (ie 1 July 2005).

4.6 Review of Reports on Contractors' Performance

4.6.1 General

- (a) In order to ensure that reports on contractors' performance are properly reviewed and considered, particularly when action is likely to be taken as a result of poor performance, departments shall establish, where these do not already exist, two Contractors' Performance Review Committees, namely Reporting Review Committee and Managing Review Committee.
- (b) The Reporting Review Committee shall be established within the Reporting Department which will review the performance of all the contractors undertaking work for the department. It will endorse/amend the Architect's/Engineer's assessment and forward the reports together with recommendations when appropriate, to the secretary of the relevant Managing Review Committee. The Managing Review Committee shall be established within the Managing Department which will review the performance of those contractors in the relevant category with respect to all contracts in this category.
- (c) Where a Managing Department employs only contractors from the categories it manages, it may combine the two committees into a single Reporting/Managing Review Committee. However, if other departments employ contractors from the categories the Managing Department manages, its Reporting/Managing Review Committee must meet at the time for Managing Review Committees (see later) so that Reporting Departments have time to forward copies of their reports.

- (d) Where a department establishes Reporting Review Committees for one or more of its Offices, rather than a departmental Reporting Review Committee, the Office Reporting Review Committees shall send copies of the report and recommendations direct to the relevant Managing Review Committee. Reports with recommendations may be routed through departmental headquarters if required by the department.

4.6.2 Reporting Review Committee

- (a) Membership shall be: - Chairman : a D2 officer or above

Secretary : Senior professional officer or above

Members : at least a D1 officer or above and one
other officer of at least professional rank

- (b) Functions: -

- (i) The Committee should preferably review the reports on all contracts under its jurisdiction. However, this may not be practicable for some departments, who have a large number of small contracts. The Committee should, however, review and endorse/amend at least all Adverse and borderline reports. These shall be brought to the Committee's attention by the secretary. The Chairman may authorise the secretary to endorse all other reports on his behalf.
- (ii) The Architect/Engineer may be in attendance as the Committee requires and should normally be so when an Adverse report has been given. In addition, when the Architect's/Engineer's Representative anticipates, towards the end of the reporting period, that he will give the contractor an Adverse report, he must advise the officer who will agree his report. The officer concerned should take particular measures, which would normally include visiting the site, to satisfy himself that the anticipated assessment is correct.
- (iii) The Committee shall decide which reports are to be confirmed as Adverse reports and endorsed accordingly by the Chairman. The reasons for amending the Architect's/Engineer's assessment must, when applicable, be recorded on the report. In case the Committee does not accept the Architect's/Engineer's assessment, the remarks by the Architect/Engineer, or his representative, will still be stored in the computerised Central Record in Development Bureau.
- (iv) With respect to Adverse reports, the committee shall decide, in consultation with the Architect/Engineer, what action should be taken or recommended to the Managing Department. In any event, the Chairman shall write to the contractor concerned advising him that the report is Adverse and warning him of the possible consequences.

- (v) The secretary shall send copies of all Adverse reports, duly endorsed, to SEO(PS), Development Bureau and to the secretaries of the appropriate Managing Review Committee together with details of any action being taken as a result of Adverse reports and/or any recommendations for suspensions (voluntary or mandatory), downgrading or deletions. In addition, the secretary will provide the name of the member of the Committee the relevant Managing Review Committee may contact with respect to each Adverse report. Where downgrading or deletion is being recommended, the member of the Committee named should attend the meeting of the relevant Managing Review Committee when the contractor concerned is being considered.
- (vi) When an interview with the contractor by the Reporting Department is considered necessary as a result of Adverse reports, the Chairman or his representative will interview the contractor.
- (vii) The Chairman shall keep the relevant Managing Review Committee fully informed of interviews held and any action taken.

4.6.3 Managing Review Committee

- (a) Membership shall be: - Chairman : D3 or above

Secretary : Senior professional officer or above

Members : at least a D2 officer and one other officer of at least senior professional rank
- (b) Functions: -
 - (i) The secretary shall maintain a record of all reports on contractors in the relevant categories and lists.
 - (ii) The Committee shall review the overall performance of each contractor who receives an Adverse report by referring to all the current reports on that contractor's performance in the relevant category or list. After considering the action being taken and the recommendations made by the Reporting Review Committee(s), the Committee shall decide what action it considers appropriate and recommend accordingly.
 - (iii) For mandatory suspension, downgrading or deletion, the Director of the Managing Department, or the Chairman of the Committee or the Deputy Director, if the Director so wishes, should interview the contractor prior to a recommendation being made to Development Bureau. The Architect/Engineer, together with others considered necessary by the Director of the Managing Department, should attend the interview. Where a consultant is the Architect/Engineer, the officer from the Reporting Department who endorsed the report should also attend the interview.

- (iv) For voluntary suspension, the Chairman of the relevant Reporting Review Committee should interview the contractor if requested to do so by the Director of the Managing Department. The contractor shall send written confirmation of his acceptance of voluntary suspension to the Director of the Managing Department who will circulate this confirmation to all Works Departments, Housing Authority and Development Bureau.
- (v) As soon as the Committee has considered the reports, the secretary shall forward to Development Bureau the minutes of the Committee's consideration of Adverse reports.

4.6.4 Timetable for Reporting on Contractors' Performance

- (a) Subject to paragraphs 4.5.4 and 4.5.5 above, the reporting date shall normally be the last day of February, May, August and November.
- (b) On or before the third working day after the reporting date (Saturdays not being counted as working days), the Reporting Officer shall prepare and send the soft copy of the performance report together with a duly signed hard copy to the secretary of the Reporting Review Committee for review and endorsement.
- (c) At the same time, the contractor shall be sent an advance copy of both Parts I and II of the Report on Contractor's Performance, after agreement by the Engineer/Architect or endorsement by the Chief Engineer/Architect in the case of consultant administered projects. The report shall be sent to the contractor's head office by fax or by hand with a caveat that it will be subject to endorsement by the Chairman of the Reporting Review Committee. Where the report is subsequently amended by the Chairman of the Reporting Review Committee, the contractor shall be notified accordingly.
- (d) In the event of disagreement with the grading in the performance report, the contractor should notify the Reporting Review Committee on or before the 6th working day after the reporting date (Saturdays not being counted as working days) and submit written representations to the Reporting Review Committee in accordance with sub-paragraph (f) below.
- (e) On or before the thirteenth working day after the reporting date (Saturdays not being counted as working days), the Reporting Review Committee shall complete the review on all the reports except those where the contractors have indicated disagreements in accordance with sub-paragraph (d) above and, if the Reporting Review Committee does not propose any alterations to the performance report, it shall send the reviewed Adverse reports, together with details of action being taken and recommendation, to reach the secretary of the relevant Managing Review Committee, with copies to Development Bureau (Attn: SEO(PS)), other Works Departments and Housing Authority. Simultaneously, the Reporting Department shall arrange to upload all the performance reports to the Contractor Management Information System (CMIS) and dispatch written notification to the Managing Department and

Development Bureau (Attn: SEO(PS)) with all details of the contract number, contractor name, the contractor's classification and remarks (stating whether the report is Adverse or Not Adverse, and other remarks, if any) of each of the performance reports uploaded to the CMIS on or before the twenty-second working day after the reporting date (Saturdays not being counted as working day). Except for Adverse reports, hard copies of the performance reports need not be sent to the Managing Department and Development Bureau.

- (f) Subsequent to notifying the Reporting Review Committee of its disagreement with the grading in the performance report in accordance with sub-paragraph (d) above, the contractor should submit written representations to the Reporting Review Committee for a review of the grading by fax or by hand on or before the sixteenth working day after the reporting date (Saturdays not being counted as working days). The Reporting Review Committee shall inform the contractor in writing as soon as a decision has been made.
- (g) If the Reporting Review Committee intends to alter any grades in the performance report, it shall notify the contractor its intention in writing on or before the fourteenth working day (Saturdays not being counted as working days). In the event of disagreement with such proposed alterations, the contractor should notify the Reporting Review Committee on or before the sixteenth working day (Saturdays not being counted as working days) and submit written representations to the Reporting Review Committee for a review of the grading by fax or by hand on or before the twenty-first working day (Saturdays not being counted as working days). The Reporting Review Committee shall inform the contractor in writing as soon as a decision has been made.
- (h) On or before the twenty-sixth working day after the reporting date (Saturdays not being counted as working days), the Reporting Review Committee shall complete the review on the disagreement of the contractor with the grading in the performance report or its proposed alterations, and send the reviewed reports, together with details of action being taken and recommendation, to reach the secretary of the relevant Managing Review Committee, with copies to Development Bureau (Attn: SEO(PS)), other Works Departments and Housing Authority. Simultaneously, the Reporting Department shall arrange to upload all the performance reports to the CMIS and dispatch written notification to the Managing Department and Development Bureau (Attn: SEO(PS)) with all details of the contract number, contractor name, the contractor's classification and remarks (stating whether the report is Adverse or Not Adverse, and other remarks, if any) of each of the performance reports uploaded to the CMIS on or before the thirty-fifth working day after the reporting date (Saturdays not being counted as working day). Except for Adverse reports, hard copies of the performance reports need not be sent to the Managing Department and Development Bureau. The Reporting Review Committee shall inform the contractor in writing as soon as a decision has been made.
- (i) On receipt of the reviewed Adverse reports from the Reporting Review Committee, the Managing Review Committee shall conduct further review on

such reports, the actions being taken and the recommendations made by the Reporting Review Committee. The minutes of the Managing Review Committee meeting and copies of the reports (where applicable) shall then be prepared and dispatched to DevelopmentBureau (Attn: SEO(PS)) on or before the thirty-fifth working day after the reporting day (Saturdays not being counted as working days).

- (j) When additional six-weekly intervening reports between the normal reporting periods are required pursuant to sub-paragraph 5.4.5 (b) (iv) of Section 5, the Reporting Officer shall proceed with such reporting once the notification has been sent in accordance with paragraph 4.5.5 even if the review result of the Managing Review Committee is not yet available.
- (k) When reports are being made for periods with reporting dates different to the normal quarterly reporting dates, the Architect/Engineer should complete the report within the time frame mentioned in sub-paragraph 4.6.4(b) above. However, the Review Committees shall exercise discretion in scheduling the reviews of reports as they deem appropriate to the circumstances, i.e. either immediately or as part of the normal review meeting.
- (l) It is recommended that Managing Review Committees should fix the dates of their normal review meetings at least twelve months in advance and advise all Reporting Review Committees such that all appropriate representatives will be made available to attend Managing Review Committee meetings if required.
- (m) The above timetable is illustrated in **Appendix 4D**.

SECTION 5 REGULATING ACTIONS

5.1 General

5.1.1 The List, Specialist List and the associated regulatory regime are put in place to ensure that certain standards of financial capability, expertise, management and safety are maintained by the contractors carrying out Government works. If doubts arise about the ability of a contractor to meet the minimum standards generally or for a particular class of contracts, it is appropriate that he is not allowed to tender for any new work until he can demonstrate that he can meet the required standard.

5.1.2 The Secretary for Development reserves the right to remove any contractor from the List and/or the Specialist List or take other regulating action against a contractor such as suspension, or where applicable, downgrading to probationary status or demotion to a lower group, in respect of all or any of the works categories he is in. Before deciding on such action, a contractor will be given adequate warning of the action proposed and advised of the reasons for it and given the opportunity to present his views of the matter.

5.1.3 Circumstances which may lead to the taking of regulating actions include, but are not limited to: -

- (i) unsatisfactory performance;
- (ii) failure to submit a valid competitive tender for a period of three years;
- (iii) failure to submit accounts or meet the financial criteria within the prescribed time;
- (iv) failure to answer queries or provide information relevant to the listing status of a contractor on the List and/or the Specialist List within the prescribed time;
- (v) misconduct or suspected misconduct;
- (vi) winding-up, bankruptcy or other financial problems;
- (vii) poor site safety record;
- (viii) failure or refusal to implement an accepted tender;
- (ix) poor environmental performance;
- (x) court convictions, such as contravention of site safety legislation and Employment Ordinance and employment of illegal workers;

- (xi) failure to employ the minimum number of full time management and technical personnel;
- (xii) violation of laws;
- (xiii) poor integrity of his employees, agents and sub-contractors in relation to any public works contract unless the misconduct is not within the control of the contractor;
- (xiv) public interest;
- (xv) public safety and public health;
- (xvi) serious or suspected serious poor performance or other serious causes in any public or private sector works contract;
- (xvii) failure to comply with any of the Rules for Administration of the List or the Specialist List giving rise to reasonable suspicions as to the capability or integrity of the contractor;
- (xviii) failure to provide proof of complying with all the IMS requirements for the purpose of upkeeping the operation of the IMS.

5.1.4 The following Sub-sections set out the guidelines for administration and the circumstances under which regulating action against contractors may be warranted. They apply to contractors/suppliers on both the List and the Specialist List. In the event that special circumstances of a particular case arose which warrant taking of regulating action but do not fit into any of the guidelines, the Secretary for Development may nonetheless take regulating action in the particular case as she deems proper.

5.2 Removal, Suspension, Downgrading or Demotion of Contractors

5.2.1 Letters notifying contractors of their removal, suspension, downgrading or demotion from the List and/or the Specialist List will be issued only by the Development Bureau and be signed by the Deputy Secretary for Development (Works)².

5.2.2 If the tenderer or, if the tenderer is a partnership or an unincorporated or incorporated joint venture, any participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture is under suspension from tendering for public works in a particular category or in all categories, his tender for that particular category or for all categories, as the case may be, will not be considered unless the suspension is lifted by the Works Department or the Development Bureau by the date set for the close of tender, or if this has been extended, the extended date. If the tenderer or, if the tenderer is a partnership or an unincorporated or incorporated joint venture, any participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture is under voluntary suspension from tendering for public works in a particular category or in all categories, at the date of tender invitation but subsequently revokes the voluntary suspension without agreement in writing from either the Works Department or the Development Bureau, his tender for that particular category or for all categories, as the case may be, will not be considered.

5.2.3 The following guidelines shall be adopted by the heads of departments in deciding whether to recommend to the Development Bureau that a contractor on the List and/or the Specialist List should be removed, suspended, downgraded or demoted. Such a recommendation, which shall be personally endorsed by the Director, Deputy Director or an equivalent D3 officer of the department concerned, will normally be initiated by the Managing Department of the relevant category of the List and/or the Specialist List after consultation with any other departments which may be affected by the action proposed. The guidelines shall be treated as indicating the normal sanction to be imposed in given circumstances. It is open to the heads of departments to recommend a more severe or less stringent action if particular circumstances warrant it.

- (a) Circumstances warranting removal from all categories in which the contractor is listed
 - (i) Misconduct.
 - (ii) Complicity in the misconduct of an employee, agent or sub-contractor.
 - (iii) Removal by the Registered Contractors' Disciplinary Board from the Contractors' Register maintained under the Buildings Ordinance. If a contractor is disciplined by the Registered Contractors' Disciplinary Board, the Director of Buildings shall inform the Development Bureau so that consideration may be given to the imposition of an appropriate penalty (removal, suspension, downgrading or demotion) in respect of the contractor's position on the List and/or the Specialist List. When a contractor, who is also on the Contractors' Register kept by the Building Authority, is removed from the List and/or the Specialist List for misconduct, the Development Bureau may refer the case to the Building Authority who may then decide under the Buildings Ordinance whether or not to refer the case to the Registered Contractors' Disciplinary Board.
 - (iv) Bankruptcy and winding up of business.
 - (v) Poor performance or other serious causes which is/are considered by the Secretary for Development as serious in any public or private sector works contract.
- (b) Circumstances warranting removal from a particular category
 - (i) Failure to submit a competitive tender within a period of three years in any category despite being eligible to do so, or submission of non-conforming tenders on three or more occasions within a period of three years in any category; provided that such practice gives rise to reasonable suspicions as to the capability or integrity of the contractor concerned. For the purpose of this sub-paragraph, tenders withdrawn after the tender closing date shall be considered as non-submission of tender and where the provision of certain information is an "essential

requirement” of a tender, the tender without giving such information or giving incomplete information stipulated as essential requirement shall be considered as non-conforming. A competitive tender is defined as a conforming tender which is capable of being accepted under the Government’s procurement guidelines, rules and procedures and the tender price does not exceed 25% of the average tender price of all tenders received under the tender exercise. Any tender which is non-conforming or is not capable of being accepted under the Government’s procurement guidelines, rules and procedures shall not be considered as a competitive tender. A warning letter shall be sent by the Managing Department, copied to the Development Bureau at least six months but not more than one year before the expiry of the three-year period, to any contractors who appear likely to fall into this situation. If, at the expiry of the period, no tenders have been submitted, a further letter seeking explanation shall be sent. The Managing Departments should take all reasonable explanations into account before recommending removal. A contractor who tenders for a project open to contractors in more than one category shall be credited with having tendered in each of those eligible categories for which he is listed. Records of contractors' tenders, whether accepted or not, are to be maintained by the Managing Department of the relevant category. When a department other than the Managing Department calls tenders in a category, the tenders shall be reported to the Managing Department after acceptance, or as the case may be, approval of the cancellation of the tender exercise by the Central Tender Board or Public Works Tender Board or other relevant approving authority.

- (ii) Withdrawal of tenders in a category within the tender validity period therefor on two or more occasions within a 12-month period as stipulated under Sub-section 5.13 below.
- (iii) Poor site safety record in a category.
- (iv) Poor performance in a category, normally but not necessarily on more than one contract.
- (v) Failure to obtain Quality Management System certification after having been suspended for three years (including voluntary and mandatory suspension).
- (vi) Failure to submit a tender in a category within a period of three years despite being eligible to do so.
- (vii) Failure/continued failure to satisfy requirements on the management and technical capability after having been suspended from tendering in a particular category under sub-paragraph 5.2.3(d)(v) below.

Removal or suspension from the List and/or the Specialist List or from a particular category thereof will not normally prohibit a contractor from acting as a sub-contractor on a public works project, provided that the Reporting

Department is satisfied that the contractor is suitable for acting as the sub-contractor for the public works project in question.

- (c) Circumstances warranting mandatory suspension from tendering in all categories (A time limit for review to be set in all cases but should not be longer than six months)
 - (i) Suspected misconduct.
 - (ii) Indications of cash flow problems (care must be taken that suspension on these grounds will not aggravate the problems).
 - (iii) Poor performance, where it is desirable to ensure that the contractor completes his current commitments before undertaking further projects. Guidelines for monitoring of performance in Sub-section 5.4 below should be followed prior to a recommendation for suspension.
 - (iv) Suspected serious poor performance or other serious causes in any public or private sector works contract.
 - (v) Poor environmental protection record.
 - (vi) Poor site safety record.
- (d) Circumstances warranting mandatory suspension from tendering in a particular category (A time limit for review to be set in all cases but should not be longer than six months)
 - (i) Poor performance in a contract. Guidelines for monitoring of performance given in Sub-section 5.4 below should be followed prior to a recommendation for suspension. While poor performance in a particular category will generally warrant suspension only in that category of work, departments may consider recommending to the Development Bureau for suspension to be extended to other categories if the contractor repeatedly shows poor performance in aspects, such as poor management ability, which are likely to adversely affect other categories.
 - (ii) Poor site safety record in a category.
 - (iii) Failure to comply with the provisions for employment of Technician Apprentices and Building and Civil Engineering graduates as required.
 - (iv) Failure to comply with the provisions for mandatory employment of Qualified Tradesmen and Intermediate Tradesmen as required.
 - (v) Failure to submit information and/or satisfy requirements on the management and technical capability.

- (vi) Failure to obtain Quality Management System certification as required.
- (vii) Withdrawal of tenders in a category within the tender validity period therefor on two or more occasions within a 36-month period as stipulated under Sub-section 5.13 below.
- (viii) Failure to submit Sub-contractor Management Plans as required.
- (ix) Failure to comply with the provisions for employment of sub-contractors registered from the Subcontractor Registration Scheme as required.
- (e) Circumstances warranting downgrading or demotion in a particular category
 - (i) Poor performance, normally but not necessarily on more than one contract (in the case of probationary contractors in the lowest groups, this will normally warrant removal from the List and/or the Specialist List).
 - (ii) Failure/continued failure to satisfy the requirements on the management and technical capability after having been suspended from tendering in a particular category under sub-paragraph 5.2.3(d)(v) above but the management and technical capability satisfies the requirements of a probationary contractor in the same group or a lower group within a specified category.

5.2.4 In determining for the purpose of paragraphs 5.1.3(v), 5.2.3(a)(i) and 5.2.3(c)(i) whether a contractor has committed acts of misconduct or suspected misconduct, the acts or omissions of:

- (a) a director of a company (incorporated or unincorporated) or a partner in a partnership or a participant/shareholder of a joint venture;
- (b) any person who, under the immediate authority of the board of directors, exercises managerial functions; and
- (c) any employees, agents or sub-contractors of the contractor including persons referred to in (a) or (b) above shall be deemed to be the acts or omissions of the contractor unless the contractor has no knowledge (actual or implied) or ought not to have known or not being reckless as to the misconduct or suspected misconduct.

5.2.5 For the purpose of paragraphs 5.1.3(v), 5.2.3(a)(i), 5.2.3(a)(ii) and 5.2.3(c)(i), “misconduct” means any unlawful behaviour involving corruption or fraud or breach of faith whether or not the person charged with an offence is convicted for offence involving the unlawful behaviour but a conviction of a criminal offence shall be conclusive for the requirement of misconduct. “Suspected misconduct” shall be construed accordingly but if the person is charged with any offence involving corruption, fraud or breach of faith, it shall be conclusive for

the requirement of suspected misconduct.

5.2.6 Pursuant to paragraphs 2.1.10 and 3.1.10, a contractor failing to provide proof of complying with all the IMS requirements for the purpose of upkeeping the operation of the IMS will be mandatorily suspended from tendering in all categories. The contractor shall prove to the Development Bureau that the IMS requirements are met before he is considered for reinstatement.

5.2.7 The Secretary for Development may additionally initiate regulating actions on contractors under the following circumstances:

- (a) Persistent convictions pertaining to site safety and other construction activities;
- (b) Repeated failure to submit accounts and supplementary information and satisfy retention requirements in force at the time;
- (c) Be convicted of illegal worker offences for more than two times within a rolling 12-month period;
- (d) Contravention of the Employment Ordinance;

5.2.8 The measures referred to Sub-section 5.2 are cumulative and not mutually exclusive. The Secretary for Development may take one or more measures where the circumstances of the case warrant so.

5.3 Uplifting of Mandatory Suspension

5.3.1 Contractors suspended on a mandatory basis by the Development Bureau for whatever reason are required to meet the normal entry criteria including submission of the latest audited or management accounts where appropriate for a financial check before consideration can be given to their reinstatement on the List and/or the Specialist List. Failure to meet these requirements may result in downgrading to probationary status, demotion to a lower group or removal from a category of the List and/or the Specialist List.

5.4 Contractors Given Adverse Reports on Performance

5.4.1 The purpose of removal, suspension, downgrading or demotion of contractors from the List and/or the Specialist List following an Adverse report is to ensure that: -

- (a) only suitable competent contractors are allowed to tender for contracts;
- (b) pressure is put on the contractor to improve his performance; and
- (c) contractors are all treated alike: firmly, but with consistency and fairness.

5.4.2 Please note sub-paragraph 4.6.4(c) above for the requirement of sending an advance copy of the Report on Contractor's Performance to the contractor.

5.4.3 For tenders invited without the exact category of work having been specified, the

department managing the contract will act as the Managing Department for the purpose of performance reporting and taking appropriate regulating actions.

5.4.4 Government must act fairly when taking regulating actions. Contractors must, therefore, be provided with the gist of Government's case and be given adequate warning of proposed actions so that they may have the opportunity to present their view of the matter. Full consideration must be given to any points raised by contractors before action is taken.

5.4.5 Because the circumstances of contracts and contractors vary greatly, the following actions to be taken for consecutive Adverse reports are not rigid requirements, but if they are not followed, written justification is required on file.

(a) 1st Adverse report: -

- (i) Warning Letter - The Chairman of the Reporting Review Committee (RRC) shall write on behalf of his Director to the contractor within two weeks of the reporting date advising him that the report is Adverse and the reasons for the Adverse report, and warning him of the need to improve (standard letter at **Appendix 5A**). The Managing Department will be advised of the same.
- (ii) Interview - The Chairman of the RRC or his representative shall interview the contractor within three weeks of the reporting date to discuss the shortcomings in his performance, the seriousness of the situation, and the need to suspend him from further tendering should there be a consecutive Adverse report. The Chairman shall write on behalf of his Director to the contractor confirming the points made. It is particularly important to include the warning of possible suspension in the letter to the contractor. The Managing Department will be advised of the same.

(b) 2nd consecutive Adverse report: -

- (i) Voluntary Suspension - The Chairman of the RRC or his representative shall write to the Managing Department for approval to interview the contractor with the aim of seeking the contractor's agreement to voluntary suspension i.e. to refrain from tendering. Upon receipt of the approval from the Managing Department, the Chairman of the RRC will then interview the contractor explaining that his continuing poor performance requires action to protect Government's interests by ensuring that the contractor is not awarded any further contracts in the category until confidence in his performance is restored. The Chairman of the RRC will invite the contractor to agree to voluntary suspension and to confirm this in writing to the Director of the Managing Department. The contractor should be warned that failure to agree could lead to mandatory suspension which will result in gazetting of the suspension. The Chairman should also confirm other points made at the interview and warn the contractor that at the end of the contract his performance will be assessed and if the overall assessment is Adverse, he may be downgraded,

demoted or removed. He is also to be informed that he will be placed on a six weekly reporting schedule.

- (ii) On receipt of confirmation of voluntary suspension in writing, the Director of the Managing Department will circulate this confirmation to all the Works Departments, the Housing Authority and the Development Bureau under restricted cover. The start date of the voluntary suspension shall be the date a contractor agrees to the suspension in writing or the date the Managing Department receives the written confirmation from the contractor concerned, whichever is the later. The period of voluntary suspension should continue until the suspension has been uplifted by the Managing Department. Uplifting of the voluntary suspension should be considered when the contractor has performed satisfactorily for a minimum of six months or until and in any event an overall review of the situation should be carried out at the first quarterly review after substantial completion/satisfactory completion of the contract (or de facto completion where certificates of substantial completion/satisfactory completion have not been issued). If voluntary suspension was made during the maintenance period or defects liability period, uplifting of the voluntary suspension should be considered when the contractor has performed satisfactorily for a minimum period of three months. The Chairman of the RRC shall write to the Director of the Managing Department recommending uplifting of voluntary suspension who shall then consult all the other Works Departments to ensure that there are no objections to the uplifting. Confirmation of the uplifting of suspension shall then be made by the Managing Department to all the Works Departments, the Housing Authority and the Development Bureau under restricted cover.
- (iii) If the contractor does not agree to voluntary suspension, the Chairman of the RRC shall write to the Managing Department recommending that the contractor be suspended on a mandatory basis. If the Managing Department agrees to the recommendation, a proposal for mandatory suspension of the contractor shall be made to the Development Bureau and copied to the RRC. The Managing Department should only disagree with the recommendation of the Chairman of the RRC if there is a possibility that suspension of the contractor could adversely affect other contracts held by the contractor. The Chairman of the Managing Review Committee (MRC) shall write under restricted cover to all the Works Departments, the Housing Authority and the Development Bureau advising why the recommendation for mandatory suspension of the contractor has not been supported. Mandatory suspension of a contractor will be actioned by the Development Bureau and published in both the Government Gazette and the web site of the Development Bureau.
- (iv) Six Weekly Reporting – This shall be introduced after the second consecutive Adverse quarterly report and continued until a Not Adverse

report is received. Thereafter normal quarterly reports apply. If the six weekly reports on a contract have been discontinued and the contractor subsequently receives a further Adverse report, the six weekly reports should be immediately reintroduced until a Not Adverse report is received. Six weekly reports carry the same weight as quarterly reports and should be completed and processed in exactly the same manner. The RRC should normally review the six weekly reports shortly after they have been received, to ensure the effectiveness of the more intense monitoring system.

(c) Continuing Adverse reports: -

Six weekly reporting should continue. Further interviews with the contractor shall be at the discretion of the Reporting and Managing Department.

(d) End of contract: -

At the first quarterly review after substantial completion/satisfactory completion of the contract (or de facto completion where certificates of substantial completion/satisfactory completion have not been issued) for which any Adverse report has been received, an overall review should be carried out by the RRC to decide whether or not a recommendation should be made to downgrade, demote or remove the contractor from the List and/or the Specialist List. The Managing Department should be informed of the RRC decision.

(e) More than one contract receiving Adverse reports in a category: -

- (i) If a contractor receives 1st Adverse reports simultaneously in several contracts in a category, the Managing Department may consider stronger regulating action than those recommended in sub-paragraph 5.4.5(a) above.
- (ii) At the stage when voluntary suspension is proposed, if the contractor has Adverse reports in contracts under two Reporting Departments, but in the same category, the Director of the Managing Department may decide to interview the contractor personally.

(f) Adverse reports in several categories: -

At the stage when voluntary suspension is proposed, within the general framework of the guidelines, Managing Departments of the several categories involved should agree as to who should interview the contractor and to which category or categories the suspension should apply. If this cannot be resolved, the matter should be referred to the Development Bureau for a decision.

5.4.6 Departments may consider recommending suspension to be extended to other categories if a contractor consistently shows poor performance in aspects, such as poor management ability, which are likely to affect other categories of work. In such cases, the Chairman of the RRC shall write to the Chairman of the MRC recommending suspension in

more than one category. The Chairman of the MRC will assess the reasons given by the RRC and make a follow-up recommendation to the Development Bureau.

5.4.7 Notwithstanding the provisions given in paragraph 5.4.5 above for consecutive Adverse reports, the RRC should consider recommending suspension in cases of repeated Adverse reports which are not consecutive. The procedure shall be similar to that set out in sub-paragraph 5.4.5(c) above.

5.4.8 In the case of contracts being carried out by joint venture, partnerships or consortia, the regulating actions arising from poor performance on a contract shall be applied equally to all individual members of the joint venture.

5.5 Non-submission of Accounts and Information

5.5.1 Failure to submit accounts, answer queries or provide information within the prescribed time will warrant: -

- (a) mandatory suspension from tendering; or
- (b) removal from the List and/or the Specialist List.

5.5.2 Contractors failing to submit accounts within the following time limits shall be suspended automatically from tendering.

Submission	Contractors	Time Limit
Annual Audited Accounts	Contractors on the List of Approved Contractors for Public Works - Groups A, B & C	6 months after the end of the accounting period
	Contractors/Suppliers on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works	6 months after the end of the accounting period
Half-yearly Management Accounts	Contractors on the List of Approved Contractors for Public Works - Group C	6 months after the end of the accounting period

5.5.3 Within two months but not less than one month before the prescribed time limit, a letter shall be sent by registered post to contractors to warn them that they will be suspended unless accounts are submitted within the time limit. Under no circumstances would extension of the due date be granted.

5.5.4 A contractor suspended under paragraph 5.5.2 above will not be reinstated automatically upon submission of accounts. The reinstatement shall only be considered after the contractor has submitted all his omitted accounts and has proved to the satisfaction of the

Finance Section of Development Bureau that his financial position meets all the criteria appropriate to his group and status.

5.5.5 If a contractor ignores the requirements to answer queries or provide information within the specified time for financial assessment, he shall be suspended from tendering automatically until he has proved that his financial position meets all the criteria appropriate to his group and status.

5.5.6 Should the contractor fail to submit two consecutive audited accounts within 6 months after the end of the last accounting period, or be suspended for one full year under paragraph 5.5.2 or 5.5.5 above, and yet no actions have been taken by him in good faith to uplift himself from the suspension status, he shall be removed automatically from the List and/or the Specialist List.

5.5.7 These procedures will be applied by the Development Bureau. The Works Departments will not be consulted prior to taking action but will immediately be informed.

5.5.8 If any member of a joint venture or consortium is suspended from tendering under these procedures, then the joint venture or consortium shall be ineligible to tender.

5.6 Failure to Meet the Financial Criteria

5.6.1 Failure to meet the financial criteria or requirements as established by the Development Bureau within the prescribed time will warrant:-

- (a) mandatory suspension from tendering (a time limit for review to be set and the contractor will be subject to a financial vetting before being considered for reinstatement); or
- (b) downgrading to probationary status or demotion to a lower group of the List and/or the Specialist List; or
- (c) removal from the List and/or the Specialist List.

5.6.2 If a contractor ignores the requirements to make good the shortfall in employed and/or working capital within the specified time for retention purpose, he shall be suspended automatically from tendering for a minimum period of six months or until the shortfall is rectified, whichever is later.

5.6.3 Should the contractor fail to make good the shortfall within one year from suspension, he shall be removed automatically from the List and/or the Specialist List.

5.6.4 The following regulating actions shall be applicable to the contractors on the List and/or the Specialist List and be imposed against those contractors incurring substantial loss in their business: -

- (a) If any contractor suffers from an average loss rate greater than 20% in any one year, a warning letter shall be sent by the Finance Section of Development

Bureau (copied to SEO(PS), Development Bureau and all the Works Departments) reminding the contractor that should the average loss rate exceed 30% based on the audited accounts of the subsequent financial year, the contractor may be downgraded, demoted or removed from all the categories in which he is listed. Upon notification, the Works Departments shall increase their general vigilance in supervising the contractor's works.

- (b) If any contractor suffers from an average loss rate greater than 30%, the contractor shall be :
 - (i) downgraded to probationary status if he holds a confirmed status in any group or category; or
 - (ii) demoted to confirmed status of a lower group if he holds a probationary status in the higher group; or
 - (iii) demoted to a lower group if he is under a category in the Specialist List which has no probationary status; or
 - (iv) suspended from tendering if he holds a probationary status in the lowest group or category or is under a category in the Specialist List which has no probationary status.
- (c) For contractors regulated under sub-paragraph (b) above, if their average loss rates continue to be above 30% based on the audited accounts for the following two financial years, the regulating actions in sub-paragraph (b) above shall be imposed again. A contractor who has been suspended from tendering under sub-paragraph (b)(iv) above will be removed from the List and/or the Specialist List.
- (d) Provided that the contractor has not been removed from the List and/or the Specialist List, if his latest audited accounts show that the average loss rate is less than 30%, the regulating action imposed under sub-paragraph (b) or (c) above could be uplifted and the contractor could reinstate his status to that just before the latest regulating action subject to meeting all the criteria including financial requirements appropriate to his group and status.
- (e) If the contractor's accounts show that the average loss rate exceeds 30%, the contractor can inject capital to strengthen the shareholder's funds or net worth, which will be taken into account in determining the revised loss rate for the year under review.
- (f) A contractor who is regulated under the Profitability Trend Analysis (PTA) may apply to waive the application of PTA upon the provision of full justification. In this regard, approval will be granted only under special circumstances.

5.6.5 These procedures will be applied by the Development Bureau. The Works Departments will not be consulted prior to taking action but will immediately be informed.

5.7 Contractors Convicted of Contraventions of the Employment Ordinance (Cap. 57)

5.7.1 Any contractors convicted of three or more offences under the Employment Ordinance (Cap. 57), in respect of separate incidents in a rolling 12-month period, shall be compulsorily and automatically suspended from tendering for public works for six months. The suspension shall take effect from the date of the last conviction. Convictions in respect of all public and private contracts shall be counted.

5.7.2 On expiry of the six-month suspension period, if there have been no further convictions as defined in paragraph 5.7.1 above under the Employment Ordinance (Cap. 57) during the suspension period, the suspension shall be lifted. If there have been any further conviction/convictions as defined in paragraph 5.7.1 above during the suspension period, the suspension shall automatically continue for six months from the date of the last conviction until there is no further conviction during the extended period or further extended period.

5.7.3 The date of conviction, not the date of commission of the offence, shall be used in determining action under these procedures.

5.7.4 These procedures will be applied by the Development Bureau. The Works Departments will not be consulted prior to taking action but will immediately be informed.

5.7.5 The General Condition of Tender in relation to the statement of convictions under the Employment Ordinance (Cap. 57), as shown in the web site of the Development Bureau, shall be included in all tender documents.

5.7.6 A tender will not be considered if, by the date set for the close of tender, or the extended date if this has been extended, the tenderer or, if the tenderer is a partnership or an unincorporated or incorporated joint venture, any participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture is suspended from tendering under the provisions of this Sub-section.

5.7.7 Departments shall include in the tender reports submitted to the relevant Tender Board a statement stating that the recommended tenderer is not suspended from tendering under the provisions of this Sub-section.

5.7.8 A conviction against each participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture shall be counted as a conviction against a partnership or an unincorporated joint venture or incorporated joint venture with different participants for the partnership or unincorporated joint venture or different shareholders for the incorporated joint venture for which the conviction was made.

5.7.9 For a limited company which substituted a partnership or sole proprietor or a limited company which substituted another limited company as defined in Sub-section 6.5, the limited company shall disclose the name of the entity prior to the substitution, where such substitution takes place within the 12-month period prior to the tender closing date. Convictions of the limited company including convictions of the entity (which includes partnership or sole proprietorship or limited company) before substitution, which fall within the 12-month period prior to the tender closing date, shall be taken into account in the tender assessment.

5.7.10 Where the tenderer is a partnership or an unincorporated or incorporated joint venture, the provisions of paragraph 5.7.9 above shall apply to participants of the partnership or unincorporated joint venture or shareholders of the incorporated joint venture who is/are limited company/companies.

5.8 Contractors Convicted of Employing Illegal Workers or of Having Illegal Workers on Sites under their Control

5.8.1 Any contractors convicted of three or more offences under the Immigration Ordinance (Cap. 115), for employing illegal workers or for having illegal workers on sites under their control in respect of separate incidents in a rolling 12-month period, either as main contractors or sub-contractors (whether nominated, specialist or domestic) or otherwise as persons/companies who have control over or are in charge of the construction sites, shall be compulsorily and automatically suspended from tendering for public works for six months. Illegal workers shall mean any persons on construction sites who are illegal immigrants; or any persons who, being not lawfully employable by virtue of Section 17G(2) of the Immigration Ordinance, have committed an offence under Section 41 by contravening the conditions of stay in force in respect of them. The suspension shall take effect from the date of the last conviction. Convictions in respect of all public and private contracts shall be counted.

5.8.2 On expiry of the six-month suspension period, if there have been no further convictions as defined in paragraph 5.8.1 above under the Immigration Ordinance (Cap. 115) during the suspension period, the suspension shall be lifted. If there have been any further conviction/convictions as defined in paragraph 5.8.1 above during the suspension period, the suspension shall automatically continue for six months from the date of the last conviction until there is no further conviction during the extended period or further extended period.

5.8.3 The date of conviction, not the date of commission of the offence, shall be used in determining action under these procedures.

5.8.4 These procedures will be applied by the Development Bureau. The Works Departments will not be consulted prior to taking action but will immediately be informed.

5.8.5 The General Condition of Tender in relation to the statement of convictions under the Immigration Ordinance (Cap. 115), as shown in the web site of the Development Bureau, shall be included in all tender documents.

5.8.6 A tender will not be considered if the tenderer or, if the tenderer is a partnership or an unincorporated or incorporated joint venture, any participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture is suspended from tendering under the provisions of this Sub-section, unless the suspension is lifted by the date set for the close of tender, or if this has been extended, the extended date.

5.8.7 Departments shall include in the tender reports submitted to the relevant Tender Board a statement stating that the recommended tenderer is not suspended from tendering under the provisions of this Sub-section.

5.8.8 A conviction against each participant of the partnership or unincorporated joint venture or shareholder of the incorporated joint venture shall be counted as a conviction against a partnership or an unincorporated joint venture or incorporated joint venture with different participants for the partnership or unincorporated joint venture or different shareholders for the incorporated joint venture for which the conviction was made.

5.8.9 For a limited company which substituted a partnership or sole proprietor or a limited company which substituted another limited company as defined in Sub-section 6.5, the limited company shall disclose the name of the entity prior to the substitution, where such substitution takes place within the 12-month period prior to the tender closing date. Convictions of the limited company including convictions of the entity (which includes partnership or sole proprietorship or limited company) before substitution, which fall within the 12-month period prior to the tender closing date, shall be taken into account in the tender assessment.

5.8.10 Where the tenderer is a partnership or an unincorporated or incorporated joint venture, the provisions of paragraph 5.8.9 above shall apply to participants of the partnership or unincorporated joint venture or shareholders of the incorporated joint venture who is/are limited company/companies.

5.9 Contractors Convicted of Site Safety or Environmental Offences or Incurring Serious Incidents on a Construction Site

5.9.1 Please refer to DEVB TCW No. 3/2009 for details.

5.10 Non-compliance with the Provisions for Employment of Technician Apprentices and Building & Civil Engineering Graduates

5.10.1 Please refer to ETWB TCW No. 12/2003 for details.

5.11 Non-compliance with the Provisions for Mandatory Employment of Qualified Tradesmen and Intermediate Tradesmen

5.11.1 Please refer to WBTC No. 13/2002 for details.

5.12 Failure to Obtain Quality Management System Certification as Required

5.12.1 Please refer to WBTC No. 13/2001 and ETWB TCW No. 13/2001A for details.

5.13 Withdrawal of Tenders within the Tender Validity Period

5.13.1 A tenderer shall exercise reasonable care in preparing his tender. A tenderer who engages in any of the following inappropriate conducts, some of which may involve breaches of contract, may find himself the subject of regulating action:

- (a) withdrawal of his tender within the tender validity period;
- (b) refusal to comply with the Conditions of Tender;
- (c) refusal to withdraw a tender qualification or post-tender qualification irrevocably and unconditionally unless such qualification is explicitly permitted in the Conditions of Tender; and
- (d) refusal to make good the shortfall in working capital within the specified time required for the award of the tender.

5.13.2 Refusal may be by way of positive refusal or failure to respond to requests or enquiry from the Employer or his agent. Failure to respond in the specified manner or by the specified deadline may also be regarded as failure to respond. The inappropriate conducts listed in paragraph 5.13.1 above are regarded as withdrawals of tenders in a particular category within the tender validity period.

5.13.3 Upon becoming aware of the inappropriate conduct as described in paragraph 5.13.1 above, the procuring department shall seek legal advice from the Legal Advisory Division (Works) of Development Bureau on whether legal action is recommended.

5.13.4 The Government may take legal action against a tenderer to recover damages where there has been a breach of an implied contract by the tenderer. In any event, withdrawal of a tender by the tenderer under any of the situations mentioned in paragraph 5.13.1 above and which gives rise to reasonable suspicions as to the capability or integrity of the tenderer shall result in regulating action being taken against the tenderer unless the tenderer can offer an acceptable explanation for such conduct.

5.13.5 Where it is established that a tenderer engages in conduct as described in paragraph 5.13.1 above and which gives rise to reasonable suspicions as to his capability or integrity, the procuring department shall notify the Chairman of the related Managing Review Committee (MRC) within one week enclosing copies of the relevant correspondence with a copy to the Secretary for Development (Attn: PAS(W)4) advising him of the name of the defaulting tenderer, the tender closing date, the contract number, the contract title, the predominant category of works and the type of conduct as described in paragraph 5.13.1 above.

5.13.6 Upon receipt of the said notification from the procuring department, the

Chairman of the MRC shall take the following actions:

- (a) If the notification is the first one in a rolling 36-month period, the following actions should be taken.
 - (i) The MRC Chairman shall write on behalf of his Director to the tenderer preferably within two weeks from the date of receipt of the notification from the procuring department, seeking an explanation from the tenderer as to the reasons for the inappropriate conduct (using the standard letter at **Appendix 5B**).
 - (ii) If the MRC Chairman is satisfied with the tenderer's explanation, the tenderer shall be advised (using the standard letter at **Appendix 5C**) that the inappropriate conduct will be recorded but will not be counted for the purposes of taking regulating actions.
 - (iii) If the tenderer has failed to respond or if the MRC Chairman is not satisfied with the tenderer's explanation and considers that the inappropriate conduct could have been reasonably avoided, the tenderer should be warned (using the standard letter at **Appendix 5D**) that should he engage in further inappropriate conduct as described in paragraph 5.13.1 above either in the next 12-month period or 36-month period, regulating actions will be taken in accordance with sub-paragraphs (b) or (c) below unless the tenderer can offer an acceptable explanation for such conduct.
- (b) If the notification is the second one in respect of the same category of work in a rolling 12-month period, the following actions should be taken.
 - (i) The MRC Chairman shall follow the same procedures laid down in sub-paragraphs (a)(i) and (a)(ii) above.
 - (ii) If the tenderer has failed to respond or despite the tenderer's explanation the MRC Chairman is satisfied that the inappropriate conduct gives rise to reasonable suspicions as to the capability or integrity of the tenderer, he shall recommend to the Secretary for Development to remove the tenderer from that particular category. The Secretary for Development will give a further opportunity to the tenderer to present his case before determining whether the tenderer's inappropriate conduct gives rise to reasonable suspicions as to his capability or integrity. If the Secretary for Development makes a determination against the tenderer then the tenderer shall be removed from that particular category of the List or the Specialist List.
- (c) If the notification is the second one in respect of the same category of work in a rolling 36-month period, the following actions should be taken.
 - (i) The concerned MRC Chairman should follow the same procedures laid down in sub-paragraphs (a)(i) and (a)(ii) above.

- (ii) If the tenderer has failed to respond or despite the tenderer's explanation the MRC Chairman is satisfied that the inappropriate conduct gives rise to reasonable suspicions as to the capability or integrity of the tenderer, the MRC Chairman shall recommend to the Secretary for Development to suspend the contractor from tendering for public works contracts in that category for six months. The Secretary for Development will give a further opportunity to the contractor to present his case before deciding whether to take regulating action against him as recommended by the MRC Chairman.

5.13.7 If the Secretary for Development decides to take regulating action against a tenderer in accordance with this Sub-section 5.13 and the tenderer is a joint venture, then each and every participant (in the case of an unincorporated joint venture) or shareholder (in the case of an incorporated joint venture) shall be subject to the same regulating action.

5.13.8 For the purpose of counting the number of tender withdrawal and taking regulating action, the date of withdrawal shall be taken as the tender closing date of the contract concerned. In the event that there is uncertainty as to which date is the date of withdrawal, the decision of the Secretary for Development in this connection is final.

5.13.9 The Note to Tenderers in relation to regulating actions on inappropriate conducts, as shown in the web site of the Development Bureau, shall be included in all tender documents.

5.14 Contractors Convicted of Contraventions of Section 27 of the Public Health and Municipal Services Ordinance (Cap. 132)

5.14.1 Please refer to ETWB TCW No. 22/2003 and 22/2003A for details.

5.15 Non-compliance with the Provisions for Engagement of Sub-contractors Registered from Subcontractor Registration Scheme

5.15.1 Please refer to Chapter 7 of the PAH, available in the website of CEDD, for details.

SECTION 6 CHANGE OF COMPANY NAME, SUBSTITUTION AND TRANSFER OF BENEFITS AND OBLIGATIONS OF CONTRACTS

6.1 Notification of Change of Name

6.1.1 When the company name of a contractor has been changed, the contractor shall notify the Secretary for Development in writing of the change in name and submit :

- (a) a copy of the Business Registration Certificate in the new name;
- (b)
 - (i) in the case of a company incorporated in Hong Kong, a copy of the Certificate of Change of Name issued under Section 107(3)(b) of the Companies Ordinance (Cap. 622); or
 - (ii) in the case of a registered non-Hong Kong company, a copy of the Certificate of Registration containing the current corporate name issued under Section 779(1)(b) of the Companies Ordinance (Cap. 622), and a legal opinion (original copy) from a lawyer practising in the country in which the company was incorporated confirming that under the law of that country a change of name by a company does not affect any rights or obligations of the company, or render defective any legal proceedings by or against it, and any legal proceedings that could have been commenced or continued against it by its former name may be commenced or continued against it by its new name. The authenticity of the lawyer's professional qualifications also needs to be certified correct by a government or related establishment;
- (c) a list of all current contracts with any and all of the works group of departments; and
- (d) change of bank accounts, if any.

6.2 Actions to be Taken by the Development Bureau

6.2.1 Subject to the receipt of the above documents from the contractor, the Development Bureau will :

- (a) register the change of name in the List and/or the Specialist List and category in which the contractor was previously listed under the former company name; and notify the Managing Department(s) of the change.

6.2.2 Contractors are required to: -

- (a) submit the original or certified true copy of their latest audited accounts after the aforesaid change; and
- (b) answer all reasonable enquiries from the Development Bureau

to ascertain that the financial criteria and requirements for both retention and tendering purposes are met. Alternatively, a contractor's audited accounts immediately before the change and his most up-to-date management accounts after the change would be accepted in lieu of the latest audited accounts after the change if the contractor's auditors can confirm to the Development Bureau that there is no impact on the contractor's financial position arising from the change.

6.3 Actions to be Taken by the Managing Departments

6.3.1 Upon the notification of the Development Bureau, the corresponding Managing Department for the category or categories in which the contractor is listed shall consider whether the changes will affect the ability of the contractor to perform satisfactorily and collect from the contractor all the necessary documents in relation to his technical ability in the new name such as copy of Quality Management System certificate and the Certificate of Registration of General/Specialist Contractor. The Managing Departments shall investigate if necessary and recommend to the Development Bureau whether there should be any change in the contractor's status within one calendar month from the date of referral by the Development Bureau. The procedures of submitting a recommendation are the same as those given in paragraph 2.4.3 above. Regardless of the outcome of the action taken, existing contracts with the contractor will remain unaffected. The contractor will continue to be allowed to tender for contracts under the appropriate category or categories in which the contractor is listed unless the Managing Department recommends to the Development Bureau that the contractor should be suspended from tendering.

6.3.2 The Managing Departments should note that a change of name only does not affect the legal status, or any of the rights or obligations of the company. It is therefore not necessary to initiate procedures such as the issue of questionnaires, as if it were a request by a new contractor for admission to the List and/or the Specialist List. The contractor should simply be addressed by the new name in the administration of all current contracts.

6.4 Notification to Departments

6.4.1 The Development Bureau will inform all relevant departments of the change of name and any consequential changes in the contractor's status under the List and/or the Specialist List.

6.5 Substitution

6.5.1 The structure of a contractor may change, for example, from a partnership or sole-proprietorship to a limited company or a company may wish to transfer its listing status to its holding or subsidiary company. All these cases are regarded as applications for substitution.

6.5.2 Application for substitution will be considered/allowed to cater for genuine organizational restructuring to suit the business needs of contractors whilst upholding government procurement principle of open and fair competition. Subject to the conditions and procedural requirements as set out in paragraphs 6.5.3 to 6.5.6 below, a contractor may submit an application for substitution which, if approved, will permit another company (the “new company”) to inherit the company listing status, records of company experience, past performance, convictions, accidents and regulating actions of the company being substituted (the “outgoing company”).

6.5.3 The “Notes for Application for Substitution” at **Appendix 6A** describes the pre-requisites and essential information for the completion of the substitution process. A sample of undertaking, which should be signed by both the outgoing company and the new company is shown at **Appendix 6B**. The date of approval for substitution will be the day executing novation agreements of all outstanding contracts, if any, among the outgoing company, the new company and the Government.

6.5.4 Upon receipt of an application for substitution, SEO(PS) of the Development Bureau will refer the application to the Managing Departments concerned for the vetting of the technical and management capability of the new company. These cases will be handled in the same manner as application for admission. In addition, all Works Departments will be required to check whether the outgoing company has any outstanding contracts with them and confirm to SEO(PS) of the Development Bureau within 3 working days the full list of contracts requiring novation. The basic principle is to **novate all contracts where final payment certificates have not yet been issued and those contracts where final payment certificates have been unilaterally issued by the Engineers/Architects but disputed by the contractor**. Works Departments should however be reminded to check cautiously all contracts still undertaken by the outgoing company (such as those in Maintenance Periods) and bring to the attention of the Development Bureau if exceptional contracts have to be included in or excluded from the novation list. Upon confirmation by the Works Departments the full list of contracts to be novated, SEO(PS) will forward the lists together with the application to the Finance Section of Development Bureau for financial vetting. The new company will be assessed financially on whether it is eligible for admission and for taking up the outstanding contracts surrendered by the outgoing company.

6.5.5 If the Managing Departments recommend the substitution, they should submit an updated list of outstanding contracts requiring novation and a list of outstanding issues that have to be cleared by the outgoing company before novation and substitution can be proceeded. If discrepancies are found between this list of outstanding contracts and the one collected previously for financial vetting, SEO(PS) will draw the attention of the Finance Section of Development Bureau, who may conduct a re-assessment on the new company’s

financial capability if required. Separately, SEO(PS) will coordinate the returns from Works Departments on outstanding issues and request the outgoing company to furnish the required documents. Having collected the required documents from the outgoing company, SEO(PS) will send the documents to the relevant Works Departments for vetting. If only one department is involved in the novation process, that department should follow up all issues related to the novation and advise SEO(PS) of the date fixed for the execution of novation agreement(s). The Secretary for Development will issue a letter to the new company approving its inclusion in substitution of the outgoing company on the date of executing novation agreement(s). If the novation agreement(s) is subsequently not executed on the specified day, the approval for substitution will become void and invalid. In the event that more than one Works Department are involved in the novation process, SEO(PS) will facilitate as a central coordinator between the relevant Works Departments and the outgoing and new companies. The Works Department which holds the greatest contract value for those outstanding contracts requiring novation will be responsible for the logistical arrangement for the novation procedures such as checking of documents on authorized signatories, preparation of standardized novation agreement forms and arranging venue for signing novation agreements.

6.5.6 In processing an application for substitution, the Secretary for Development will take into account all relevant information and has the sole discretion to withhold the approval if there are reasonable grounds to believe that there is a breach of professional integrity in relation to the application, such as false declarations, leading to violation of the government procurement principle of open and fair competition.

6.6 Transfer of Benefits and Obligations of Contracts

6.6.1 Apart from the substitution process as mentioned in Sub-section 6.5 above, a contractor may apply to transfer his benefits and obligations under a contract with the Government to a third party only if he is being wound up, will no longer be in existence, or is unable to complete the contract. Under such circumstances, the Government may, on balance and in the interest of the Government and public fund, agree to a novation instead of terminating the contract. In that event, the contractor will normally be removed from the List and/or the Specialist List in accordance with Section 5 above. In all the aforementioned cases, a novation agreement is required. One of the basic requirements is that the third party must be an approved contractor under the relevant category/categories of works in the List and/or the Specialist List. Approval to the novation is subject to and conditional upon the Government's agreement to the terms of the novation agreement.

6.7 A Novation Agreement

6.7.1 For public works contracts, a novation agreement is a tripartite agreement entered into by the Employer (Government), the contractor and a third party, whereby the contractor is released from and the third party assumes all the Contractor's obligations and rights under the stated contract(s). The two standard forms of novation agreement are shown at **Appendices 6C & 6D**. More than one contract may be included in a novation agreement.

6.7.2 For all novation, advice from the Legal Advisory Division (Works) of Development Bureau must be sought on any proposed change to the standard forms of novation agreement.

6.7.3 The departments concerned must check to ensure that the third party taking over the contract has the technical, management and financial capability and is a fit substitute for the outgoing contractor. In the event that the contractor has assigned the financial benefit of his contract with the Government to a financial institution, the contractor is required to resolve matters relating to the financial assignment to the satisfaction of the Government before the Government considers agreeing to the proposed novation (see also Sub-section 6.8 herein below).

6.7.4 Before a novation agreement is executed, departments concerned should first confirm the financial capability of the third party with the Finance Section of Development Bureau. They should apply to the Secretary for Development (Attn: PAS(W)4), with a copy of confirmation memo from the Finance Section of Development Bureau, for approval in principle before the execution of the novation agreement. In the application, the details of the contract, the parties involved in the novation agreement and the expected time required for the completion of the novation agreement should be indicated. The Development Bureau will monitor the progress of the arrangement.

6.7.5 All three parties shall execute the agreement on the same date. In the case where the contract to be novated is made between the Government and the contractor together with other person or persons trading as an unincorporated joint venture, such other person or persons shall also join in the execution of the agreement. Copies of the executed novation agreement shall be sent to the Secretary for Development (Attn: PAS(W)4) and the Secretary for Financial Services and the Treasury within 3 working days from the date of execution.

6.8 Performance Bond, Joint Venture Guarantee and/or Insurance

6.8.1 Where any performance bond, any guarantee and/or any insurance is required for a contract and if the contract is to be novated then a substituting performance bond, guarantee and/or insurance policy must be provided by the third party, in the contractually required form, prior to the execution of the novation agreement. The outgoing company shall be required to clear the following outstanding issues for each contract with the Government which requires novation, if applicable, at least 2 weeks before execution of novation agreement:

- (a) The outgoing company must provide documentary proof that any insurance policy required under the contract also covers the new company to the same extent as that for the outgoing company. If the original insurance policy(ies) includes other parties in joint names, the new policy(ies) should cover these parties as well.
- (b) In the event that an existing contract involves a Nominated Sub-contract, the outgoing company, the new company and the relevant Nominated Sub-contractor should novate the Nominated Sub-contract. The original and a copy of the novated Nominated Sub-contract should be produced to the

relevant Works Department for inspection and, if found acceptable to the Works Department, the original novated Nominated Sub-contract will be returned to the applicant and the copy thereof shall be retained for record. The novated Nominated Sub-contract should have a clause to the effect that the novated Nominated Sub-contract shall take effect only on the date when the novation agreement in respect of main contract is executed.

- (c) The outgoing company must provide documentary proof that any Professional Indemnity Insurance required for the contract also covers the new company to the same extent as that for the outgoing company. If the original insurance policy(ies) includes other parties in joint names, the new policy(ies) should cover these parties as well.
- (d) The outgoing company must provide documentary proof that any bond(s) and surety(ies) required for the contract also covers the new company to the same extent as that for the outgoing company. Alternatively, new bonds and surety(ies) acceptable to the Government may be furnished. In the event that a substituting bond and/or surety(ies) cannot be made available at the date of the novation agreement, a supplementary agreement in the format of Appendix 6E should be executed immediately after the execution of the novation agreement for that particular contract.
- (e) The outgoing company must provide documentary proof that he has resolved matters relating to the financial assignment if he has assigned the financial benefit of his contract with the Government to a financial institution.
- (f) The outgoing company must provide other documents as specified and required by the Secretary for Development.

6.8.2 Where the third party is a limited liability joint venture company, each shareholder of the company will be required to execute a Joint Venture Guarantee prior to the execution of the novation agreement.

APPENDIX 2A Financial Criteria for Retention on the List and Requirements for Acceptance of a Tender

Introduction

1. The financial criteria for retention on the List of Approved Contractors for Public Works (List) and requirements for acceptance of a tender are established by Development Bureau. Contractors are required to:

- (i) submit the original or a certified true copy of their latest audited accounts and in case the contractor is a Group C contractor on the List of Approved Contractors for Public Works also the latest half-yearly management accounts;
- (ii) submit certified statements of outstanding workload;
- (iii) provide supplementary information; and
- (iv) answer all reasonable enquiries from Development Bureau

to ascertain that these financial criteria and requirements are met.

2. In accordance with the Rules for Administration of the List of Approved Contractors for Public Works, a contractor applying for admission, confirmation or promotion must meet and maintain the financial criteria applicable to his appropriate group and status. The financial information required to be submitted by the contractors for such purposes is set out in **Annex to Appendices 2A & 3B**.

Financial Criteria for Retention on the List

3. For retention on the List, a contractor is required to maintain certain minimum levels of employed and working capital applicable to the appropriate group and status. The minimum levels are periodically adjusted and are currently set as follows:

	<u>Minimum Employed Capital</u> (Note 3) HK\$	<u>Minimum Working Capital</u> HK\$
(i) <u>For Group A</u>		
(a) Probationary	2,200,000 plus \$1.2M for every \$12M of annualized outstanding works or part thereof above \$22M, subject to a maximum of \$4.6M	2,200,000 or 15% on annualized outstanding works, whichever is higher
(b) Confirmed	4,300,000 plus \$2.2M for every \$22M of annualized outstanding works or part thereof above \$43M, subject to a maximum of \$8.7M	4,300,000 or 15% on annualized outstanding works, whichever is higher

	Minimum Employed Capital (Note 3) HK\$	Minimum Working Capital HK\$
(ii) <u>For Group B</u>		
(a) Probationary	5,200,000 plus \$2.9M for every \$43M of annualized outstanding works or part thereof above \$78M, subject to a maximum of \$14.7M	5,200,000 or 10% on annualized outstanding works, whichever is higher
(b) Confirmed	10,700,000 plus \$5.8M for every \$86M of annualized outstanding works or part thereof above \$159M, subject to a maximum of \$30.1M	10,700,000 or 10% on annualized outstanding works, whichever is higher
(iii) <u>For Group C</u>		
(a) Probationary	15,700,000 plus \$2 million for every \$100 million of annualized outstanding works or part thereof above \$1,010 million	15,700,000 or 8% on the first \$1,010 million of annualized outstanding works and 10% on remainder, whichever is higher
(b) Confirmed	20,000,000 plus \$2 million for every \$100 million of annualized outstanding works or part thereof above \$1,010 million	20,000,000 or 8% on the first \$1,010 million of annualized outstanding works and 10% on remainder, whichever is higher

Note : (1) The above revised financial criteria shall take effect on 15 February 2017. However, in order to facilitate the existing contractors on the List to maintain their present listing status, the existing contractors will be given a 12- months' grace period to adjust to the above new financial criteria. In other words, all management accounts or audited accounts with accounting periods ending on or after 15 February 2018 will be subject to the above new financial criteria.

(2) As regards applications for admission, confirmation or promotion in the List, contractors shall meet the above new financial criteria applicable to the specific group in question for applications made on or after 15 February 2017. Applications made prior to 15 February 2017 shall be subject to the financial criteria applicable at the time of application and the successful applicants shall meet the above new financial criteria within the same deadline as the existing contractors aforesaid. For the purpose of tender evaluation, contractors shall be subject to the above revised financial criteria if the tenders are invited on or after 15 February 2017.

- (3) The issued and paid up capital and shareholders' funds should both meet the level of minimum employed capital applicable to his highest group and status.
4. A contractor in more than one works category must maintain the minimum levels of employed and working capital applicable to his highest group and status.
5. The annualized outstanding works for retention purpose is defined as the combined annual value of uncompleted works on public works contracts, Housing Authority contracts and contracts with the private sector on a world-wide basis.
6. Public works contracts include all construction-related contracts and works-related maintenance contracts where Government of HKSAR is the employer.
7. Shortfall in employed capital can be rectified by an increase in share capital/partners' funds/proprietor's funds, while shortfall in working capital can be rectified by the following methods:
- (i) increase in share capital/partners' funds/proprietor's funds to be paid up in cash; or
 - (ii) arrangement of a bank loan that is not repayable within 12 months; or
 - (iii) deferment in repayment of outstanding loan to directors or related companies by means of a deferred loan agreement in an acceptable legal format.
- Bank overdraft facility can be a method to rectify the shortfall in working capital only for shortfall relating to outstanding workload.
8. If a contractor's business is at a loss, the average loss rate shall not be greater than 30% for the purpose of retention on the existing group status. All audited accounts submitted by the contractors shall be subject to the Profitability Trend Analysis, which is an analysis of the financial performance of a contractor with reference to its profit or loss over the past three consecutive years.
9. The average loss rate is defined as the weighted average of the net loss as a percentage of the opening balance of the shareholders' funds or net worth over the past 3 years with weights of 3:2:1. The net loss and the opening balance of the shareholders' funds or net worth will be extracted from the audited accounts. Subsequent capital injection by a contractor to strengthen the shareholders' funds or net worth will be taken into account in determining the revised loss rate for the year under review.
10. For a newly formed company with only two years' operations, the average loss rate is defined as the weighted average of the net loss as a percentage of the opening balance of the shareholders' funds or net worth over the past two years with weights of 3:2.
11. For a newly formed company with only one year's operation, the average loss rate is defined as the net loss as a percentage of the shareholders' funds or capital at the start of business.
12. Contractors are required to provide additional financial information as and when required to enable Development Bureau to carry out ad hoc financial assessment.

Financial Requirements for Acceptance of a Tender

13. In order to be recommended for the award of a contract of whatever value in any category of work, a contractor's employed and working capital, as assessed from the accounts, should amount to at least the level required for retention on the List. In this regard, the employed and working capital requirement would base on the latest statement of outstanding workload and would take into account the annual value of the new tender. The financial information required to be submitted in the tender by the contractors is set out in **Annex to Appendices 2A & 3B**.

14. In the case of a joint venture, each participant shall be assessed on his own financial capability in taking up his share of the tender. However, if any of the participants cannot meet the required capital level for undertaking his share but the other participant(s) of the joint venture has met the financial criteria for undertaking the whole contract, the joint venture may still be regarded as satisfying the financial requirements collectively.

15. If a contractor's average loss rate is greater than 30%, he will not be recommended for tender award for contracts in his prevailing group.

16. Rectification in shortfall for employed and working capital for tendering purpose follows the same methods adopted for retention purpose.

Certified Statements of Outstanding Workload

17. Each contractor submitting audited or management accounts and/or tendering for contracts of whatever value will be required to submit with his accounts/tenders a statement certified by his Managing Director or by a person authorized to sign Government contracts on the tenderer's behalf giving the following information:

- (i) a list current contracts held with Government and the private sector including the Housing Authority, both as main contractor or subcontractor;
- (ii) the approximate value of uncompleted works on each of the contracts at (i);
and
- (iii) the approximate time required to complete each of the contracts at (i).

ANNEX TO APPENDICES 2A & 3B**Financial Information Required to be Submitted for Financial Assessment**

- (1) Contractors shall provide the following documents if they have not already been submitted to the Finance Section of Development Bureau before:
 - (a) the original or copies of annual unconsolidated financial statements for the last three accounting years audited and certified by certified public accountants;
 - (b) unconsolidated financial statements covering the period between the latest set of audited financial statements up to a date not earlier than 3 months before the date of submission;
 - (c) financial statements of Hong Kong Branch or Office covering periods mentioned in (a) and (b) above, if the contractor is not incorporated in Hong Kong;
 - (d) a statement giving details of significant events which occurred after the year end date of the latest audited financial statements which would affect the contractor's financial position;
 - (e) a statement giving details of any off-balance sheet liabilities, including contingent liabilities, if not covered in the audited financial statements;
 - (f) a statement listing current or outstanding contracts in hand with total and outstanding contract sums, contract period and time required to complete the outstanding portion of the contract;
 - (g) bank letters or agreements on existing banking facilities such as term loans and overdraft; and
 - (h) any other additional financial information if considered necessary.

Copies of audited financial statements submitted under paragraph (a) and all documents under paragraphs (b) to (h) above shall be certified true and correct by independent auditors or directors of the company.

- (2) All statements submitted should be prepared in English or Chinese.
- (3) Audited financial statements include auditors' report, balance sheets, profit and loss accounts and cash flow statements together with relevant notes showing details of accounting policies, shareholders' fund, non-current assets and liabilities, investments, current assets and current liabilities.
- (4) The latest audited financial statements must be for a period ending no more than 18 months before the submission date.
- (5) In the case of a joint venture, financial and supplementary statements as mentioned under paragraph (1) above for each participant must be submitted.

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

- Table 1: Revised Requirements (applicable with effect from 15 February 2017)
- Table 2: Requirements (applicable to assessing the experience of contracts for which tenders were invited prior to 1 December 2013)

Table 1: Revised Requirements (applicable with effect from 15 February 2017)

(Note: except 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 requirements in Table 2 shall apply.)

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

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group A	1) Satisfactory completion or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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.

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on Probation to Group B	A. Direct Entry 1) Registration with the Building Authority's Register of General Building Contractors. 2) Satisfactory completion of one building works contract 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. 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. B. By Promotion 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.	1) Satisfactory completion of one port works contract within the past 5 years. The contract shall be of value over 50% of the Group B limit. 2) Experience as a sub-contractor will be accredited.	A. Direct Entry 1) Satisfactory completion of one roads and drainage works contract within the past 5 years. The contract shall be of value over 70% of the Group B limit. 2) Experience as a sub-contractor will be accredited. B. By Promotion 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.	1) Satisfactory completion of one site formation works contract 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 m³. 2) Experience as a sub-contractor will be accredited.	A. Direct Entry 1) Satisfactory completion of one waterworks contract within the past 5 years. The contract shall be of value over 70% of the Group B limit and cover mainlaying works. 2) Experience as a sub-contractor will be accredited. B. By Promotion 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.

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group B	1) Satisfactory completion or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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
Entry on probation to Group C	A. Direct Entry 1) Registration with the Building Authority's Register of General Building Contractors. 2) Satisfactory completion as the main contractor of at least one building works contract 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. B. By Promotion 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.	A. Direct Entry 1) Satisfactory completion as the main contractor of at least one port works contract 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. B. By Promotion 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.	A. Direct Entry 1) Satisfactory completion as the main contractor of at least one roads and drainage works contract 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. B. By Promotion 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.	A. Direct Entry 1) Satisfactory completion as the main contractor of at least one site formation works contract 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. B. By Promotion 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.	A. Direct Entry 1) Satisfactory completion as the main contractor of at least one waterworks contract 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. B. By Promotion 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.

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group C	1) Satisfactory completion or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 or execution for two years (whichever is earlier) as the main contractor of one 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 15 February 2017. Nevertheless, 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 confirmation or promotion requirements in Table 2 of this Appendix will continue to apply.
2. Both relevant Government and non-Government contracts will be counted for assessing contract experience requirements for direct entry and confirmation. “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 limit of Group C 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. The contractor shall provide documentary evidence (e.g. performance reports, progress reports, minutes, statement from the Engineer / Architect / Supervising Officer / Client, etc.) to the satisfaction of the Managing Departments to demonstrate the contractor's satisfactory execution of a contract for at least two years and the works already completed should be relevant to and commensurate with the category being applied for.
10. "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.
11. The non-Government main contract for assessing 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.

The applicable tender limits for Group A, Group B and Group C (Probationary) in Table 1 of this Appendix should be as follows:

For contracts for which tenders were invited	Group A	Group B	Group C (Probationary)
on or after 15 February 2017	\$100 million	\$300 million	\$700 million
before 15 February 2017 but on or after 1 December 2013	\$75 million	\$185 million	\$400 million
before 1 December 2013	\$ 30 million	\$75 million	\$ 220 million

Table 2: Requirements (applicable to assessing the experience of contracts for which tenders were invited prior to 1 December 2013)

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on probation to Group A	1) Registration with the Building Authority's Register of Contractors. 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. - sub-contract work must cover the whole range of building trades.	There are no Group A contractors for the Port Works category.	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.	There are no Group A contractors for the Site Formation category.	1) Possession of adequate waterworks construction experience either acquired as contractor or sub-contractor for Government contracts. 2) Mainlaying experience is a pre-requisite. 3) Normally expected to have undertaken works of a waterworks nature with a total value of over \$10 million in the past 10 years.
Confirmation to Group A	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.		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.		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.

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on Probation to Group B	A. Direct Entry 1) Registration with the Building Authority's Register of Contractors. 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. B. By Promotion 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.	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.	A. Direct Entry 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. B. By Promotion 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.	1) Satisfactory completion, within the past 5 years, one contract or contracts involving total earthworks quantity not less than 100,000 m³, of which one contract would involve earthworks quantity not less than 50,000 m³ in one or more of the following:- i) bulk excavation and filling (excluding quarrying and maintenance of spoil dumps); ii) sanitary landfill; iii) slope stabilization. 2) Experience as a sub-contractor may be accredited.	A. Direct Entry 1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for government contracts. 2) Mainlaying experience is a pre-requisite. 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. B. By Promotion 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. 2) Private sector experience may be accepted to supplement public sector experience.

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group 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 ³ 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.
Entry on probation to Group C	A. Direct Entry 1) Registration with the Building Authority's Register of Contractors. 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. B. By Promotion 1) Satisfactory completion of at least two Government building contracts within the past 5 years, after confirmed	A. Direct Entry 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. B. By Promotion 1) Satisfactory completion of at least one Government Group B port works contract, after confirmation to Group B, of value not less	A. Direct Entry 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. B. By Promotion 1) Satisfactory completion of at least one Government Roads and Drainage contract of	A. Direct Entry 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. B. By Promotion 1) Satisfactory completion of at least one Government Group B site formation contract within the past 5 years, after	A. Direct Entry 1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for Government contracts. 2) Mainlaying experience is a pre-requisite. 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.

Minimum Technical & 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.	than 75% of the Group B limit. Experience as a sub-contractor is not accredited. 2) Private sector experience may be accepted to supplement public sector experience.	value not less than 75% of the Group B limit after confirmation to Group B. Experience as a sub-contractor is not accredited.	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 m³. Experience as a sub-contractor is not accredited. 2) Private sector experience may be accepted to supplement public sector experience.	B. By Promotion 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. 2) Private sector experience may be accepted to supplement public sector experience.
Confirmation to Group C	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.

ANNEX 1 Guideline/Checklist for Project of Considerable Scope and Complexity

- Table A: Revised Requirements (applicable with effect from 15 February 2017)
- Table B: Requirements (applicable to assessing the experience of contracts for which tenders were invited prior to 1 December 2013)

Table A: Revised Requirements (applicable with effect from 15 February 2017)

(Note: except 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 B shall apply.)

Group	Application	Checklist Items			
		New Building	Building Trades Involved	Structural Works Involved	Building Services Works Involved
		Min. area and no. of storeys	Min. no. (Total 8) 1. Blockwork/Non-structural Elements 2. Roofing/Tanking 3. Carpentry/Joinery/Ironmongery 4. Glazing/Curtain Wall/Cladding 5. Internal & External Finishes/Rendering 6. External Works 7. Plumbing & Drainage 8. Metal Works	Min. Cost in terms of % of min. contract value (excluding Prelim. and piling) Involve new construction of Reinforced Concrete or Structure Steelworks	Min. Cost in terms of % of min. contract value (excluding Prelim.) Include at least 3 of the following: 1. Electrical 2. Fire Services 3. MVAC 4. Lift/Escalator
Group A	Direct Entry to probation	At least 2 storeys or CFA $\geq 700\text{m}^2$ in one construction site	5 out of 8	20%	20%
	By Confirmation from Probation	At least 2 storeys or CFA $\geq 700\text{m}^2$ in one construction site	5 out of 8	20%	20%
Group B	By Promotion	At least 2 storeys or CFA $\geq 1100\text{m}^2$ in one construction site	5 out of 8	15%	15%
	Direct Entry to probation / By Confirmation from Probation	At least 3 storeys and CFA $\geq 2600\text{m}^2$ in one construction site	7 out of 8	15%	15%
Group C	By Promotion	At least 3 storeys and CFA $\geq 2800\text{m}^2$ in one construction site	All 8	15%	15%
	Direct Entry to Probation	At least 3 storeys and total CFA $\geq 21000\text{m}^2$ in max. two construction site	All 8	total 12%	total 12%
	By Confirmation from Probation	At least 3 storeys and CFA $\geq 10500\text{m}^2$ in one construction site	All 8	12%	12%

Remarks:

- For application for confirmation from probation, the scope of on-going contract which the contractor has satisfactorily executed for two years should attain the minimum number of building trades and the minimum costs for structural works and building services works as stipulated in Table A. The completed works of the on-going contract should fulfil at least 50% of the above requirements.

Table B: Requirements (applicable to assessing the experience of contracts for which tenders were invited prior to 1 December 2013)

Group	Application - (Min. Project Value) - (Min. No. of Contracts)	Checklist Items			
		New Building Min. area and no. of storeys	Building Trades Involved Min. no. (Total 8) 1. Blockwork/Non-structural Elements 2. Roofing/Tanking 3. Carpentry/Joinery/Ironmongery 4. Glazing/Curtain Wall/Cladding 5. Internal & External Finishes/Rendering 6. External Works 7. Plumbing & Drainage 8. Metal Works	Structural Works Involved Min. Cost (excluding Prelim. and piling) Involve new construction of Reinforced Concrete or Structure Steelworks	Building Services Works Involved Min. Cost (excluding Prelim.) Include at least 3 of the following: 1. Electrical 2. Fire Services 3. MVAC 4. Lift/Escalator
Group A	Direct Inclusion (AP) - (\$10M) - (2 Nos.)	At least 2 storeys or CFA $\geq$ 700m ²	5 out of 8	\$2M	\$1M
	Confirmation (A) - (\$10M) - (1 No.)*	At least 2 storeys or CFA $\geq$ 700m ²	5 out of 8	\$2M	\$1M
Group B	By Promotion (BP) - (\$15M) - (1 No.)*	At least 2 storeys or CFA $\geq$ 1100m ²	5 out of 8	\$2.5M	\$2M
	Direct Inclusion (BP) - (\$25M) - (2 Nos.)	At least 2 storeys and CFA $\geq$ 1850m ²	5 out of 8	\$3.5M	\$3.5M
	Confirmation (B) - (\$37.5M) - (1 No.)*	At least 3 storeys and CFA $\geq$ 2800m ² in one construction site	7 out of 8	\$5M	\$5M
Group C	By Promotion (CP) - (\$37.5M) - (2 Nos.)*	At least 3 storeys and CFA $\geq$ 2800m ² in one construction site	All 8	\$5M	\$5M
	Direct Inclusion (CP) - (\$180M) - (2 Nos.)	At least 3 storeys and CFA $\geq$ 14500m ² in one construction site	All 8	\$20M	\$20M
	Confirmation (C) - (\$90M) - (1 No.)*	At least 3 storeys and CFA $\geq$ 7200m ² in one construction site	All 8	\$10M	\$10M

* Must be a Government building contract.

APPENDIX 2C Minimum Number and Qualifications of Full Time Management and Technical Personnel to be Employed by the Contractors for the List before Admission, Retention, Confirmation or Promotion

Group/Status	Buildings	Roads and Drainage, Waterworks (Note 1)
Group A (probationary or confirmed)	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum of one year local experience in managing a construction firm obtained in the past three years. Technical staff (Notes 3, 6 and 7) At least one person with one or more of the following qualifications : (i) Higher Certificate in Building Studies/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and one year local working experience in building works; or (ii) Ordinary Certificate in Building Studies/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and two years local working experience in building works; or (iii) at least ten years local working experience in building works.	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum of one year local experience in managing a construction firm obtained in the past three years. Technical staff (Notes 3, 6 and 7) : At least one person with one or more of the following qualifications : (i) Higher Certificate in Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and one year local working experience in the relevant category of works; or (ii) Ordinary Certificate in Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and two years local working experience in the relevant category of works; or (iii) at least ten years local working experience in the relevant category of works.

Minimum Number and Qualifications of Full Time Management and Technical Personnel to be Employed by the Contractors for the List before Admission, Retention, Confirmation or Promotion	Appendix 2C
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Group/Status	Buildings	Port Works, Roads and Drainage, Site Formation, Waterworks
Group B (probationary or confirmed)	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum experience of three years, out of which two years shall be local experience, in managing a construction firm obtained in the past five years. Technical staff (Notes 3, 4, 6 and 7) : At least one person with the following qualifications: (i) Higher Certificate in Building Studies/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and two years local working experience in building works; or (ii) Ordinary Certificate in Building Studies/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and three years local working experience in building works.	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum experience of three years, out of which two years shall be local experience, in managing a construction firm obtained in the past five years. Technical staff (Notes 3, 4, 6 and 7) : At least one person with the following qualifications: (i) Higher Certificate in Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and two years local working experience in the relevant category of works; or (ii) Ordinary Certificate in Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognised training institution or equivalent and three years local working experience in the relevant category of works.
Group C (probationary or confirmed)	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum experience of five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Technical staff (Notes 3, 5, 6 and 7) : At least two persons with a relevant degree from a Hong Kong university or equivalent with at least five years post-graduate working experience, out of which three years shall be local experience, in building works.	Top management (Notes 2, 3, 6 and 7) : At least one member of the resident top management shall have a minimum experience of five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Technical staff (Notes 3, 5, 6 and 7) : At least two persons with a relevant degree from a Hong Kong university or equivalent with at least five years post-graduate working experience, out of which three years shall be local experience, in the relevant category of works.

Notes :

1. There are no Group A contractors for the Port Works and Site Formation categories.
2. Top management shall be the President, Chairman, Director, Managing Director, Executive Director, or General Manager etc.
3. The top management and the technical staff must be two individual persons.
4. For Group B contractors, if the technical staff does not have the required academic qualifications, he will be required to have at least 11 years of proven local experience in the relevant category of works.
5. For technical staff of Group C contractors, the following degrees are considered relevant :

Buildings	Port Works, Roads and Drainage, Site Formation, Waterworks
Structural Engineering	Civil Engineering
Engineering (in the structural engineering stream)	Engineering (in the civil engineering stream)
Architecture	
Quantity Surveying	
Building Technology	

Other degrees such as those in Mechanical Engineering, Electrical Engineering and Management Studies are not considered as relevant degrees. A relevant professional qualification is equivalent to a relevant degree.

Relevant degrees from universities or polytechnics outside Hong Kong are acceptable.

6. Academic or non-graduate vocational qualifications other than those stipulated in this Appendix may be acceptable, subject to case by case consideration, at the merits of relevant proofs and/or supporting information as deemed necessary, by the relevant Managing Department.
7. For admission, retention, confirmation or promotion in more than one category, the contractor is required to employ one top management with qualifications and experience appropriate to the highest Group only instead of one for each category. However, he is required to employ a minimum of one experienced technical staff for each category regardless of the number specified in the above table. The experience and qualifications of the technical staff shall be as specified for the appropriate group and category in the above table.

APPENDIX 2D Guidelines for Setting Up of Integrity Management System

GUIDELINES FOR SETTING UP OF INTEGRITY MANAGEMENT SYSTEM

Introduction

This Integrity Management System (IMS) can be used by all organizations. The purpose of publishing the guidelines for setting up of IMS is to provide a management system framework and recommendation of good practices to support organizations in managing integrity relates issues.

The Development Bureau (“DEVB”) is currently maintaining two lists of approved contractors for undertaking public works contractors, i.e. the List of Approved Contractors for Public Works (“the List”) and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works (“the Specialist List”). Any contractor who has been removed from the List (or the Specialist List) due to misconduct may apply for re-inclusion under probation after expiry of two years from the date of removal. The contractor is required to submit a proof of successful completion of integrity training course and establishment of an IMS with the proof of complying with all the IMS requirements as prescribed by the DEVB. Such proof can be substantiated by a statement of compliance Section C (i) issued by an independent auditor, recognized by the DEVB, after his/her completion of the integrity audit exercise.

In addition, the re-included contractor is required to upkeep the operation of the IMS and provide proof of complying with all the IMS requirements thereafter during the probation period through the integrity audit exercise as mentioned above on a yearly basis. Failure to satisfy this requirement will render the contractor being removed, suspended, downgraded or demoted from the List (or the Specialist List) in accordance with the Contractor Management Handbook.

The remainder of this document has the following three sections-

- **Section A** outlines the detailed requirements of an IMS.
- **Section B** describes the basic standard of conduct expected of all directors and staff of the organization.
- **Section C** describes the basic interpretation of some of terms and requirements mentioned in **Section A**.

Section A: System Requirements

This Section outlines the detailed requirements of an Integrity Management System. The word

‘shall’ is used to indicate mandatory requirements.

1.0 Management Responsibility

- 1.1 The top management shall establish documented integrity management policy Section C (a) for the organization.
- 1.2 The organization shall ensure the policy includes a commitment to comply with applicable legal requirements, anti-bribery, anti-fraud and anti-collusion.
- 1.3 The organization shall take action to ensure the defined policy is well communicated and understood within the organization, as well as with their business partners Section C (b).
- 1.4 The organization shall appoint a member of management Section C (c) to ensure the effective implementation of the integrity management system.

2.0 Training and Awareness Section C (d)

- 2.1 The organization shall provide integrity training to all staff within the organization.
- 2.2 The organization shall establish and maintain procedures to ensure that its staff are aware of the organization’s integrity management system, as well as the defined Code of Conduct in Section B.

3.0 Planning for Integrity Risk Assessment and Treatment Section C (e,f)

- 3.1 The organization shall establish and maintain procedures for the ongoing identification, analysis, evaluation of integrity risks, in the areas including but not limiting to:
 - 3.1.1 Bribery
 - 3.1.2 Compliance with Laws of Hong Kong and Other Jurisdictions
 - 3.1.3 Conflict of interest
 - 3.1.4 Use of company assets
 - 3.1.5 Confidentiality of information
 - 3.1.6 Outside Employment
 - 3.1.7 Relationship with suppliers, contractors and customers

- 3.2 The organization shall establish and maintain risk treatment plans to document how the chosen treatment options will be implemented. The information provided in the treatment plans should include:
- 3.2.1 The reasons for selection of treatment options
 - 3.2.2 Those who are responsible for implementing the plan
 - 3.2.3 Proposed actions and contingencies
 - 3.2.4 Resource requirements
 - 3.2.5 Reporting and monitoring requirements
 - 3.2.6 Timing and schedule

4.0 Implementation of the Risk Treatment Plans Section C (g)

- 4.1 The organization shall establish suitable documentation (i.e. policies, procedures, instructions, forms) to support the implementation of the risk treatment plan.
- 4.2 The organization shall implement the defined risk treatment plans and maintain suitable records for demonstrating its effective implementation.

5.0 Monitoring and Review Section C (h)

- 5.1 The organization shall plan in both monitoring and review as part of the integrity management process and involve regular checking or surveillance (i.e. periodic or ad hoc).
- 5.2 The organization shall apply suitable methods for monitoring the implementation of risk treatment plan.
- 5.3 The organization shall review the performance of the implemented risk treatment plan, to ensure that controls are effective and efficient in both design and operation.
- 5.4 The organization shall maintain monitoring and review records.
- 5.5 The organization shall analyze and learn lessons from events, changes, trends, successes and failures for obtaining further information to improve integrity management.
- 5.6 The organization shall timely inform the DEVB of any acts of suspected misconduct or misconduct committed by their directors and staff.

6.0 Internal Audit

- 6.1 The organization shall establish and maintain an audit programme and procedures for carrying out periodic integrity management system audits, in order to:
 - 6.1.1 Determine whether or not the integrity management system is implemented and maintained properly, and is effective in meeting the requirements for the integrity management system.
 - 6.1.2 Review the results of previous audits and provide information to management

7.0 Management Review and Improvement Action

- 7.1 The top management shall review the achievement of the policy at regular intervals for identifying any improvement action needs. Management review records shall be maintained.

Section B: Code of Conduct – Guidance Document

This Section describes the basic standard of conduct expected of all directors and staff of the organization. The guidelines given in each of the aspects are useful to help organization to understand the basic intents. Organization shall consider them along with their business nature to determine the actual risks when developing integrity management plans.

1.0 Prevention of Bribery

1.1 Prevention of Bribery Ordinance

Under the Prevention of Bribery Ordinance (the Ordinance), any director or staff member who, without the permission of his employer or principal (i.e. the Company), solicits or accepts an advantage as a reward or inducement for doing any act or showing favour in relation to the latter's business, commits an offence. The person offering the advantage also commits an offence.

(The relevant provisions of Section 9 of the Ordinance and the definition of “advantage” are detailed at Annex 1.)

1.2 Acceptance of Advantage

It is the Company's policy that directors and staff should not solicit or accept any advantage for themselves or others, from any person, company or organization having business dealings with the Company, except that they may accept (but not solicit) the following advantages when offered on a voluntary basis:

- (a) advertising or promotional gifts or souvenirs of a nominal value; or
- (b) gifts given on festive or special occasions, subject to a maximum limit of \$_____ in value; or
- (c) discounts or other special offers given by any person or company to them as customers, on terms and conditions equally applicable to other customers in general; or
- (d) gifts or souvenirs of nominal value presented to them in official functions.

No director or staff member should accept any advantage from a subordinate, except those mentioned in paragraphs (a) and (b) above.

Gifts or souvenirs described in paragraph (d) above are deemed as offers to the Company.

The directors and staff members concerned should report the acceptance to the Company and seek direction as to how to handle the gifts or souvenirs from the approving authority using Form A (Annex 2). If a director or staff member wishes to accept any advantage not covered in the above-paragraphs, he/she should also seek permission from the approving authority using Form A.

However, a director or staff member should decline an offer of advantage if acceptance could affect his/her objectivity in conducting the Company's business or induce him/her to act against the interest of the Company, or acceptance will likely lead to perception or allegation of impropriety.

If a director or staff member has to act on behalf of a client in the course of carrying out the Company's business, he/she should also comply with any additional restrictions on acceptance of advantage that may be set by the client.

1.3 Offer of Advantage

Directors and staff are prohibited from offering advantages to any director or staff of another company or organization, for the purpose of influencing such person or company in any dealings, or any member or staff of a government department or public body while having business dealings with the latter, whether directly or indirectly through a third party, when conducting the Company's business.

1.4 Entertainment

As defined in Section 2 of the Ordinance, "entertainment" refers to food or drink provided for immediate consumption on the occasion, and any other entertainment provided at the same time. Although entertainment is an acceptable form of business and social behaviour, a director or staff member should avoid accepting overly lavish or frequent entertainment from persons with whom the Company has business dealings (e.g. suppliers or contractors) or from his/her subordinates to avoid placing himself/herself in a position of obligation.

1.5 Records, Accounts and other Documents

Directors and staff should ensure that all records, receipts, accounts or other documents they submit to the Company, give a true representation of the events or business transactions as shown in the documents. Intentional use of documents containing false information to deceive or mislead the Company, regardless of whether there is any gain

or advantage involved, may constitute an offence under the Ordinance.

2.0 Compliance with laws of Hong Kong and in Other Jurisdictions

Directors or staff must comply with all local laws and regulations when conducting the Company's business, and also those in other jurisdictions when conducting business there.

3.0 Conflict of Interest

Directors and staff should avoid any conflict of interest situation (i.e. situation where their private interest conflicts with the interest of the Company) or the perception of such conflicts. They should not misuse their position or authority in the Company to pursue their own private interests which include both financial or personal interests and those of their family members, relatives or close personal friends. When actual or potential conflict of interest arises, the director or staff member should make a declaration to the management through the reporting channel using Form B (Annex 3).

Some common examples of conflict of interest are described below but they are by no means exhaustive:

- (a) A staff member involved in a procurement exercise is closely related to or has financial interest in the business of a supplier who is being considered for selection by the Company.
- (b) One of the candidates under consideration in a recruitment or promotion exercise is a family member, a relative or a close personal friend of the staff member involved in the process.
- (c) A director of the Company has financial interest in a company whose quotation or tender is under consideration by the Board.
- (d) A staff member (full-time or part-time) undertaking part-time work with a contractor whom he is responsible for monitoring.

4.0 Use of Company Assets

Directors and staff in charge of or having access to any Company assets, including funds, property, information, and intellectual property, should use them solely for the purpose of conducting the Company's business. Unauthorized use, such as misuse for personal gain, is strictly prohibited.

5.0 Confidentiality of Information

Directors and staff should not disclose any classified information of the Company without authorization or misuse any Company information (e.g. unauthorized sale of the information). Those who have access to or are in control of such information, including information in the Company's computer system, should at all times protect the information from unauthorized disclosure or misuse. Special care should also be taken in the use of any personal data, including directors', staff's and customers' personal data, to ensure compliance with the Personal Data (Privacy) Ordinance.

6.0 Outside Employment

Any full time staff who wish to take up employment outside the Company, must seek the prior written approval of the approving authority. The approving authority should consider whether the outside employment would give rise to a conflict of interest with the staff's duties or the interest of the Company.

7.0 Relationship with Suppliers, Contractors and Customers

7.1 Gambling

Directors and staff are advised not to engage in frequent gambling activities (e.g. mahjong) with persons having business dealings with the Company.

7.2 Loans

Directors and staff should not accept any loan from, or through the assistance of, any individual or organization having business dealings with the Company. There is however no restriction on borrowing from licensed banks or financial institutions.

[The Company may wish to include other guidelines on the conduct required of directors and staff in their dealings with suppliers, contractors, customers, and other business partners as appropriate to specific trades.]

Section C: Interpretation of Terms and Requirements

This Section describes the basic interpretation of some of terms and requirements mentioned in Section A. This Section should be read in conjugation with Section A and Section B of this document.

- (a) The integrity management policy should include a commitment to comply with applicable legal requirements, anti-bribery (e.g. prohibition from offering, soliciting and accepting advantage), anti-fraud (e.g. prohibition of false accounting) and anti-collusion (e.g. prohibition from participating in tender rigging). The integrity management policy should be formally endorsed and signed by all directors and senior managers to demonstrate their determination.
- (b) Business partners include clients, consultants, agents, subcontractors and suppliers. Organization should also impose the integrity management policy on its consultants, agents, subcontractors and suppliers who work on its behalf through contractual means, where practicable.
- (c) The appointed member should be a senior staff delegated with adequate and necessary financial and administrative authorities, and directly accountable to the top management.
- (d) The organization should lay down a training plan or programme to meet with the training need of all its staff including the new recruits. Also, the organization should oblige all its staff to strictly observe the provisions and requirements set out in the IMS through their employment contracts or other means, as appropriate.
- (e) The organization should conduct integrity risk assessments with respect to its different work procedures taking into account the nature, scale and location of its business. The work procedures should include, among others, procurement, staff administration and project management procedures.
- (f) The organization should establish a set of compliance checklists on various work procedures, taking into account the risks identified and making reference to the Corruption Prevention Best Practice Checklists uploaded to the ICAC's website for staff's reference and compliance.
(http://www.icac.org.hk/en/prevention_and_education/pt/index.html)

- (g) The organization should put in place an internal reporting system, including a designated hotline, which enables its staff to ask questions in relation to the IMS, and bring to notice of the management, such as the appointed member, any potential breaches of the IMS or risky conducts in performing their duties. Any enquiries received and follow-up actions taken by the management should be properly recorded to facilitate future audits.
- (h) The organization should lay down a disciplinary mechanism, setting out the disciplinary process and details of follow-up actions to be taken against its staff for any non-compliance with the IMS.
- (i) The organization should submit the Statement of Compliance together with an independent audit report prepared by an independent auditor. The report should include:
 - Introduction
 - o Background information
 - o Objectives
 - o Assumptions and limitations
 - Assessment Methodology
 - o Assessment approach
 - o Assessment checklist
 - Assessment Process
 - o Description of the process and activities performed
 - Assessment Result
 - Recommendations

Extracts of the Prevention of Bribery Ordinance

Section 9

- (1) Any agent who, without lawful authority or reasonable excuse, solicits or accepts any advantage as an inducement to or reward for or otherwise on account of his –
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,
 shall be guilty of an offence.
- (2) Any person, who, without lawful authority or reasonable excuse, offers any advantage to any agent as an inducement to or reward for or otherwise on account of the agent's –
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,
 shall be guilty of an offence.
- (3) Any agent who, with intent to deceive his principal, uses any receipt, account or other document –
 - (a) in respect of which the principal is interested; and
 - (b) which contains any statement which is false or erroneous or defective in any material particular; and
 - (c) which to his knowledge is intended to mislead the principal,
 shall be guilty of an offence.
- (4) If an agent solicits or accepts an advantage with the permission of his principal, being permission which complies with subsection (5), neither he nor the person who offered the advantage shall be guilty of an offence under subsection (1) or (2).
- (5) For the purpose of subsection (4) permission shall –
 - (a) be given before the advantage is offered, solicited or accepted; or
 - (b) in any case where an advantage has been offered or accepted without prior permission, be applied for and given as soon as reasonably possible after such offer or acceptance,
 and for such permission to be effective for the purpose of subsection (4), the principal shall, before giving such permission, have regard to the circumstances in which it is sought.

Section 2

‘Advantage’ means :

- (a) any gift, loan, fee, reward or commission consisting of money or of any valuable security or of other property or interest in property of any description;
- (b) any office, employment or contract;
- (c) any payment, release, discharge or liquidation of any loan, obligation or other liability, whether in whole or in part;
- (d) any other service, or favour (other than entertainment), including protection from any penalty or disability incurred or apprehended or from any action or proceedings of a disciplinary, civil or criminal nature, whether or not already instituted;
- (e) the exercise or forbearance from the exercise of any right or any power or duty; and
- (f) any offer, undertaking or promise, whether conditional or unconditional, of any advantage within the meaning of any of the preceding paragraphs (a), (b), (c), (d) and (e),

but does not include an election donation within the meaning of the Elections (Corrupt and Illegal Conduct) Ordinance (Cap. 554), particulars of which are included in an election return in accordance with that Ordinance.

‘Entertainment’ means :

The provision of food or drink, for consumption on the occasion when it is provided, and of any other entertainment connected with, or provided at the same time as, such provisions.

Section 19

In any proceedings for an offence under this Ordinance, it shall not be a defence to show that any such advantage as is mentioned in this Ordinance is customary in any profession, trade, vocation or calling.

Form A

(Company Name)
REPORT ON GIFTS RECEIVED

Part A – To be completed by Receiving Staff
To : (Approving Authority)

Description of Offeror :

Name & Title of Offeror : _____

Company : _____

Relationship (Business / Personal) : _____

Occasion on which the Gift
was / is to be received : _____

Description & (assessed) value of the Gift : _____

Suggested Method of Disposal :
Remark

() Retain by the Receiving Staff _____

() Retain for Display / as a Souvenir in the Office _____

() Share among the Office _____

() Reserve as Lucky Draw Prize at Staff Function _____

() Donate to a Charitable Organization _____

() Return to Offeror _____

() Others (please specify) : _____

(Date)

 (Name of Receiving Staff)
 (Title)

Part B – To be completed by Approving Authority
To : (Name of Receiving Staff)

The recommended method of disposal is ***approved / not approved**. *The gift(s) concerned
 should be disposed of by way of : _____

(Date)

Delete as appropriate.

 (Name of Approving Authority)
 (Title)

(Company Name) Declaration of Conflict of Interest

Part A – Declaration *(To be completed by Declaring Staff)*

To : (Approving Authority) via (supervisor of the Declaring Staff)

I would like to report the following actual/potential* conflict of interest situation arising during the discharge of my official duties:-

Persons/companies with whom/which I have official dealings
My relationship with the persons/companies (e.g. relative)
Relationship of the persons/companies with our Company (e.g. supplier)
Brief description of my duties which involved the persons/companies (e.g. handling of tender exercise)

(Date)

(Name of Declaring Staff)
(Title / Department)

Part B – Acknowledgement *(To be completed by Approving Authority)*

To : (Declaring Staff) via (supervisor of the Declaring Staff)

Acknowledgement of Declaration

The information contained in your declaration form of _____ (Date) _____ is noted. It has been decided that:-

- ☐ You should refrain from performing or getting involved in performing the work, as described in Part A, which may give rise to a conflict.
- ☐ You may continue to handle the work as described in Part A, provided that there is no change in the information declared above, and you must uphold the Company's interest without being influenced by your private interest.
- ☐ Others (please specify) : _____

(Date)

(Name of Approving Authority)
(Title / Department)

* Delete as appropriate.

APPENDIX 3A Category, Class and Group in the Specialist List

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
1	Air-conditioning Installation Group I – Contracts/Sub-contracts up to \$5.7 million Group II - Contracts/Sub-contracts of unlimited value		X	Arch SD
2	Audio Electronics Installation		X	Arch SD
3	Broadcast Reception Installation		X	Arch SD
4	Burglar Alarm and Security Installation		X	Arch SD
5	Catering Equipment Installation		X	Arch SD
6	Design, Manufacture and Installation of Glass (or Fibre) Reinforced Plastic Units		X	Hy D
7	Diesel Generator Installation		X	Arch SD
8	Electrical and Mechanical Installation for Sewage Treatment and Screening Plant		X	Arch SD
9	Electrical Installation Group I – Contracts/Sub-contracts up to \$2.3 million Group II – Contracts/Sub-contracts up to \$5.7 million Group III – Contracts/Sub-contracts of unlimited value		X	Arch SD
10	Electronic Timing and Display Installation		X	Arch SD
11	Fabrication of Steel Pipe Specials		X	WSD
12	Fabrication of Unfired Pressure Vessels		X	WSD

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
13	Fire Service Installation Group I – Contracts/Sub-contracts up to \$2.3 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
14	Fountain Installation		X	Arch SD
15	Ground Investigation Field Work Group I – Contracts/Sub-contracts up to \$2.3 million Group II – Contracts/Sub-contracts of unlimited value		X	CEDD
16	Industrial Type Electrical Installation		X	Arch SD
17	Land Piling Group I – Contracts/Sub-contracts up to \$3.4 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
18	Land, Engineering and Hydrographic Survey Services		X	LD
19	Landscaping Class I - General Landscape Work Class II - Hydroseeding Group I – Contracts/Sub-contracts up to \$2.3 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
20	Landslip Preventive/Remedial Works to Slopes/Retaining Walls		X	CEDD
21	Lift, Escalator and Passenger Conveyor Installation		X	Arch SD
22	Liquefied Petroleum Gas Installation		X	Arch SD

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
23	Low Voltage Cubicle Switchboard Installation		X	Arch SD
24	Mechanical Handling and Lifting Installation		X	Arch SD
25	Mechanical Plant and Equipment Installation Group I – Contracts/Sub-contracts up to \$1.1 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
26	Motor Vehicle Body-building and Painting		X	Arch SD
27	Plumbing Installation Group I – Contracts/Sub-contracts up to \$2.3 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
28	Prestressed Concrete Works for Highway Structures Class I – Supply and Installation of Prestressing Systems Class II – Supply of Prestressed Concrete Units	X	X	Hy D
29	Radio Electronics Installation		X	Arch SD
30	Repair and Restoration of Historic Buildings		X	Arch SD
31	Repair of Motors, Transformers and Switchgear		X	WSD
32	Road Marking		X	Hy D
33	Soil and Rock Testing		X	CEDD

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
34	Space Frame Systems	X	X	Arch SD
35	Specialized Operations for Highway Structures Class I – Guniting Class II – Waterproofing of Concrete Surfaces Class III – Repair of Cracked Concrete by Resin Injection Class IV – Non-destructive Testing of Welds Class V – Hot Dip Galvanising		X	Hy D
36	Steam and Compressed Air Installation		X	Arch SD
37	Structural Steelwork		X	Hy D
38	Supply and Installation of Bearings for Highway Structures Class I – Mechanical Bearings Class II – Elastomeric Bearings		X	Hy D
39	Supply and Installation of Expansion Joints for Highway Structures		X	Hy D
40	Supply and Installation of Pumpsets and Associated Pipework		X	WSD
41	Supply and Installation of Water Treatment Plant		X	WSD
42	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing	X	X	Hy D
43	Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)		X	Arch SD
44	Survey of Government Land Steam Boilers		X	Arch SD

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
45	Survey of Lifting Appliances and Lifting Gear		X	Arch SD
46	Swimming Pool Water Treatment Installation		X	Arch SD
47	Transparent Panels for Noise Barriers on Highways [formerly named as “Prefabricated Architectural Walls and Finishes (Screens, Sound Barriers and Retaining Walls)”]	X		HyD
48	Turn-key Interior Design and Fitting-out Works Group I – Eligible to be awarded one contract as a Trade Test Group II – Eligible to be awarded more than one contract at any time		X	Arch SD
49	Uninterruptible Power Supply Installation		X	Arch SD
50	Video Electronics Installation		X	Arch SD

Note:

Arch SD : Architectural Services Department
CEDD : Civil Engineering and Development Department
Hy D : Highways Department
LD : Lands Department
WSD : Water Supplies Department

APPENDIX 3B Financial Criteria for Retention on the Specialist List and Requirements for Acceptance of a Tender

Introduction

1. The financial criteria for retention on the List of Approved Suppliers of Materials and Specialist Contractors for Public Works (Specialist List) and requirements for acceptance of a tender are established by Development Bureau. Contractors are required to:

- (i) submit the original or a certified true copy of their latest audited accounts and latest half-yearly management accounts in case the contractor is also a Group C contractor on the List of Approved Contractors for Public Works;
- (ii) submit certified statements of outstanding workload;
- (iii) provide supplementary information; and
- (iv) answer all reasonable enquiries from Development Bureau

to ascertain that these financial criteria and requirements are met.

2. In accordance with the Rules for Administration of the List of Approved Suppliers of Materials and Specialist Contractors for Public Works, a contractor applying for admission, confirmation or promotion must meet and maintain the financial criteria applicable to his appropriate category and group. The financial information required to be submitted by the contractors for such purposes is set out in **Annex to Appendices 2A & 3B**.

Financial Criteria for Retention on the Specialist List

3. For retention on the Specialist List, a contractor should generally possess at least a positive capital value. In addition, a contractor is required to maintain certain minimum levels of employed and working capital applicable to the appropriate category and group. The minimum levels are periodically adjusted and are currently set as follows:

Category	Group	Minimum Employed Capital (Note 3)	Minimum Working Capital
		HK\$	HK\$
(i) Air-conditioning Installation	I	570,000	570,000
	II	4,700,000	3,400,000
(ii) Electrical and Mechanical Installation for Sewage Treatment and Screening Plant	-	3,400,000	3,400,000

Category		Group	Minimum Employed Capital (Note 3) HK\$	Minimum Working Capital HK\$
(iii)	Electrical Installation	I	570,000	570,000
		II	570,000	570,000
		III	4,700,000	3,400,000
(iv)	Ground Investigation Field Work	I	570,000	570,000
		II	4,700,000	3,400,000
(v)	Land Piling	I	570,000	570,000
		II	9,300,000	8,600,000
(vi)	Landslip Preventive/Remedial Works to Slopes/Retaining Walls	-	8,600,000	8,600,000
(vii)	Prestressed Concrete Works for Highway Structures	-	1,140,000	1,140,000
(viii)	Road Marking	-	1,140,000	1,140,000
(ix)	Specialized Operations for Highway Structures	-	1,140,000	1,140,000
(x)	Structural Steelwork	-	1,140,000	1,140,000
(xi)	Supply and Installation of Bearings for Highway Structures	-	1,140,000	1,140,000
(xii)	Supply and Installation of Expansion Joints for Highway Structures	-	1,140,000	1,140,000
(xiii)	Supply and Installation of Pumpsets and Associated Pipework	-	3,400,000	3,400,000
(xiv)	Supply and Installation of Water Treatment Plant	-	3,400,000	3,400,000
(xv)	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing	-	3,400,000	3,400,000

Category	Group	Minimum Employed Capital (Note 3)	Minimum Working Capital
		HK\$	HK\$
(xvi) Swimming Pool Water Treatment Installation	-	3,400,000	3,400,000
(xvii) Turn-key Interior Design and Fitting-out Works (Note)	I/II	14,800,000	14,800,000
(xviii) Categories other than those listed above and under para 3.4.6 in Section 3	Any	570,000	570,000

Note: The contractor under this category and group is also required to have a minimum annual turnover of HK\$50 million in each of the immediate past three years.

4. If a contractor has outstanding contracts in hand, his working capital for retention purpose should amount to at least the following:

Condition	Level of Working Capital required
(i) Contractor has either employed or working capital under HK\$4.2 million	15% of the combined annual value of uncompleted works on outstanding contracts both in the public and private sectors including the Housing Authority or the minimum working capital specified in paragraph 3 above, whichever is higher
(ii) Contractor has both employed and working capital not less than HK\$4.2 million respectively	10% of the combined annual value of uncompleted works on outstanding contracts both in the public and private sectors including the Housing Authority or the minimum working capital specified in paragraph 3 above, whichever is higher
(iii) Contractor is also a Group C contractor on the List of Approved Contractors for Public Works	8% on the first \$950M and 10% on the remaining combined annual value of uncompleted works on outstanding contracts both in the public and private sectors including the Housing Authority as required under paragraph 3(iii) of Appendix 2A or the minimum working capital specified in paragraph 3 above, whichever is higher

Note : (1) The above revised financial criteria shall take effect on 17 July 2009. However, in order to facilitate the existing contractors on the Specialist List to maintain their present listing status, the existing contractors will be given a 18-months' grace period to adjust to the above new financial criteria. In other words, all audited accounts with accounting periods ending on or after 16 January 2011 will be subject to the above new financial criteria.

(2) As regards applications for admission, confirmation or promotion in the Specialist List, contractors shall meet the above new financial criteria applicable to the specific category, group and status in question for applications made on or after 17 July 2009. Applications made prior to 17 July 2009 shall be subject to the financial criteria applicable at the time of application and the successful applicants shall meet the above new financial criteria before the end of the same grace period as the existing contractors aforesaid. For the purpose of tender evaluation, contractors in the relevant categories, groups and status of the Specialist List shall be subject to the above revised financial criteria if the tenders are invited on or after 17 July 2009.

(3) The issued and paid up capital and shareholders' funds should both meet the level of minimum employed capital applicable to his highest group and status.

5. A contractor in more than one category must maintain the minimum levels of employed and working capital applicable to his highest category, group and status including those classified for retention on the List of Approved Contractors for Public Works. The financial criteria for each group and status to be retained on the List of Approved Contractors for Public Works are set out in **Appendix 2A**.

6. Shortfall in employed capital can be rectified by an increase in share capital/partners' funds/proprietor's funds, while shortfall in working capital can be rectified by the following methods:

- (i) increase in share capital/partners' funds/proprietor's funds to be paid up in cash; or
- (ii) arrangement of a bank loan that is not repayable within 12 months; or
- (iii) deferment in repayment of outstanding loan to directors or related companies by means of a deferred loan agreement in an acceptable legal format.

Bank overdraft facility can be a method to rectify the shortfall in working capital only for shortfall relating to outstanding workload.

7. If a contractor's business is at a loss, the average loss rate shall not be greater than 30% for the purpose of retention on the existing group status. All audited accounts submitted by the contractors shall be subject to the Profitability Trend Analysis, which is an analysis of the financial performance of a contractor with reference to its profit or loss over the past three consecutive years.

8. The average loss rate is defined as the weighted average of the net loss as a percentage of the opening balance of the shareholders' funds or net worth over the past 3 years with weights of 3:2:1. The net loss and the opening balance of the shareholders' funds or net worth will be extracted from the audited accounts. Subsequent capital injection by a contractor to strengthen the shareholders' funds or net worth will be taken into account in determining the revised loss rate for the year under review.

9. For a newly formed company with only two years' operations, the average loss rate is defined as the weighted average of the net loss as a percentage of the opening balance of the shareholders' funds or net worth over the past two years with weights of 3:2.
10. For a newly formed company with only one year's operation, the average loss rate is defined as the net loss as a percentage of the shareholders' funds or capital at the start of business.
11. Contractors are required to provide additional financial information as and when required to enable Development Bureau to carry out ad hoc financial assessment.

Financial Requirements for Acceptance of a Tender

12. In order to be recommended for the award of a contract of whatever value in any category of work, a contractor's employed and working capital, as assessed from the accounts, should amount to at least the level required for retention on the Specialist List. In this regard, the employed and working capital requirement would base on the latest statement of outstanding workload and would take into account the annual value of the new tender. The financial information required to be submitted in the tender by the contractors is set out in **Annex to Appendices 2A & 3B**.
13. In the case of a joint venture, each participant shall be assessed on his own financial capability in taking up his share of the tender. However, if any of the participants cannot meet the required capital level for undertaking his share but the other participant(s) of the joint venture has met the financial criteria for undertaking the whole contract, the joint venture may still be regarded as satisfying the financial requirements collectively.
14. If a contractor's average loss rate is greater than 30%, he will not be recommended for tender award for contracts in his prevailing group or category.
15. Rectification in shortfall for employed and working capital for tendering purpose follows the same methods adopted for retention purpose.

Certified Statements of Outstanding Workload

16. Each contractor submitting audited or management accounts and/or tendering for contracts of whatever value will be required to submit with his accounts/tenders a statement certified by his Managing Director or by a person authorized to sign Government contracts on the tenderer's behalf giving the following information:
- (i) a list of current contracts held with Government and the private sector including the Housing Authority, both as main contractor or subcontractor;
 - (ii) the approximate value of uncompleted works on each of the contracts at (i) ; and
 - (iii) the approximate time required to complete each of the contracts at (i).

APPENDIX 3C Minimum Technical & Management Criteria for Admission, Confirmation and Promotion of Contractors for the Specialist List

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Managing Department: Architectural Services Department

Works Category:	<u>Air-conditioning Installation</u>	Specialist Contractor
Group I:	Contracts/Subcontracts up to HK\$ <u>5.7M</u>	
Group II:	Contracts/Subcontracts of unlimited value	
Brief Scope of Category:		
The scope of work in this category covers the supply, installation and maintenance of air-conditioning installations comprising chillers, refrigeration systems, heat rejection plant, pipeworks, water handling equipment, air ducts, air handling equipment, thermal insulation, control and monitoring system, etc.		
Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)		
@Probation to Group I	:	Eligible for the award of a maximum of two Group I contracts/subcontracts
Probation to Group II	:	Eligible for the award of any number of Group I contracts/subcontracts; and a maximum of two Group II contracts/subcontracts provided that the total value of Group II works does not exceed \$20 million

@ Not applicable for new application for admission. (Only applicable for existing Group I probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

Group I	Group II
A. Entry on Probation	A. Entry on Probation
Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group I tender limit; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) The air-conditioning installation shall be of central type, which shall include chiller, chilled water pipeworks, pumps, air-handling equipment, etc., and the cooling capacity of the chillers is not less than 1000kW; and (d) The contract shall be of a completely new building construction project or a whole building refurbishment project.

Group I	Group II
	(9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the air-conditioning installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Specialist Contractor in the Ventilation Sub-register under Buildings Ordinance, Cap. 123; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. <u>Quality Management System Certification</u> Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong

Group I	Group II																										
	Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. The scope of certification shall be relevant to the contractor list being applied for, e.g. “supply, installation and maintenance of air-conditioning installation”. If the scope of certification does not include “maintenance”, the manual shall have relevant sections for maintenance work that shall include not only post contract service but also service for separate maintenance contract. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table data-bbox="1153 821 2027 901"> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>4 nos.</td></tr> <tr> <td>Draftsman</td><td>2 nos.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades <table data-bbox="1153 1029 2060 1332"> <tr> <td>(A) Plumber/ AC Mechanic</td><td></td></tr> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Plumber/AC Mechanic</td><td>20 marks</td></tr> <tr> <td>Intermediate Plumber/AC Mechanic</td><td>15 marks</td></tr> <tr> <td>Ordinary Plumber/AC Mechanic</td><td>8 marks</td></tr> <tr> <td>(B) Electrician</td><td></td></tr> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Electrician</td><td>20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements:	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	(A) Plumber/ AC Mechanic		Minimum score required	40 marks	Qualified Plumber/AC Mechanic	20 marks	Intermediate Plumber/AC Mechanic	15 marks	Ordinary Plumber/AC Mechanic	8 marks	(B) Electrician		Minimum score required	40 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
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Intermediate Electrician	15 marks																										
Ordinary Electrician	8 marks																										

Group I	Group II
	— Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 2 nos. (minimum) — Licensed Plumber (LP) registered under Waterworks Ordinance, Cap. 102 – 1 no. (minimum) The LP and REW can be the Qualified Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 2 nos. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 2 nos. CAD terminals. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 2 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 110 m² and the minimum workshop + storage area shall be 50 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.
B. Confirmation	B. Confirmation
The following shall only be applicable to existing Group I probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds 50% of Group I tender limit; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group I tender limit; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The air-conditioning installation shall be of central type, which shall include

Group I	Group II
(c) Installation of window type air-conditioners will not be considered as valid job reference; and (d) If the contract is a term contract, all of the above requirements 3 (a) to 3 (c) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the air-conditioning installation contractor for the project work.	chiller, chilled water pipeworks, pumps, air-handling equipment, etc., and the cooling capacity of the chillers is not less than 1000kW; and (d) The contract shall be of a completely new building construction or a whole building refurbishment; and (e) If the contract is a term contract, all of the above requirements 3 (a) to 3 (d) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the air-conditioning installation contractor for the project work.
C. Direct Entry	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and	Not Applicable

Group I	Group II
(5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) Installation of window type air-conditioners will not be considered as valid job reference. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the air-conditioning installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor's authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the	

Group I	Group II																						
authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Specialist Contractor in the Ventilation Sub-register under Buildings Ordinance, Cap. 123; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table border="0"> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>2 nos.</td></tr> <tr> <td>Draftsman</td><td>1 no.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman with adequate relevant experience in the following trades (A) Plumber/AC Mechanic <table border="0"> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Plumber/AC Mechanic</td><td>20 marks</td></tr> <tr> <td>Intermediate Plumber/AC Mechanic</td><td>15 marks</td></tr> <tr> <td>Ordinary Plumber/AC Mechanic</td><td>8 marks</td></tr> </table> (B) Electrician <table border="0"> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Electrician</td><td>20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements:	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.	Minimum score required	20 marks	Qualified Plumber/AC Mechanic	20 marks	Intermediate Plumber/AC Mechanic	15 marks	Ordinary Plumber/AC Mechanic	8 marks	Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks	
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Group I	Group II
— Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) — Licensed Plumber (LP) registered under Waterworks Ordinance, Cap. 102 – 1 no. (minimum) The LP and REW can be the Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 1 no. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates where applicable for testing instruments shall be available. Refer to Annex 2 for list of typical equipment /tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 50 m² and the minimum workshop + storage area shall be 30 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.	

Managing Department: Architectural Services Department

Works Category: Audio Electronics Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of power amplifier, mixing amplifier, cassette tape deck, loudspeaker, microphone etc. commonly used for public address system, intercom system, language laboratory system, simultaneous interpretation system and audio system at different venues.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements:	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements (a) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the audio electronics installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the

A. Entry on Probation	B. Confirmation	C. Direct Entry
(a) Contract value of the work related to the category under application for inclusion exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the audio electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.		category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the audio electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

A. Entry on Probation	B. Confirmation	C. Direct Entry																								
2. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of Electronics Craftsman <table><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electronics Craftsman</td><td>20 marks</td></tr><tr><td>Ordinary Electronics Craftsman</td><td>10 marks</td></tr></table> 3. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 3 for list of typical equipment/tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 5. Others	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Minimum score required	40 marks	Qualified Electronics Craftsman	20 marks	Ordinary Electronics Craftsman	10 marks		2. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of Electronics Craftsman <table><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electronics Craftsman</td><td>20 marks</td></tr><tr><td>Ordinary Electronics Craftsman</td><td>10 marks</td></tr></table> 3. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 3 for list of typical equipment/tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 5. Others	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Minimum score required	40 marks	Qualified Electronics Craftsman	20 marks	Ordinary Electronics Craftsman	10 marks
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A. Entry on Probation	B. Confirmation	C. Direct Entry
<u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		<u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department: Architectural Services Department

Works Category: Broadcast Reception Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of TV/FM aerials, pre-amplifiers, broadband/channel amplifiers, distribution amplifiers, combining units, tee-units, splitter units, signal cables and TV/FM outlets, etc. for building and amenity projects.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@] Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.1M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”; and (c) If the contract is a term contract, all of the above requirements 3(a) and 3(b) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the broadcast reception installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the

A. Entry on Probation	B. Confirmation	C. Direct Entry
		category under application for inclusion exceeds \$0.25M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the broadcast reception installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

A. Entry on Probation	B. Confirmation	C. Direct Entry
		2. Technical Staff (See Annex 1 for definition of Staff Qualification) Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Technician1 no. Site supervisor1 no. Draftsman1 no. Craftsman Employ adequate nos. of craftsman in the following trades (A) Electrician/BS Mechanic/Electronics Craftsman Minimum score required20 marks Qualified Electrician/BS Mechanic/ Electronics Craftsman20 marks Intermediate Electrician/BS Mechanic Craftsman15 marks Ordinary Electrician/BS Mechanic/ Electronics Craftsman8 marks 3. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities, minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 4 for list of typical equipment/tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department: Architectural Services Department

Works Category: Burglar Alarm and Security Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of central control station consisting of computer and peripherals, communication network, UPS system, equipment console and rack, deterrent system consisting of card access control, exit control lock, duress push button, tamper switch, detection system comprising of motion detector, magnetic door contact, glass break detector, surveillance system comprising of closed circuit television, digital video motion detector, watchman tour system, etc. where applicable for building and amenity projects.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@]Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”; and (c) If the contract is a term contract, all of the above requirements 3(a) and 3(b) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the burglar alarm and security installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the

A. Entry on Probation	B. Confirmation	C. Direct Entry
		category under application for inclusion exceeds \$1M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the burglar alarm and security installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

A. Entry on Probation	B. Confirmation	C. Direct Entry
		2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Licensed Security Company engaged in Type III Security Work under Security and Guarding Services Ordinance, Cap. 460 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Electronics, Building Services or Electrical discipline) with adequate and relevant professional and project management experience. [This requirement may be waived with the applicant having adequate nos. of degree holder technicians stated below.] <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Degree holder Technician with minimum 5 years post-qualification experience. ● Nil for applicant with Qualified Engineer. ● 2 for applicant without Qualified Engineer. Site supervisor 1 no. Draftsman 1 no. <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) Electrician/BS Mechanic/Electronics Craftsman Minimum score required 20 marks

A. Entry on Probation	B. Confirmation	C. Direct Entry
		Qualified Electrician/BS Mechanic/ Electronics Craftsman 20 marks Intermediate Electrician/BS Mechanic/ Electronics Craftsman 15 marks Ordinary Electrician/BS Mechanic/ Electronics Craftsman 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Security Personnel (SP) holding Security Personnel Permit (Cat. D) issued under Security and Guarding Services Ordinance, Cap 460 – 2 nos. (minimum) The SP can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ^{**(See Remarks on the end page of this Appendix)} Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 5 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Be an authorized agent/distributor in HKSAR for the

A. Entry on Probation	B. Confirmation	C. Direct Entry
		major equipment to be offered. Documentary evidence such as authorized agency/distributorship agreements shall be available. <u>24-hour Emergency Service Centre</u> Available for fault attendance. The service shall be effective, e.g. the fault call can be acknowledged immediately and maintenance personnel can arrive at the fault location within 1 hour.

Managing Department: Architectural Services Department

Works Category: Catering Equipment Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of full range of electrical and gas cooking equipment, sinks and fixtures, exhaust hood, steam and hot water equipment, refrigeration and food storage facilities, etc. for use in commercial kitchen, restaurant and canteen in buildings and associated serving area, including cooker, cooking range, food warmer, steamer, fryer, hot plate, oven, water heater, sink, hot cabinet, freezer, food rack, kitchen work-top, water wash hood, gas water heater connected to mechanical exhaust system etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@]Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”; and (c) The contract shall be for new building project or for a completely renovated commercial kitchen in restaurant, canteen, etc. Partial renovation or fitting-out works in an existing commercial kitchen are not acceptable; and (d) If the contract is a term contract, all of the above requirements 4 (a) and 4 (c) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory submissions to Gas Authority and statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job

A. Entry on Probation	B. Confirmation	C. Direct Entry
	(c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the catering equipment installation contractor for the project work.	reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover major catering equipment installation related to the category; and (c) The contract shall be for new building project or for a completely renovated commercial kitchen in restaurant, canteen, etc. Partial renovation or fitting-out works in an existing commercial kitchen are not acceptable. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the catering equipment installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from

A. Entry on Probation	B. Confirmation	C. Direct Entry						
		them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Gas Contractor registered under Gas Safety Ordinance, Cap. 51; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) BS Mechanic/Mechanical Fitter/Electrician	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.
Technician	1 no.							
Site supervisor	1 no.							
Draftsman	1 no.							

A. Entry on Probation	B. Confirmation	C. Direct Entry
		Minimum score required 20 marks Qualified BS Mechanic/Mechanical Fitter/Electrician 20 marks Intermediate BS Mechanic/Mechanical Fitter/Electrician 15 marks Ordinary BS Mechanic/Mechanical Fitter/Electrician 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Gas Installer (RGI) registered under Gas Safety Ordinance, Cap. 51. Gas Installation Work – 1 no. (minimum) (The RGI(s) shall hold licences covering gas installation work Class 1 to 7 collectively) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The RGI and REW can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 6 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department : Highways Department

Works Category : Design, Manufacture and Installation of Glass (or Fibre) Reinforced Plastic Units **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the design, manufacture and installation of glass reinforced plastic units or plastic units reinforced with other fibre for highway structures works.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in the design, manufacture and installation of glass (or fibre) reinforced plastic products in highway structures in the past 3 years, each with a value of \$ 0.2 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Design staff with at least 3 years experience in the field of glass (or fibre) reinforced plastic.

Local workforce capable of installing the glass (or fibre) reinforced plastic units.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Mechanical fibre/resin mixer.
- b. Hoisting facility.
- c. Carpenter's equipment (saw, drill etc.).
- d. Heat curing chamber.
- e. Spray machine (chopped fabric, gelcoat etc.).
- f. Air compressor for spray gun.

6. Office/Workshop Facilities

Local office in Hong Kong is required. The applicant must possess a factory with equipment listed above and adequate testing and quality control facilities.

7. Training Facilities

Not Applicable

8. Others

Acceptable design, manufacturing and installation procedures and fully documented quality assurance system. Raw materials used must comply with relevant British Standards or other equivalent national standards. A certificate from an approved laboratory to confirm that the materials used meet the requirements stipulated in BS 2782 & BS 4549.

Managing Department: **Architectural Services Department**

Works Category: **Diesel Generator Installation** **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of diesel generator and associated installations such as fuel tank, switchboard, cable, earthing etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@]Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) The rating of the diesel generator of the job reference shall be 300kVA or higher; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) If the contract is a term contract, all of the above requirements 4 (a) and 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the diesel generator	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
	installation contractor for the project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) The contract shall cover the scope of works as described in the “Brief Scope of Category”; and (b) The rating of the diesel generator of the job reference shall be 300kVA or higher. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the diesel generator installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof

A. Entry on Probation	B. Confirmation	C. Direct Entry
		provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Statutory Registration The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) Qualified Engineer Employ at least 1 no. qualified engineer (Mechanical, Electrical or Building Services discipline) with adequate and relevant project management experience. Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Technician2 nos. Site supervisor2 nos. Draftsman1 no. Craftsman Employ adequate nos. of craftsman in the following trades (A) Mechanical Fitter Minimum score required20 marks Qualified Mechanical Fitter20 marks Intermediate Mechanical Fitter15 marks Ordinary Mechanical Fitter8 marks

A. Entry on Probation	B. Confirmation	C. Direct Entry								
		(B) Electrician <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities, minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 7 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably being an authorized agent in HKSAR for	Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
Minimum score required	20 marks									
Qualified Electrician	20 marks									
Intermediate Electrician	15 marks									
Ordinary Electrician	8 marks									

A. Entry on Probation	B. Confirmation	C. Direct Entry
		essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department: Architectural Services Department

Works Category: Electrical and Mechanical Installation for Sewage Treatment and Screening Plant Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers design, supply, installation and maintenance of electrical and mechanical plant for sewage pumping stations, sewage screening & degritting plant and primary/secondary sewage treatment works.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$34 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$5M; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 4 (a) and 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$5M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.		(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$10M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical and mechanical installation contractor for sewage treatment and screening plant of the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the

A. Entry on Probation	B. Confirmation	C. Direct Entry																				
2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Electrical discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>4 nos.</td></tr><tr><td>Draftsman</td><td>2 nos.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades <table><tr><td>(A) Mechanical Fitter</td><td></td></tr><tr><td>Minimum score required</td><td>30 marks</td></tr></table>	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	(A) Mechanical Fitter		Minimum score required	30 marks		concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Electrical discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>4 nos.</td></tr><tr><td>Draftsman</td><td>2 nos.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades <table><tr><td>(A) Mechanical Fitter</td><td></td></tr><tr><td>Minimum score required</td><td>30 marks</td></tr></table>	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	(A) Mechanical Fitter		Minimum score required	30 marks
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A. Entry on Probation	B. Confirmation	C. Direct Entry
Qualified Mechanical Fitter 20 marks Intermediate Mechanical Fitter 15 marks Ordinary Mechanical Fitter 8 marks (B) Electrician Minimum score required 30 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B0 – 1 no. (minimum) - A Competent Person (CP) appointed under the Factory & Industrial Undertakings (Confined Spaces) Regulations, Cap. 59 as Personnel for working in confined spaces – 1 no. (minimum) - Certified Worker (CW) appointed under the Factory & Industrial Undertakings (Confined Spaces) Regulations, Cap. 59 as Personnel for working in confined spaces – 2 nos. (minimum) The CP, CW and REW can be the Qualified Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 1 no. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities, minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be		Qualified Mechanical Fitter 20 marks Intermediate Mechanical Fitter 15 marks Ordinary Mechanical Fitter 8 marks (B) Electrician Minimum score required 30 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B0 – 1 no. (minimum) - A Competent Person (CP) appointed under the Factory & Industrial Undertakings (Confined Spaces) Regulations, Cap. 59 as Personnel for working in confined spaces – 1 no. (minimum) - Certified Worker (CW) appointed under the Factory & Industrial Undertakings (Confined Spaces) Regulations, Cap. 59 as Personnel for working in confined spaces – 2 nos. (minimum) The CP, CW and REW can be the Qualified Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 1 no. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities, minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be

A. Entry on Probation	B. Confirmation	C. Direct Entry
available. Refer Annex 8 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 80 m² and the minimum workshop + storage area shall be 70 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		available. Refer to Annex 8 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 80 m² and the minimum workshop + storage area shall be 70 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department: **Architectural Services Department**

Works Category:	Electrical Installation	Specialist Contractor
Group I:	Contracts/Subcontracts up to HK\$ <u>2.3M</u>	
Group II:	Contracts/Subcontracts up to HK\$ <u>5.7M</u>	
Group III:	Contracts/Subcontracts of unlimited value	
Brief Scope of Category:		
The scope of work in this category covers the supply, installation and maintenance of low voltage electrical installation comprising incoming electricity supply, main and sub-main distribution system, final circuits, power points, lighting points, lighting fittings, electrical appliances, lightning protection, earthing system, etc. for building and amenity projects.		
Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)		
Probation to Group I:	Not probationary status	
Probation to Group II:	Eligible for the award of any number of Group I contracts/subcontracts; and a maximum of two Group II contracts/subcontracts	
Probation to Group III:	Eligible for the award of any number of Group I and Group II contracts/subcontracts; and a maximum of two Group III contracts/subcontracts provided that the total value of Group III work does not exceed \$20 million	

[#] See Remarks (1) on the end page of this Appendix.

Group I A. Entry on Probation	Group II A. Entry on Probation	Group III A. Entry on Probation
Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

Group I	Group II	Group III
	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group II tender limit; and (b) The main incoming switchgear shall have rating of not less than 800A; and (c) The contract shall cover the entire electrical installation from the main incoming switchgear to the final circuits. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group II tender limit; and (b) The main incoming switchgear shall have rating of not less than 2500A or 1500 kVA; and (c) The contract shall cover the entire electrical installation from the main incoming switchgear to the final circuits, comprising co-ordination with building contractor and other building services / electrical and mechanical contractors; and (d) The contract shall be of a completely new building construction or a whole building refurbishment; and (e) At least one of these 2 contracts shall not be work for residential development or engineering plant building. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work; and

Group I	Group II	Group III
	applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Same requirements as stipulated for "Direct Entry"	(e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor's authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section "Technical Staff". <u>Quality Management System Certification</u> Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. The scope of certification shall be relevant to the contractor list being applied for, e.g. "supply, installation and maintenance of electrical installation".

Group I	Group II	Group III																
	3. Technical Staff (See Annex 1 for definition of Staff Qualification) Same requirements as stipulated for “Direct Entry”	If the scope of certification does not include “maintenance”, the manual shall have relevant sections for maintenance work that shall include not only post contract service but also service for separate maintenance contract. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Electrical or Building Services discipline) with adequate and relevant project management experience <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>4 nos.</td></tr><tr><td>Draftsman</td><td>2 nos.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of draftsmen in the following trades: <table><tr><td>(A)Electrician</td><td></td></tr><tr><td>Minimum score required</td><td>80 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table>	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	(A)Electrician		Minimum score required	80 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
Technician	2 nos.																	
Site supervisor	4 nos.																	
Draftsman	2 nos.																	
(A)Electrician																		
Minimum score required	80 marks																	
Qualified Electrician	20 marks																	
Intermediate Electrician	15 marks																	
Ordinary Electrician	8 marks																	

Group I	Group II	Group III
	4. Plant and Equipment **(See Remarks on the end page of this Appendix) Same requirements as stipulated for “Direct Entry” 5. Office/Workshop Facilities Same requirements as stipulated for “Direct Entry”	<u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C0 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 2 nos. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 5 nos. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 2 nos. CAD terminals. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 9 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 100 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.
B. Confirmation	B. Confirmation	B. Confirmation
Not Applicable	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and

Group I	Group II	Group III
	(2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group I tender limit; and (b) The main incoming switchgear shall have rating of not less than 800A; and (c) The contract shall cover the entire electrical installation from the main incoming switchgear to the final circuits, comprising co-ordination with building contractor and other building services / electrical and mechanical contractors; and (d) The contract shall be of a completely new building construction or a whole building refurbishment; and (e) If the contract is a term contract, all of the above requirements 4 (a) to 4 (d) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the	(2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group II tender limit; and (b) The main incoming switchgear shall have rating of not less than 2500A or 1500 kVA; and (c) The contract shall cover the entire electrical installation from the main incoming switchgear to the final circuits, comprising co-ordination with building contractor and other building services / electrical and mechanical contractors; and (d) The contract shall be of a completely new building construction or a whole building refurbishment; and (e) The contract shall not be work for residential development or engineering plant building; and (f) If the contract is a term contract, all of the above requirements 4 (a) to 4 (e) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and

Group I	Group II	Group III
	applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work.	(c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work.
C. Direct Entry	C. Direct Entry	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the	Not Applicable

Group I	Group II	Group III
concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit; and (b) The main incoming switchgear shall have rating of not less than 400A. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor's authorized signatory to	concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group II tender limit; and (b) The main incoming switchgear shall have rating of not less than 800A; and (c) The contract shall cover the entire electrical installation from the main incoming switchgear to the final circuits, comprising co-ordination with building contractor and other building services / electrical and mechanical contractors; and (d) The contract shall be of a completely new building construction or a whole building refurbishment. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the	

Group I	Group II	Group III
confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section "Technical Staff". 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience.	company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the electrical installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor's authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section "Technical Staff". 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience.	

Group I	Group II	Group III
Technician 1 no. Site supervisor 1 no. Draftsman 1 no. <u>Craftsman</u> Employ adequate nos. of craftsmen in the following trades: (A) Electrician Minimum score required 20 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B0 – 1 no. (minimum) The REW can be the Technical Support Staff or Craftsman 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/ tools for carrying out installation, operation, maintenance and testing/ commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 9 for list of typical equipment/tools and testing instruments required.	Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. <u>Craftsman</u> Employ adequate nos. of craftsmen in the following trades: (A) Electrician Minimum score required 40 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B0 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 2 nos. (minimum) The REW can be the Technical Support Staff or Craftsman 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/ tools for carrying out installation, operation, maintenance and testing/ commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 9 for list of typical equipment/tools and testing instruments required.	

Group I	Group II	Group III
5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.	5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 60 m² and the minimum workshop + storage area shall be 15 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.	

Managing Department: **Architectural Services Department**

Works Category: **Electronic Timing and Display Installation** **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of electronic scoreboard, electronic timing system, time and temperature display system, electronic message system etc. at different venues.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 3 (a) and 3 (b) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the electronic timing and display Installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage. (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds

A. Entry on Probation	B. Confirmation	C. Direct Entry
category under application for inclusion exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the electronic timing and display installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.		\$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the electronic timing and display installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

A. Entry on Probation	B. Confirmation	C. Direct Entry
2. Technical Staff (See Annex 1 for definition of Staff Qualification) Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Technician1 no. Site supervisor1 no. Draftsman1 no. Craftsman Employ adequate nos. of Electronics Craftsman Minimum score required40 marks Qualified Electronics Craftsman20 marks Ordinary Electronics Craftsman10 marks 3. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 10 for list of typical equipment/tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 5. Others Authorized Agency		2. Technical Staff (See Annex 1 for definition of Staff Qualification) Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Technician1 no. Site supervisor1 no. Draftsman1 no. Craftsman Employ adequate nos. of Electronics Craftsman Minimum score required40 marks Qualified Electronics Craftsman20 marks Ordinary Electronics Craftsman10 marks 3. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 10 for list of typical equipment/tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 5. Others Authorized Agency

A. Entry on Probation	B. Confirmation	C. Direct Entry
Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department : Water Supplies Department

Works Category : Fabrication of Steel Pipe Specials Specialist Contractor

Brief Scope of Category :

The scope of work in this category covers fabrication of mild steel pipe specials of a size up to that shown below with protective coatings as specified in **Annex 11** for large waterworks projects:-

- a. 1200 mm dia. x 1200 mm dia. x 45⁰ branch
- b. 1200 mm dia. x 2000 mm length
- c. 1200 mm dia. x 1000 mm taper
- d. 1200 mm dia. blank flange

Direct Entry**1. Job Experience**

The contractor should possess at least 5 years experience in the fabrication of steel pipe specials for large Waterworks projects including provision of their internal and external protections. The contractor must provide supporting documents to show that steel pipe specials meeting WSD's requirements have been manufactured in his previous projects.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

One of the managers should possess minimum qualification of a Higher Certificate in Mechanical/Production Engineering, or equivalent with at least 5 years relevant experience.

4. Technical Staff

A minimum of 2 principal technical persons and 10 skilful workers for carrying out the fabrication work. At least one of the technical persons should possess minimum qualification of a Higher Certificate in Mechanical/Production Engineering or equivalent and with at least 5 years relevant experience.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

Not Applicable

6. Office/Workshop Facilities

The contractor should have a workshop in Hong Kong equipped with sufficient and well maintained machinery, equipment, tools and lifting facilities for fabricating, testing and handling steel pipe specials up to 1200mm in diameter. The contractor should allow inspection of all workshop facilities by Government representatives.

7. Training Facilities

Not Applicable

8. Others

The contractor should provide full details of his previous fabrication work to demonstrate his experience and capability.

Managing Department : Water Supplies Department

Works Category : Fabrication of Unfired Pressure Vessels

Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers design, supply, manufacture, inspection & testing, painting and delivery to the site of steel unfired pressure vessels and associated fittings.

Direct Entry**1. Job Experience**

Possess at least 5 years experience in the fabrication of unfired pressure vessels for large Waterworks projects including provision of their internal and external protection. The contractor must provide supporting documents to show that unfired pressure vessels meeting WSD's requirements have been manufactured in his previous projects.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

One of the managers and principal technical staff should possess minimum qualification of Higher Certificate in Mechanical / Production Engineering or equivalent with at least 5 years relevant experience.

4. Technical Staff

Minimum of 2 qualified technical persons as well as sufficient skilful workers for carrying out the fabrication work. At least one of the qualified technical persons should possess minimum qualification of Higher Certificate in Mechanical/Production Engineering or equivalent with at least 5 years relevant experience.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

Not Applicable

6. Office/Workshop Facilities

A workshop in Hong Kong equipped with sufficient and well maintained machinery, equipment, tools and lifting facilities for fabricating, testing and handling unfired pressure vessels up to 3500mm in diameter as detailed in the **Annex 12**. The contractor should allow inspection of all workshop facilities by Government representatives.

7. Training Facilities

Not Applicable

8. Others

The contractor should provide full details of his previous fabrication work to demonstrate his experience and capability.

Managing Department: Architectural Services Department

Works Category:	<u>Fire Service Installation</u>	Specialist Contractor
Group I:	Contracts/Subcontracts up to HK\$ <u>2.3M</u>	
Group II:	Contracts/Subcontracts of unlimited value	
Brief Scope of Category:		
The scope of work in this category covers the supply, installation and maintenance of fire service installations comprising sprinkler system, FH/HR system, manual and automatic fire alarm system, etc. for building and amenity projects.		
Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)		
@Probation to Group I	:	Eligible for the award of a maximum of two Group I contracts/subcontracts
Probation to Group II	:	Eligible for the award of any number of Group I contracts/subcontracts; and a maximum of two Group II contracts/subcontracts provided that the total value of Group II works does not exceed \$8.2 million

@ Not applicable for new application for admission. (Only applicable for existing Group I probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

Group I	Group II
A. Entry on Probation	A. Entry on Probation
Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as Form FSI 314, Form FSI 501, Form FSI 251, etc. shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group I tender limit; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) The contract shall be of a completely new building construction project or a whole building refurbishment project.

Group I	Group II
	(10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the fire service installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Fire Service Installation Contractor Class 1 & 2 registered under Fire Service Ordinance, Cap. 95; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. <u>Quality Management System Certification</u> Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong

Group I	Group II																										
	Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. The scope of certification shall be relevant to the contractor list being applied for, e.g. “supply, installation and maintenance of fire service installation”. If the scope of certification does not include “maintenance”, the manual shall have relevant sections for maintenance work that shall include not only post contract service but also service for separate maintenance contract. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. Qualified Engineer (Mechanical, Building Services or Electrical discipline) with adequate and relevant professional and project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table data-bbox="1153 821 2027 901"> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>4 nos.</td></tr> <tr> <td>Draftsman</td><td>2 nos.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades <table data-bbox="1153 1029 2060 1332"> <tr> <td>(A) Plumber/ FS Mechanic</td><td></td></tr> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Plumber/FS Mechanic</td><td>20 marks</td></tr> <tr> <td>Intermediate Plumber/FS Mechanic</td><td>15 marks</td></tr> <tr> <td>Ordinary Plumber/FS Mechanic</td><td>8 marks</td></tr> <tr> <td>(B) Electrician</td><td></td></tr> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Electrician</td><td>20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Class 3 Registered Fire Service Installation Contractor (RFSIC) registered under	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	(A) Plumber/ FS Mechanic		Minimum score required	40 marks	Qualified Plumber/FS Mechanic	20 marks	Intermediate Plumber/FS Mechanic	15 marks	Ordinary Plumber/FS Mechanic	8 marks	(B) Electrician		Minimum score required	40 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
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Group I	Group II
	Fire Service Ordinance, Cap. 95 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) — Licensed Plumber (LP) registered under Waterworks Ordinance, Cap. 102. –1 no. (minimum) The LP, REW and RFSIC can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ^{***}(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 2 nos. CAD terminals. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 13 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 80 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.
B. Confirmation	B. Confirmation
The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as Form FSI 314, Form FSI 501, Form FSI 251, etc. shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds 50% of Group I tender limit; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The contract shall be of a completely new building construction or a whole building refurbishment; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as Form FSI 314, Form FSI 501, Form FSI 251, etc. shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group I tender limit; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The contract shall be of a completely new building construction or a whole building refurbishment; and (d) If the contract is a term contract, all of the above requirements 4 (a) to 4 (c) shall

Group I	Group II
(d) If the contract is a term contract, all of the above requirements 4 (a) to 4 (c) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the fire service installation contractor for the project work.	be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the fire service installation contractor for the project work.
C. Direct Entry	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and	Not Applicable

Group I	Group II
the employer of the concerned project; and (7) All statutory forms such as Form FSI 314, Form FSI 501, Form FSI 251, etc. shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) The contract shall be of a completely new building construction project or a whole building refurbishment project. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the fire service installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor's authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.	

Group I	Group II																										
2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Fire Service Installation Contractor Class 1 & 2 registered under Fire Service Ordinance, Cap. 95; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table border="0"> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>2 nos.</td></tr> <tr> <td>Draftsman</td><td>1 no.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman with adequate relevant experience in the following trades <table border="0"> <tr> <td>(A) Plumber/ FS Mechanic</td><td></td></tr> <tr> <td> Minimum score required</td><td>20 marks</td></tr> <tr> <td> Qualified Plumber/FS Mechanic</td><td>20 marks</td></tr> <tr> <td> Intermediate Plumber/FS Mechanic</td><td>15 marks</td></tr> <tr> <td> Ordinary Plumber/FS Mechanic</td><td>8 marks</td></tr> <tr> <td>(B) Electrician</td><td></td></tr> <tr> <td> Minimum score required</td><td>20 marks</td></tr> <tr> <td> Qualified Electrician</td><td>20 marks</td></tr> <tr> <td> Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td> Ordinary Electrician</td><td>8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements:	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.	(A) Plumber/ FS Mechanic		Minimum score required	20 marks	Qualified Plumber/FS Mechanic	20 marks	Intermediate Plumber/FS Mechanic	15 marks	Ordinary Plumber/FS Mechanic	8 marks	(B) Electrician		Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks	
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Managing Department: Architectural Services Department

Works Category: Fountain Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of equipment, piping and fittings for water treatment of fountain pool such as water circulation, filtration, pH control, chemical treatment, fountain lighting installation, etc.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable	Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the fountain installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof

A. Entry on Probation	B. Confirmation	C. Direct Entry																										
		provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades <table><tr><td>(A) Plumber/ BS Mechanic</td><td></td></tr><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Plumber/BS Mechanic</td><td>20 marks</td></tr><tr><td>Intermediate Plumber/BS Mechanic</td><td>15 marks</td></tr><tr><td>Ordinary Plumber/BS Mechanic</td><td>8 marks</td></tr><tr><td>(B) Electrician</td><td></td></tr><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> Statutory Registration	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.	(A) Plumber/ BS Mechanic		Minimum score required	20 marks	Qualified Plumber/BS Mechanic	20 marks	Intermediate Plumber/BS Mechanic	15 marks	Ordinary Plumber/BS Mechanic	8 marks	(B) Electrician		Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
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Ordinary Electrician	8 marks																											

A. Entry on Probation	B. Confirmation	C. Direct Entry
		The applicant shall have staff meeting the following statutory registered requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) — Licensed Plumber (LP) registered under Waterworks Ordinance, Cap. 102 - 1 no. (minimum) The LP and REW can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminals. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 14 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department : Civil Engineering and Development Department

Works Category : Ground Investigation Field Work **Specialist Contractor**

Group I : Contracts/Subcontracts up to HK\$ 2.3M

Group II : Contracts/Subcontracts of unlimited value

Brief Scope of Categories :

The scope of work in this category covers ground investigation field work for Government projects.

Group I	Group II
A. Direct Entry	A. Direct Entry
1. Job Experience Must be able to provide references to ground investigation works (each of value exceeding HK\$0.5M) carried out by the applicant for at least 5 projects in Hong Kong in the 3 years preceding the application and receive no adverse reports, on enquiry by CEDD. These performance reports must be prepared by at least 3 different engineering consultants who have supervised the works. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. 3. Top Management*(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff Must employ sufficient full-time approved personnel who satisfy the minimum requirements as given in Annex 15. 5. Plant and Equipment** (See Remarks on the end page of this Appendix) Must own at least four rigs in Hong Kong, and all of them shall be capable of drilling at least 40m through soil or rock. Must own equipment capable of obtaining soil and rock samples, carrying out insitu tests (including SPT, GCO probing, impression packer, rising, falling and constant head permeability, packer (water adsorption), and vane shear) and installing standpipe piezometers (see the minimum requirements on equipment in Annex 16). All equipment should be calibrated and subject to periodic recalibration and maintenance.	Must be able to provide references to ground investigation works (each of value exceeding HK\$0.5M) carried out by the applicant for at least 5 projects in Hong Kong in the 3 years preceding the application and receive no adverse reports, on enquiry by CEDD. These performance reports must be prepared by at least 3 different engineering consultants who have supervised the works. Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. Not Applicable Must employ sufficient full-time approved personnel who satisfy the minimum requirements as given in Annex 15. Must own at least ten rigs in Hong Kong capable of drilling at least 40m through soil or rock, and at least two of them shall be capable of drilling vertical or inclined holes up to 150m through soil or rock. Must own equipment capable of obtaining soil and rock samples, carrying out insitu tests (including SPT, GCO probing, impression packer, rising, falling and constant head permeability, packer (water adsorption), and vane shear) and installing standpipe piezometers (see the minimum requirements on equipment in Annex 16). All equipment should be calibrated and subject to periodic recalibration and maintenance.

Group I	Group II
6. Office/Workshop Facilities All applicants must possess or set up in Hong Kong a place of business. 7. Training Facilities Not Applicable 8. Others Must have the managerial, professional, technical and other support staff resources to carry out Government contracts on ground investigation. Must have adequate safety and health provisions and measures in accordance with the spirit of Chapter 3 of the Construction Site Safety Manual (CSSM) (Works Bureau). Proper documentation to illustrate this must be available. Must employ at least on a part-time basis one safety officer registered in accordance with the Factories and Industrial Undertakings (Safety Officers and Safety Supervisors) Regulation (FIU(SO&SS)R) with a minimum of 3 years of relevant experience. Must demonstrate competence in carrying out drilling, excavation, sampling, testing, recording of information, description of soil and rock and reporting to CEDD standards. Must maintain HOKLAS (Hong Kong Laboratory Accreditation Scheme) accreditation for selected tests and procedures of ground investigation when the accreditation for these is available from HOKLAS.	All applicants must possess or set up in Hong Kong a place of business. Not Applicable Must have the managerial, professional, technical and other support staff resources to carry out large Government contracts on ground investigation. Must have a proper safety management system and an adequate Safety Plan in accordance with the requirements of Chapter 3 of the CSSM. Must employ on a full-time basis at least one safety officer registered in accordance with the FIU(SO&SS)R and one safety supervisor, each with a minimum of 3 years of relevant experience. Must demonstrate competence in carrying out drilling, excavation, sampling, testing, recording of information, description of soil and rock and reporting to CEDD standards. Must maintain HOKLAS (Hong Kong Laboratory Accreditation Scheme) accreditation for selected tests and procedures of ground investigation when the accreditation for these is available from HOKLAS.
	B. Entry by Promotion
	Same as that required for “Direct Entry”.

Managing Department: **Architectural Services Department**

Works Category: **Industrial Type Electrical Installation** **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of electrical installations that are of high voltage or in specialized locations, typical installations include those in airport, highway, subway, tunnel, workshop, sewage treatment plant, pumping station, mechanical handling system etc., and in industrial environment.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, including high voltage installation, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 4 (a) and 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the industrial type electrical installation contractor for the	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, including high voltage installation, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the industrial type electrical installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or	project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category” and at least one of the 2 contracts shall include high voltage electrical installations. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the industrial type electrical installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities

A. Entry on Probation	B. Confirmation	C. Direct Entry												
confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Electrical discipline) with adequate and relevant professional and project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.		from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Electrical discipline) with adequate and relevant professional and project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.
Technician	2 nos.													
Site supervisor	2 nos.													
Draftsman	1 no.													
Technician	2 nos.													
Site supervisor	2 nos.													
Draftsman	1 no.													

A. Entry on Probation	B. Confirmation	C. Direct Entry																
(A) Electrician <table><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade H2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 3 nos. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 17 for list of typical equipment/tools and testing instruments 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use	Minimum score required	40 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks		(A) Electrician <table><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade H2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 3 nos. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 17 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use	Minimum score required	40 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
Minimum score required	40 marks																	
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Qualified Electrician	20 marks																	
Intermediate Electrician	15 marks																	
Ordinary Electrician	8 marks																	

A. Entry on Probation	B. Confirmation	C. Direct Entry
shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department : Architectural Services Department

Works Category : Land Piling **Specialist Contractor**

Group I : Contracts/Subcontracts up to HK\$ 3.4 M

Group II : Contracts/Subcontracts of unlimited value

Brief Scope of Category

The scope of work in this category covers design, supply and installation of registered piling systems on land.

Group I	Group II
A. Direct Entry	A. Direct Entry
1. Job Experience a) At least 3 small to medium size local projects (below \$3M each) for each system. b) The projects must be completed within the past 5 years. c) Experience as main contractor. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) The applicant shall be a Registered Specialist Contractor in the Foundation Sub-register under Buildings Ordinance, Cap. 123. 3. Top Management *(See Remarks on the end page of this Appendix) At least one member of the resident top management shall have a minimum of three years local experience in managing a construction firm obtained in the past five years. 4. Technical Staff At least one person with the following qualifications : a) Higher Certificate in Structural/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognized training institution or equivalent and two years local working experience in piling works; or b) Ordinary Certificate in Structural/Civil Engineering from a Hong Kong polytechnic, a Hong Kong recognized training institution or equivalent and three years local working experience in piling works. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Appropriate equipment for each system. (At least one set for each system).	a) At least 3 medium/large size local projects (over \$3M each) for each system. b) The projects must be completed within the past 5 years. c) Experience as main contractor. The applicant shall be a Registered Specialist Contractor in the Foundation Sub-register under Buildings Ordinance, Cap. 123. Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. The scope of certification shall be relevant to the piling system under application. At least one member of the resident top management shall have a minimum of five years local experience in managing a construction firm obtained in the past eight years. At least two persons with a relevant degree from a Hong Kong university or equivalent with at least five years post-graduate local experience in piling works. Appropriate equipment for each system. (At least one set for each system).

Group I	Group II
6. Office/Workshop Facilities Local office required. Yard facilities available. 7. Training Facilities Not Applicable 8. Others Piling system to be registered a) Method statement. b) Typical calculations. c) Acceptable references. d) Satisfactory demonstration on site.	Local office required. Yard facilities available. Not Applicable Piling system to be registered a) Method statement. b) Typical calculations. c) Acceptable references. d) Satisfactory demonstration on site.
	B. Entry by Promotion
	When the contractor has completed at least 3 numbers medium/large size local projects of value above \$3M each with good references.

Managing Department : Lands Department

Works Category : Land, Engineering and Hydrographic Survey Services **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the provision of land, engineering and hydrographic survey services.

Direct Entry**1. Job Experience**

No requirement.

Past experience on government projects is used as reference in tender evaluation and selection, but not for entry requirement.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

No requirement.

However, endorsement such as ISO 9001 Certification, will be used as reference in tender evaluation and selection.

3. Top Management *(See Remarks on the end page of this Appendix)

At least one senior member of the firm's permanent full time staff should be a professional member of the HKIS (Land Survey Division) or approved equivalent, with minimum 2 years' post qualification local experience.

4. Technical Staff

A minimum of two survey technicians should possess ordinary certificate or higher qualification in land or engineering surveying or approved equivalent with minimum one year's local land survey experience.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

The firm should possess some basic equipment such as theodolite, total station, level, EDM, computer system and transport facilities.

Special equipment such as echo sounder, laser level, GPS system etc. will be an asset in bidding tender for special survey services.

6. Office/Workshop Facilities

Not Applicable

7. Training Facilities

Not Applicable

8. Others

Not Applicable

Managing Department : Architectural Services Department

Works Category : Landscaping **Specialist Contractor**

Class I : General Landscape Work

Group I : Contracts/Subcontracts of value up to HK\$2.3M

Group II : Contracts/Subcontracts of unlimited value

Brief Scope of Category/Class :

General Landscape Works includes all three types of:

- (a) landscape softworks (except hydroseeding) such as soiling, minor earthworks, turfing, sprigging, seeding and the supply, transplanting or planting of all types of plant material (including ground covers, tress, palms, shrubs, herbaceous, etc.) and subsequent establishment works;
- (b) horticultural and arboricultural maintenance works to vegetation, such as regular inspections of the vegetation and applications of routine maintenance operations to keep the vegetation in healthy growth; identification of plant disorders and application of appropriate treatments after diagnosis such as soil water and nutrient management, pest and disease control, thinning and pruning; installation and maintenance of tree support and protection systems such as cabling, bracing, propping and lightning protection; and tree risk assessment and management; and
- (c) landscape hardworks such as tree guards, tree grilles, tree rings, paving, planters, dwarf walls, steps, fencing, outdoor furniture, pergolas and pavilions.

Definition of Probationary Status[#]

Probation to Group I : Eligible for the award of one contract/subcontract at any one time of value up to \$2.3 million

Probation to Group II : Eligible for the award of any number of Group I contracts/subcontracts, plus one contract/subcontract of value exceeding \$2.3 million

[#] See Remarks (1) on the end page of this Appendix.

Group I	Group II
A. Entry On Probation	A. Entry On Probation
1. Job Experience Completed satisfactorily at least three relevant contracts/subcontracts of total value of the landscape softworks exceeding \$4M within the past 5 years. Job experience in all three types of the General Landscape Works within the past five years. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff See Annex 35. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) See Annex 35. 6. Office/Workshop Facilities Local office and a local holding nursery in Hong Kong of not less than 7,500m² required. 7. Training Facilities Have training scheme to internal staff to improve arboricultural, horticultural and workplace health and safety practice. 8. Others Special arboricultural skills such as maintenance, protection and transplanting of mature trees, and other horticultural skills such as laying and maintenance of turfs for sports ground.	Completed satisfactorily at least three relevant government contracts/1st tier Government subcontracts of total value of the General Landscape Works exceeding \$6M within the past 5 years, including at least two public works contracts/1st tier Government subcontracts of total value of landscape softworks exceeding \$3M. Job experience in all three types of the General Landscape Works within the past five years. Not Applicable At least one top management staff with more than five years of relevant working experience gained in Hong Kong, who can be the same person as the horticulturist or the tree specialist. See Annex 35. See Annex 35. Local office and a local holding nursery in Hong Kong of not less than 7,500m² required. Have training scheme to internal staff to improve arboricultural, horticultural and workplace health and safety practice. Special arboricultural skills such as maintenance, protection and transplanting of mature trees, and other horticultural skills such as laying and maintenance of turfs for sports ground.

Group I	Group II
B. Confirmation	B. Confirmation
Completed satisfactorily at least two Government Group I contracts/ 1 st tier Government subcontracts of total value of the General Landscape Works exceeding \$2M within the past 5 years, including one Government contract / 1 st tier Government subcontract of value of landscape softworks exceeding \$0.5M. Job experience in all three types of the General Landscape Works within the past five years.	Completed satisfactorily at least two Government Group II contracts/ 1 st tier Government subcontracts of individual value of the General Landscape Works exceeding \$2M within the past 5 years, including one Government contract / 1 st tier Government subcontract of value of landscape softworks. Job experience in all three types of the General Landscape Works within the past five years.
C. Direct Entry	C. Direct Entry
Not Applicable	Not Applicable
	D. Entry by Promotion
	Same as that required for “Entry on Probation”.

Managing Department : Architectural Services Department

Works Category	:	<u>Landscaping</u>	Specialist Contractor
Class II	:	<u>Hydroseeding</u>	

Group I : Contracts/Subcontracts up to HK\$2.3M
Group II : Contracts/Subcontracts of unlimited value

Brief Scope of Category/Class :

Hydroseeding is the application by high-pressure spraying of specified mixture of grass seeds, fertilizer, mulch and other additives in aqueous solution, including the supply of all materials and equipment necessary for the application and subsequent establishment of grass cover by the method described.

Definition of Probationary Status[#]

Probation to Group I	:	<u>Eligible for the award of one contract at any one time of value up to \$2.3 million</u>
Probation to Group II	:	<u>Eligible for the award of any number of Group I contracts, plus one contract of value exceeding \$2.3 million</u>

[#] See Remarks (1) on the end page of this Appendix.

Group I	Group II
A. Entry On Probation	A. Entry On Probation
1. Job Experience Completed at least three relevant contracts/subcontracts of total value exceeding \$4M within the past 5 years. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management*(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff Min. 1 No. trained operator with 3 years relevant HK working experience. 5. Plant and Equipment** (See Remarks on the end page of this Appendix) All necessary equipment to carry out the required work. 6. Office/Workshop Facilities Local office in Hong Kong is required. 7. Training Facilities Have training scheme to internal staff to improve hydroseeding and safety practice. 8. Others Financial resources	Completed at least three relevant government contracts/subcontracts of total value exceeding \$6M within the past 5 years. Not Applicable Not Applicable Min. 2 Nos. trained operator with 3 years relevant HK working experience. All necessary equipment to carry out the required work. Local office in Hong Kong is required. Have training scheme to internal staff to improve hydroseeding and safety practice. Financial resources

Group I	Group II
B. Confirmation	B. Confirmation
Completed satisfactorily at least two government Group I contracts/subcontracts within the past 5 years, of total value exceeding \$2M.	Completed satisfactorily at least two government Group II contracts/subcontracts within the past 5 years, of individual value exceeding \$2M.
C. Direct Entry	C. Direct Entry
Not Applicable	Not Applicable
	D. Entry by Promotion
	Same as that required for “Entry on Probation”

Managing Department : Civil Engineering and Development Department

Works Category : <u>Landslip Preventive/Remedial Works to Slopes/Retaining Walls</u> Specialist Contractor Brief Scope of Category : The scope of work in this category covers landslip preventive works, remedial works or formation works of slopes and/or retaining walls in areas immediately behind occupied structures, adjacent to railway lines or major trunk roads Definition of Probationary Status[#]: Contractors included in the Specialist List for “Landslip Preventive/Remedial works to Slopes/Retaining Walls (LPM)” but have not yet achieved confirmation status. A probationary contractor may take on not more than 2 government contracts tendered under the LPM category with total outstanding value of works of not greater than \$114M.

[#] See Remarks (1) on the end page of this Appendix.

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9. Training Facilities Not Applicable 10. Others (i) Performance on Government contracts/sub-contracts (See Notes 1 and 2 under section 2.1 of Annex 18 to Appendix 3C) under the R&D and SF categories and in landslip preventive works in the past 3 years – see sections 2.1, 2.2, 2.3 and 2.4 of Annex 18	Not Applicable In all other ways being considered suitable for confirmation
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Managing Department: Architectural Services Department

Works Category: Lift, Escalator and Passenger Conveyor Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of passenger lifts, bed/ passenger lifts, service lifts, goods lifts, escalators and passenger conveyor installations, lifting platform for barrier free access, and associated motor power drives, motor control centres, central and remote control systems, CCTV inside lifts, etc.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory submissions to EMSD and Buildings Authority shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The contract shall be of a completely new building construction project or a whole building refurbishment project. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the lift, escalator and passenger conveyor installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(f) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be — a Registered Lift and/or Escalator Contractor registered under Lifts & Escalators (Safety) Ordinance, Cap. 327; and — a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section "Technical Staff". <u>Quality Management System Certification</u> Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, and Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Environment, Transport and Works Bureau. The scope of certification shall be relevant to the contractor list being applied for, e.g. "Supply, installation and maintenance of lift and escalator installation".

A. Entry on Probation	B. Confirmation	C. Direct Entry												
		3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Registered Lift Engineer (RLE)</u> At least 2 nos. registered under Lifts and Escalators (Safety) Ordinance, Cap. 327 <u>Registered Escalator Engineer (REE)</u> At least 2 nos. registered under Lifts and Escalators (Safety) Ordinance, Cap. 327 The RLE and REE can be the same person <u>Technical Support Staff</u> Employ adequate nos. of site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Site supervisor</td><td>4 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades Lift Electrician/Mechanic <table><tr><td>Minimum score required</td><td>100 marks</td></tr><tr><td>Qualified Lift Electrician/Mechanic</td><td>20 marks</td></tr><tr><td>Intermediate Lift Electrician/Mechanic</td><td>15 marks</td></tr><tr><td>Ordinary Lift Electrician/Mechanic</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Lift and/or Escalator Engineer (RLEE) registered under Lifts & Escalators (Safety) Ordinance, Cap. 327 – 2 nos. (minimum) — Competent Lift/Escalator Worker (CLEW) registered under Lifts and Escalators (Safety)	Site supervisor	4 nos.	Draftsman	1 no.	Minimum score required	100 marks	Qualified Lift Electrician/Mechanic	20 marks	Intermediate Lift Electrician/Mechanic	15 marks	Ordinary Lift Electrician/Mechanic	8 marks
Site supervisor	4 nos.													
Draftsman	1 no.													
Minimum score required	100 marks													
Qualified Lift Electrician/Mechanic	20 marks													
Intermediate Lift Electrician/Mechanic	15 marks													
Ordinary Lift Electrician/Mechanic	8 marks													

A. Entry on Probation	B. Confirmation	C. Direct Entry
		Ordinance, Cap. 327 – 10 nos. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B2 – 1 no. (minimum) The RLEE, CLEW and REW can be the Technical Support Staff or Craftsman. 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 19 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 100 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced <u>Depot</u> At least two, preferably more and distributed over Hong Kong SAR. 6. Others <u>Authorized Agency</u> Be an authorized agent/distributor in HKSAR for the lifts, escalators, and passenger conveyors. Documentary evidence such as authorized agency/distributorship agreements shall be available for checking. <u>Type test certificates for escalators</u> Required for steps, pallets, belts and handrails

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(handrail breaking strength). <u>Type test certificates for lifts</u> Required for landing door locking devices, landing doors, overspeed governors, safety gears, energy dissipation and/or energy accumulation type buffers with/without buffered return movement, ascending car overspeed protection means, rupture valve/one way restrictor, and safety circuits containing electronic components. <u>Permit to use and operate a new lift or escalator</u> At least two installations for each model issued by Electrical & Mechanical Services Department. Applicant to submit a list of the models for use in Government projects. Only those models submitted and approved can be used in Government projects. New models to be offered after admission must be submitted for assessment and prior approval must be obtained before new models can be offered for use in Government projects. <u>Harmonic distortion</u> Comply with relevant standards; details of harmonic current distortion for each model to be submitted. <u>Support from Manufacturer</u> Sound technical support required, including provision of spare parts, training (record to be submitted), etc. <u>Maintenance facilities</u> 24-hour emergency service for fault attendance must be available. The 24-hour emergency service for fault attendance shall be effective, e.g. the fault call can be acknowledged immediately and maintenance personnel can arrive at the fault location within 1 hour for normal call (e.g. no trapping of passenger) and 30 minutes for urgent call (e.g. trapping of passenger). Applicant to provide evidence that such maintenance facilities are established in strategic locations in Hong Kong SAR with suitable communication network to meet the

A. Entry on Probation	B. Confirmation	C. Direct Entry
		above requirements.

Managing Department: Architectural Services Department

Works Category: Liquefied Petroleum Gas Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of fixed and piped liquefied petroleum gas (LPG) installations including bulk LPG storage vessels, LPG cylinders, vaporizers, piping and fittings, valves and accessories, LPG appliances, etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@]Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory submissions to Gas Authority shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.25M; and (b) The contract shall cover a complete liquefied petroleum gas installation at least with cylinders supply; and (c) The contract shall be for new building project or new liquefied petroleum gas installation in an existing building. Partial renovation or fitting-out works for an existing installation are not acceptable; and (d) If the contract is a term contract, all of the above requirements 4 (a) and 4 (c) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory submissions to Gas Authority shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
	scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the liquefied petroleum gas installation contractor for the project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover a complete liquefied petroleum gas installation at least with cylinders supply; and (c) The contract shall be for new building project or new liquefied petroleum gas installation in an existing building. Partial renovation or fitting-out works for an existing installation are not acceptable. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the liquefied petroleum gas installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from

A. Entry on Probation	B. Confirmation	C. Direct Entry								
		them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Gas Contractor registered under Gas Safety Ordinance, Cap. 51 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) BS Mechanic/Mechanical Fitter <table><tr><td>Minimum score required</td><td>20 marks</td></tr></table>	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Minimum score required	20 marks
Technician	1 no.									
Site supervisor	1 no.									
Draftsman	1 no.									
Minimum score required	20 marks									

A. Entry on Probation	B. Confirmation	C. Direct Entry
		Qualified BS Mechanic/Mechanical Fitter 20 marks Intermediate BS Mechanic/Mechanical Fitter 15 marks Ordinary BS Mechanic/Mechanical Fitter 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Gas Installer (RGI) registered under Gas Safety Ordinance, Cap. 51 – 2 nos. (minimum) (These RGIs shall hold licences covering gas installation work Class 1 to 7 collectively) The RGI can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ^{**}(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 20 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 10 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department: Architectural Services Department

Works Category: Low Voltage Cubicle Switchboard Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of low voltage cubicle switchboard comprising main incoming switchgear, busbars and droppers/risers, outgoing switchgears, instruments and protection devices, etc. all in a type tested assembly.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

[@]Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[@] Not applicable for new application for admission. (Only applicable for existing probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable	The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The rating of the main incoming switchgear is not less than 2500A or with power rating not less than 1500kVA; and (c) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (d) If the contract is a term contract, all of the above requirements 4 (a) and 4 (c) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion Certificate (i.e. Form WR1) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
	and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the low voltage cubicle switchboard installation contractor for the project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The rating of the main incoming switchgear is not less than 2500A or with power rating not less than 1500kVA; and (c) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the low voltage cubicle switchboard installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Statutory Registration The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Technician1 no. Site supervisor1 no. Draftsman1 no. Craftsman Employ adequate nos. of Electrician/Mechanical Fitter Minimum score required40 marks Qualified Electrician/Mechanical Fitter20 marks Intermediate Electrician/Mechanical Fitter15 marks Ordinary Electrician/Mechanical Fitter8 marks

A. Entry on Probation	B. Confirmation	C. Direct Entry
		<u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 1 no. (minimum) — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B2 – 2 nos. (minimum) The REW can be the Technical Support Staff or Craftsman 4. Plant and Equipment ^{**}(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 21 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/ storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 180 m². Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. 6. Others <u>Design</u> IEC 60439 Applicant to prove that switchboard is designed to the relevant IEC or equivalent standard; A motor control centre alone shall not be acceptable. Type test certificates for switchboard as required by

A. Entry on Probation	B. Confirmation	C. Direct Entry
		<u>IEC 60439-1</u> • temperature-rise limit test • dielectric properties test • short-circuit withstand strength test • effectiveness of protective circuit test • clearances & creepage distance test • mechanical operation test • degree of protection test Tests shall be on a whole switchboard and NOT simply on the busbar system; and the above type tests shall be certified by an internationally recognized testing organization, e.g. ASTA. <u>Air circuit breakers</u> Applicant to provide proof of compliance of relevant standards IEC 60947-2. <u>Switchfuse/fuseswitch</u> Applicant to provide proof of compliance of relevant standards IEC 60947-3. <u>H.R.C. fuses</u> Applicant to provide proof of compliance of relevant standards IEC 60269 or BS 88. <u>Busbars</u> Applicant to provide proof of compliance of relevant standards BS 1433. <u>Permit to use in Government projects</u> Only those configurations with type tests certificates and materials with poof of compliance with the above standards can be offered for Government projects. <u>Authorized Agency</u> Agreement between principals and applicant, including agreements proving applicant's rights to manufacture, etc. shall be provided.

Managing Department: Architectural Services Department

Works Category: Mechanical Handling and Lifting Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of mechanical handling and lifting installation including crane, hoist, conveyor system, mechanical storage system, movable boarding facility etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 4 (a) and 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the mechanical handling and lifting installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the	mechanical handling and lifting installation contractor for the project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the mechanical handling and lifting installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the

A. Entry on Probation	B. Confirmation	C. Direct Entry												
concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) Mechanical Fitter	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.		concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) Mechanical Fitter	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.
Technician	2 nos.													
Site supervisor	2 nos.													
Draftsman	1 no.													
Technician	2 nos.													
Site supervisor	2 nos.													
Draftsman	1 no.													

A. Entry on Probation	B. Confirmation	C. Direct Entry
Minimum score required 20 marks Qualified Mechanical Fitter 20 marks Intermediate Mechanical Fitter 15 marks Ordinary Mechanical Fitter 8 marks		Minimum score required 20 marks Qualified Mechanical Fitter 20 marks Intermediate Mechanical Fitter 15 marks Ordinary Mechanical Fitter 8 marks
(B) Electrician Minimum score required 20 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks		(B) Electrician Minimum score required 20 marks Qualified Electrician 20 marks Intermediate Electrician 15 marks Ordinary Electrician 8 marks
<u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A0 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 1 no. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman.		<u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A0 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) QW 1 no. The QW can be the Qualified Engineer, Technical Support Staff or Craftsman.
4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 22 for list of typical equipment/tools and testing instruments		4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 22 for list of typical equipment/tools and testing instruments

A. Entry on Probation	B. Confirmation	C. Direct Entry
required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department: Architectural Services Department

Works Category:	<u>Mechanical Plant and Equipment Installation</u>	Specialist Contractor
Group I:	Contracts/Subcontracts up to HK\$ <u>1.1M</u>	
Group II:	Contracts/Subcontracts of unlimited value	
Brief Scope of Category:		
The scope of work in this category covers the general mechanical fabrication, supply, installation and maintenance of mechanical plants and equipment. Typical installations include laundry equipment, waste disposal equipment, vehicle examination facility, garage equipment, bulk fuel storage and dispensing system, pumping system etc.		
Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)		
@Probation to Group I	:	Eligible for the award of a maximum of two Group I contracts/subcontracts
Probation to Group II	:	Eligible for the award of any number of Group I contracts/subcontracts; and a maximum of two Group II contracts/subcontracts exceeding \$1 million provided that the total value of Group II works does not exceed \$3.4 million

@ Not applicable for new application for admission. (Only applicable for existing Group I probationary contractor)

[#] See Remarks (1) on the end page of this Appendix.

Group I A. Entry on Probation	Group II A. Entry on Probation
Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group I tender limit; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category". (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the

Group I	Group II
	following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the mechanical plant and equipment installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contactor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Building Services) with adequate and relevant professional and project management experience.

Group I	Group II																								
	<u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>4 nos.</td></tr> <tr> <td>Draftsman</td><td>2 nos.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades (A) Electrician <table> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Electrician</td><td>20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>8 marks</td></tr> </table> (B) Mechanical Fitter <table> <tr> <td>Minimum score required</td><td>40 marks</td></tr> <tr> <td>Qualified Mechanical Fitter</td><td>20 marks</td></tr> <tr> <td>Intermediate Mechanical Fitter</td><td>15 marks</td></tr> <tr> <td>Ordinary Mechanical Fitter</td><td>8 marks</td></tr> </table> <u>Statutory Registration/Qualified Welder</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or the Craftsman. <u>Qualified Welder</u> Employ adequate nos. of Qualified Welder (QW) <table> <tr> <td>QW</td><td>1 no.</td></tr> </table> The QW can be the Qualified Engineer, Technical Support Staff or Craftsman.	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.	Minimum score required	40 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks	Minimum score required	40 marks	Qualified Mechanical Fitter	20 marks	Intermediate Mechanical Fitter	15 marks	Ordinary Mechanical Fitter	8 marks	QW	1 no.
Technician	2 nos.																								
Site supervisor	4 nos.																								
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QW	1 no.																								

Group I	Group II
	4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 2 nos. CAD terminals. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 23 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 80 m² and the minimum workshop + storage area shall be 70 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreement shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.
B. Confirmation	B. Confirmation
The following shall only be applicable to existing probationary contractor: (1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds 50 % of Group I tender limit; and (b) The contract shall cover the nature of works as described in the “Brief Scope of	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group I tender limit; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”; and

Group I	Group II
Category”; and (c) If the contract is a term contract, all of the above requirements 4 (a) to 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the mechanical plant and equipment installation contractor for the project work.	(c) If the contract is a term contract, all of the above requirements 4 (a) to 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the mechanical plant and equipment installation contractor for the project work.
C. Direct Entry	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and	Not Applicable

Group I	Group II
the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the manufacture plant and equipment installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant's technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.	

Group I	Group II																										
2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>2 nos.</td></tr> <tr> <td>Draftsman</td><td>1 no.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman with adequate relevant experience in the following trades <table> <tr> <td>(A) Electrician</td><td></td></tr> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Electrician</td><td>20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>8 marks</td></tr> <tr> <td>(B) Mechanical Fitter</td><td></td></tr> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Mechanical Fitter</td><td>20 marks</td></tr> <tr> <td>Intermediate Mechanical Fitter</td><td>15 marks</td></tr> <tr> <td>Ordinary Mechanical Fitter</td><td>8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The REW can be the Technical Support Staff or Craftsman.	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.	(A) Electrician		Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks	(B) Mechanical Fitter		Minimum score required	20 marks	Qualified Mechanical Fitter	20 marks	Intermediate Mechanical Fitter	15 marks	Ordinary Mechanical Fitter	8 marks	
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Group I	Group II
4. Plant and Equipment *** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities, minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates where applicable for testing instruments shall be available. Refer to Annex 23 for list of typical equipment /tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreement shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.	

Managing Department: Architectural Services Department

Works Category: Motor Vehicle Body-building and Painting **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers design and building of general purpose/specialist vehicle body, supply and installation of specialist equipment on vehicle, minor or major vehicle modification, etc. and all vehicle related vehicle modification work.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category on motor vehicle fleet, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) The contract shall cover the major scope of works as described in the "Brief Scope of

A. Entry on Probation	B. Confirmation	C. Direct Entry
		Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the motor vehicle body-building and painting contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Technical Staff (See Annex 1 for definition of Staff

A. Entry on Probation	B. Confirmation	C. Direct Entry																														
		Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of Craftsman in the following trades (A) Body Repairer/Builder <table><tr><td>Minimum score required</td><td>30 marks</td></tr><tr><td>Qualified Body Repairer/Builder</td><td>20 marks</td></tr><tr><td>Ordinary Body Repairer/Builder</td><td>10 marks</td></tr></table> (B) Vehicle Mechanic <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Vehicle Mechanic</td><td>20 marks</td></tr><tr><td>Ordinary Vehicle Mechanic</td><td>10 marks</td></tr></table> (C) Vehicle Electrician <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Vehicle Electrician</td><td>20 marks</td></tr><tr><td>Ordinary Vehicle Electrician</td><td>10 marks</td></tr></table> (D) Vehicle Painter <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Vehicle Painter</td><td>20 marks</td></tr><tr><td>Ordinary Vehicle Painter</td><td>10 marks</td></tr></table> The craftsman can be the Technical Support Staff. 3. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting facilities and minimum 1 computer, preferably with CAD. Adequate nos. of equipment, tools and testing	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Minimum score required	30 marks	Qualified Body Repairer/Builder	20 marks	Ordinary Body Repairer/Builder	10 marks	Minimum score required	20 marks	Qualified Vehicle Mechanic	20 marks	Ordinary Vehicle Mechanic	10 marks	Minimum score required	20 marks	Qualified Vehicle Electrician	20 marks	Ordinary Vehicle Electrician	10 marks	Minimum score required	20 marks	Qualified Vehicle Painter	20 marks	Ordinary Vehicle Painter	10 marks
Technician	1 no.																															
Site supervisor	1 no.																															
Draftsman	1 no.																															
Minimum score required	30 marks																															
Qualified Body Repairer/Builder	20 marks																															
Ordinary Body Repairer/Builder	10 marks																															
Minimum score required	20 marks																															
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Minimum score required	20 marks																															
Qualified Vehicle Electrician	20 marks																															
Ordinary Vehicle Electrician	10 marks																															
Minimum score required	20 marks																															
Qualified Vehicle Painter	20 marks																															
Ordinary Vehicle Painter	10 marks																															

A. Entry on Probation	B. Confirmation	C. Direct Entry
		instruments for carrying out installation, testing/ commissioning and maintenance services. Refer to Annex 24 for list of typical equipment / tools required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 10 m², and the minimum workshop + storage area shall be 110 m² (minimum 50 m² of covered space). Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. 5. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available.

Managing Department: Architectural Services Department

Works Category: Plumbing Installation **Specialist Contractor**

Group I: Contracts/Subcontracts up to HK\$2.3 million

Group II: Contracts/Subcontracts of unlimited value

Brief Scope of Category:

The scope of work in this category covers the construction, repair and maintenance of plumbing installations. Typical installations include fresh and flush water pumps and pipework installations (including connection to sanitary fixtures and associated taps and water heaters installed by others); water supply for fire service installation including up-feed pipework and connection to the roof/transfer tank; cold and hot water supply systems; rain water recycling system; water supply for feeding/make-up to air-conditioning installation, fountain installation and swimming pool installation; and water supply for irrigation system.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Probation to Group I : Not applicable

Probation to Group II : Eligible for the award of any number of Group I contracts/subcontracts; and a maximum of two Group II contracts/subcontracts provided that the total value of Group II works does not exceed \$8.2 million

[#] See Remarks (1) on the end page of this Appendix.

Group I A. Entry on Probation	Group II A. Entry on Probation
Not Applicable	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, as stipulated under “Job Reference for Inspection” below, with satisfactory quality of work compatible with Government standard on and in relation to plumbing installations; and (2) The applicant shall have adequate experience in contract management of work of the category, as stipulated under “Job Reference for Inspection” below, including solely and fully responsible for carrying out contract management and coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences must also be produced to the satisfaction of the Secretary for Development; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as Form WR1(A) “Electricity Ordinance (Cap. 406) Electricity (Wiring) Regulations Work Completion Certificate”, Form WWO 46 “Waterworks Ordinance (Cap. 102) Notification/Application for Constructing, Installing, Altering or Removing an Inside Service or Fire Service”, etc. shall be issued under the name of the applicant and/or the Registered Electrical Worker (REW)/ Licensed Plumber (LP) engaged by the applicant as applicable; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and

Group I	Group II
	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group I tender limit; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The contract shall be of a completely new building construction project or a whole building refurbishment project. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the plumbing installation contractor for the project work; and (e) The applicant must present documentary evidence to prove that the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

Group I	Group II						
	2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff” below. <u>Quality Management System Certification</u> Quality Management System certificates issued under the rules of the Hong Kong Certification Body Accreditation Scheme (HKCAS) operated by the Hong Kong Accreditation Service (HKAS); i.e. bearing the HKCAS Accreditation Mark, or Quality Management System certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the Development Bureau. The scope of certification shall be relevant to the “Brief Scope of the Category” being applied for, e.g. “supply, installation, repair and maintenance of plumbing work”. If the scope of certification does not include “maintenance”, the relevant quality management manual shall have relevant sections for maintenance work that shall include not only post contract service but also service for separate maintenance contract. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. Qualified Engineer (Mechanical, Building Services or Electrical discipline) with adequate and relevant professional and project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table data-bbox="1167 1252 1955 1337"> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>4 nos.</td></tr> <tr> <td>Draftsman</td><td>2 nos.</td></tr> </table>	Technician	2 nos.	Site supervisor	4 nos.	Draftsman	2 nos.
Technician	2 nos.						
Site supervisor	4 nos.						
Draftsman	2 nos.						

Group I	Group II
	<u>Craftsman</u> Employ adequate nos. of craftsman to meet the minimum scores of both (A) and (B) below in the following trades (A) Licensed Plumber/ BS Mechanic Minimum score required 40 marks Qualified Plumber/BS Mechanic 1 no. for 20 marks Intermediate Plumber/BS Mechanic 1 no. for 15 marks Ordinary Plumber/BS Mechanic 1 no. for 8 marks (B) Electrician Minimum score required 40 marks Qualified Electrician 1 no. for 20 marks Intermediate Electrician 1 no. for 15 marks Ordinary Electrician 1 no. for 8 marks <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Licensed Plumber, Grade I, registered under Waterworks Ordinance, Cap. 102. – 1 no. (minimum) — REW registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The LP and REW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 2 nos. CAD terminals. Adequate nos. of calibrated testing instruments and equipment / tools for carrying out installation, operation, maintenance and testing / commissioning services; valid calibration certificates where applicable for testing instruments shall be available. Refer to Annex 36 for a list of typical equipment / tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 80 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.
B. Confirmation	B. Confirmation

Group I	Group II
Not Applicable	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as Form WR1(A) "Electricity Ordinance (Cap. 406) Electricity (Wiring) Regulations Work Completion Certificate", Form WWO 46 "Waterworks Ordinance (Cap. 102) Notification/Application for Constructing, Installing, Altering or Removing an Inside Service or Fire Service" etc. shall be issued under the name of the applicant and/or the REW/LP engaged by the applicant as applicable; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds Group I tender limit; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) The contract shall be of a completely new building construction or a whole building refurbishment; and (d) If the contract is a term contract, all of the above requirements 4(a) to 4(c) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the plumbing installation contractor for the project work.
C. Direct Entry	C. Direct Entry
1. Job Experience	Not Applicable

Group I	Group II
<u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, as stipulated under “Job Reference for Inspection” below, with satisfactory quality of work compatible with Government standard on and in relation to plumbing installations; and (2) The applicant shall have adequate experience in contract management of work of the category, as stipulated under “Job Reference for Inspection” below, including solely and fully responsible for carrying out contract management and coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences must also be produced to the satisfaction of the Secretary for Development; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference)</u> (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as Form WR1(A) “Electricity Ordinance (Cap. 406) Electricity (Wiring) Regulations Work Completion Certificate”, Form WWO 46 “Waterworks Ordinance (Cap. 102) Notification/Application for Constructing, Installing, Altering or Removing an Inside Service or Fire Service” etc. shall be issued under the name of the applicant and/or the Registered Electrical Worker (REW)/ Licensed Plumber (LP) engaged by the applicant as applicable; and (8) The applicant shall be able to arrange joint site inspections for the government’s examination of the quality and workmanship of the submitted job reference within normal office hours; and (9) The scope of work for each of these 2 contracts must fulfill all of the following requirements:	

Group I	Group II
(a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”; and (c) The contract shall be of a completely new building construction project or a whole building refurbishment project. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The subcontract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The aforementioned main contractor shall not be the plumbing installation contractor for the project work; and (e) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by the main contractor including a letter, which must be signed by the main contractor’s authorized signatory to confirm that the applicant has met the above requirements in the subcontract; and (f) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406; and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical	

Group I	Group II																						
Staff” below. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience: <table> <tr> <td>Technician</td><td>2 nos.</td></tr> <tr> <td>Site supervisor</td><td>2 nos.</td></tr> <tr> <td>Draftsman</td><td>1 no.</td></tr> </table> <u>Craftsman</u> Employ adequate nos. of craftsman with adequate relevant experience to meet the minimum scores of both (A) and (B) below in the following trades: (A) Licensed Plumber/ FS Mechanic <table> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Plumber/BS Mechanic</td><td>1 no. for 20 marks</td></tr> <tr> <td>Intermediate Plumber/BS Mechanic</td><td>1 no. for 15 marks</td></tr> <tr> <td>Ordinary Plumber/BS Mechanic</td><td>1 no. for 8 marks</td></tr> </table> (B) Electrician <table> <tr> <td>Minimum score required</td><td>20 marks</td></tr> <tr> <td>Qualified Electrician</td><td>1 no. for 20 marks</td></tr> <tr> <td>Intermediate Electrician</td><td>1 no. for 15 marks</td></tr> <tr> <td>Ordinary Electrician</td><td>1 no. for 8 marks</td></tr> </table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Licensed Plumber, Grade I, registered under Waterworks Ordinance, Cap. 102. – 1 no. (minimum) — REW registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The LP and REW can be the Qualified Engineer, Technical Support Staff or Craftsman.	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.	Minimum score required	20 marks	Qualified Plumber/BS Mechanic	1 no. for 20 marks	Intermediate Plumber/BS Mechanic	1 no. for 15 marks	Ordinary Plumber/BS Mechanic	1 no. for 8 marks	Minimum score required	20 marks	Qualified Electrician	1 no. for 20 marks	Intermediate Electrician	1 no. for 15 marks	Ordinary Electrician	1 no. for 8 marks	
Technician	2 nos.																						
Site supervisor	2 nos.																						
Draftsman	1 no.																						
Minimum score required	20 marks																						
Qualified Plumber/BS Mechanic	1 no. for 20 marks																						
Intermediate Plumber/BS Mechanic	1 no. for 15 marks																						
Ordinary Plumber/BS Mechanic	1 no. for 8 marks																						
Minimum score required	20 marks																						
Qualified Electrician	1 no. for 20 marks																						
Intermediate Electrician	1 no. for 15 marks																						
Ordinary Electrician	1 no. for 8 marks																						

Group I	Group II
4. Plant and Equipment *** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment / tools for carrying out installation, operation, maintenance and testing / commissioning services; valid calibration certificates where applicable for testing instruments shall be available. Refer to Annex 36 for a list of typical equipment /tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in the Hong Kong Special Administrative Region (HKSAR) is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 15 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be provided.	

Managing Department : Highways Department

Works Category : Prestressed Concrete Works for Highway Structures Supplier / Specialist Contractor
Class I : Supply and Installation of Prestressing Systems

Brief Scope of Category/Class :

The scope of work in this category and class covers the supply and installation of prestressing systems for prestressed concrete works for highway structures. The applicant will be included in this category and class for the supply and installation of a particular prestressing system proposed in the application. The prestressing system must be a proprietary product.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in supply and installation of the prestressing system in the past 3 years, each with a value of \$1.0 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The manufacturer for the prestressing systems shall be operating a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional (HKIE Corporate Member or equivalent) and technical staff experienced in the design of prestressed concrete bridges and the installation of prestressing systems. Local workforce capable of installing prestressing systems.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Prestressing jack.
- b. Mechanical grout pump.
- c. Mechanical grout mixer.
- d. Strand feeder.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements. Works must comply with Section 17 of the General Specification for Civil Engineering Works. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. Technical and testing report from an approved independent organisation to confirm compliance with the above standards must be submitted.

The manufacturer for the prestressing systems and the applicant must have established acceptable manufacturing and installation procedures and fully documented quality assurance systems. Visit to the factory may be required for this purpose. If such visits are not practicable, the applicant may be required to arrange for an independent report at his own cost.

Managing Department : Highways Department

Works Category : Prestressed Concrete Works for Highway Structures Supplier / Specialist Contractor
Class II : Supply of Prestressed Concrete Units

Brief Scope of Category/Class :

The scope of work in this category and class covers the supply of prestressed concrete units for highway structures. The applicant will be included in this category and class for a particular prestressing system proposed in the application. The prestressing system must be a proprietary product.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in the fabrication of prestressed concrete units in the past 3 years, each with a value of \$2.0 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The manufacturer for the prestressing systems shall be operating a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional (HKIE Corporate Member or equivalent) and technical staff experienced in the design of prestressed concrete bridges and the installation of prestressing systems. Workforce experienced in precast and prestressed concrete works.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Lifting crane.
- b. Prestressing jacks.
- c. Mechanical grout pumps.
- d. Mechanical grout mixer.
- e. Concrete mixer.
- f. Concrete vibrator.
- g. Necessary equipment to fabricate casting moulds complete with tendon/strand anchor fittings.
- h. Concrete batching plant.
- i. Equipment for testing concrete.
- j. Curing facilities.

6. Office/Workshop Facilities

Local office in Hong Kong is required. The applicant must possess a permanent casting yard with the equipment listed above and adequate storage space.

7. Training Facilities

Not Applicable

Direct Entry**8. Others**

Satisfactory technical information and method statements. Works must comply with Sections 14, 15, 16 & 17 of the General Specification for Civil Engineering Works. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. Technical and testing report from an approved independent organisation to confirm compliance with the above standards must be submitted.

The manufacturer for the prestressing systems and the applicant must have established acceptable manufacturing procedures and fully documented quality assurance systems. Visit to the permanent casting yard may be required for this purpose. If such visits are not practicable, the applicant may be required to arrange for an independent report at his own cost.

Managing Department: Architectural Services Department

Works Category: Radio Electronics Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of VHF/UHF radio transceiver, basestation, repeater, microwave radio system and related ancillary equipment at hilltop site and different venues.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements:	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 3 (a) and 3 (b) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the radio electronics installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements:

A. Entry on Probation	B. Confirmation	C. Direct Entry
(a) Contract value of the work related to the category under application for inclusion exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the radio electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant		(a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the radio electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant

A. Entry on Probation	B. Confirmation	C. Direct Entry
parties of the concerned project.		parties of the concerned project.
2. Technical Staff (See Annex 1 for definition of Staff Qualification)		2. Technical Staff (See Annex 1 for definition of Staff Qualification)
Technical Support Staff		Technical Support Staff
Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience.		Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience.
Technician1 no.		Technician1 no.
Site supervisor1 no.		Site supervisor1 no.
Draftsman1 no.		Draftsman1 no.
Craftsman		Craftsman
Employ adequate nos. of Electronics Craftsman		Employ adequate nos. of Electronics Craftsman
Minimum score required40 marks		Minimum score required40 marks
Qualified Electronics Craftsman20 marks		Qualified Electronics Craftsman20 marks
Ordinary Electronics Craftsman10 marks		Ordinary Electronics Craftsman10 marks
3. Plant and Equipment**(See Remarks on the end page of this Appendix)		3. Plant and Equipment**(See Remarks on the end page of this Appendix)
Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal.		Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal.
Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 25 for list of typical equipment/tools and testing instruments required.		Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 25 for list of typical equipment/tools and testing instruments required.
4. Office/Workshop Facilities		4. Office/Workshop Facilities
Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.		Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

A. Entry on Probation	B. Confirmation	C. Direct Entry
5. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		5. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department : Architectural Services Department

Works Category : Repair and Restoration of Historic Buildings **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the repair and restoration of historic buildings and structures.

Direct Entry**1. Job Experience**

At least 3 examples of relevant works carried out in Hong Kong within the past 5 years

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Adequate standard of administration and 1 no. of site foreman with more than 3 years of relevant conservation working experience

4. Technical Staff

Specialist craftsmen/tradesmen with adequate qualification and skill in timber carvings, decorative plasterworks, decorative painting and artworks

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

Adequate source of traditional material including fair face green bricks, Chinese roof-tile and ceramics etc

6. Office/Workshop Facilities

Adequate office, workshop and store. Local office and local workshop in Hong Kong are required.

7. Training Facilities

Not Applicable

8. Others

Not Applicable

Managing Department : Water Supplies Department

Works Category : Repair of Motors, Transformers and Switchgear

Specialist Contractor

Brief Scope of Category :

The scope of work in this category covers the repair of high and low voltage (up to and including 11,000 Volt) motors, transformers and switchgear and ancillary equipment installed in Government installations.

Direct Entry**1. Job Experience**

The contractor should possess at least 5 years experience in repair of motors, transformers and switchgear. The electrical equipment required to be repaired in Water Supplies Department is listed in **Annex 26**.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

One of the managers should possess minimum qualification of a Higher Certificate in Electrical Engineering or equivalent with at least 5 years relevant experience.

4. Technical Staff

The Contractor shall have in their employment at least four supervising engineering staff and twenty competent tradesmen. The supervising staff shall possess a Higher Certificate in Electrical Engineering and be registered as a Class H Electrical Worker under the Electricity Ordinance.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

As stated in item 6 (Office/Workshop Facilities) below

6. Office/Workshop Facilities

The contractor should have a well-maintained workshop in Hong Kong with equipment as listed in **Annex 27**. The Engineer may visit the Contractor's workshop to inspect the equipment and facilities before approval is granted.

7. Training Facilities

Not Applicable

8. Others

Contractor shall be in frequent trading with one or more reputable manufacturers who are able to supply specialized materials and provide technical support for repair work when required.

Managing Department : Highways Department

Works Category : Road Marking **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the laying of the various road markings.

Definition of Probationary Status[#]

The probation period is 3 years, during which the probationary contractor shall only be allowed to work as a subcontractor in government contracts and shall be working on not more than 2 government contracts at any one time. At the end of the probationary period or when the probationary contractor has satisfactorily completed road marking works up to a total value of HK\$ 3.0 million, the performance of the probationary contractor will be assessed to determine whether the contractor is eligible to be confirmed, or remains as a probationary contractor, or is required to be removed from the List.

[#] See Remarks (1) on the end page of this Appendix.

A. Entry On Probation	B. Confirmation	C. Direct Entry
1. Job Experience Satisfactory completion of less than 3 projects in road marking works in the past 3 years, each with a value of HK\$ 1 million or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff Technical staff and work force experienced in road marking works. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate equipment required for thermoplastic road markings : a. Spraying machine. b. Screeding machine. c. Grinding machine. d. Twin preheater. 6. Office/Workshop Facilities Not Applicable 7. Training Facilities Not Applicable	The performance of the probationary contractor will be assessed at the end of the probationary period or when he has satisfactorily completed road marking works up to a total value of HK\$ 3.0 million. The requirements are the same as those required for “Direct Entry”.	1. Job Experience Satisfactory completion of at least 3 projects in road marking works in the past 3 years, each with a value of HK\$ 1 million or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff Technical staff and work force experienced in road marking works. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate equipment required for thermoplastic road markings : a. Spraying machine. b. Screeding machine. c. Grinding machine. d. Twin preheater. 6. Office/Workshop Facilities Not Applicable 7. Training Facilities Not Applicable

A. Entry On Probation	B. Confirmation	C. Direct Entry
8. Others a. Satisfactory technical information and method statements. Works must comply with Section 12 of General Specification for Civil Engineering Works. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. b. Satisfactory site demonstration on laying various types of road marking materials to demonstrate that the laying techniques and workmanship comply with the specified requirements.		8. Others a. Satisfactory technical information and method statements. Works must comply with Section 12 of General Specification for Civil Engineering Works. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. b. Satisfactory site demonstration on laying various types of road marking materials to demonstrate that the laying techniques and workmanship comply with the specified requirements.

Managing Department : Civil Engineering and Development Department

Works Category : Soil and Rock Testing **Specialist Contractor**

Brief Scope of Category :

Contractors (or Laboratories) under this category shall provide services for testing of soil and rock samples which originate from ground investigation carried out in Hong Kong.

Direct Entry

1. Job Experience

The Laboratory shall be able to provide at least the following services:

- (a) All soil tests included in Geospec 3 except the determination of particle size distribution by the pipette method (Test Methods 8.3 and 8.4), the determination of in-situ bulk density and in-situ dry density of soils by nuclear densometer method (Test Method 11.3), the determination of relative compaction of fill material (Test Method 11.4) and the direct shear test using large shear box apparatus (Test Method 16.2).
- (b) Preparation of soils from tube and block samples for examination, description and determination of bulk and dry densities, void ratio and degree of saturation.
- (c) Point load test on rock and the determination of water content, porosity and dry density of rock.
- (d) Determination of the direct shear strength of rock discontinuities.
- (e) Description of soil and rock to Geoguide 3.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The Laboratory must have a quality system which meets the requirements of the Hong Kong Laboratory Accreditation Scheme (HOKLAS) appropriate to the testing services being provided, and be accredited by Hong Kong Accreditation Service (HKAS) under the HOKLAS for the prescribed soil tests. The full scope of accreditation shall be maintained at all times. If any amendments to Geospec 3 are promulgated in whatsoever form, the Laboratory shall seek and obtain accreditation for the relevant tests incorporating the amendments.

3. Top Management *(See Remarks on the end page of this Appendix)

All management staff below shall satisfy the minimum qualifications and training requirements prescribed below. Staff competence will be assessed.

- (a) Quality Manager (1 no.) – responsible for the quality system
- (b) Laboratory Manager (1 no.) – responsible for the technical and administrative matters
- (c) Signatories (minimum 2 nos.) – responsible for signing all test certificates and reports

Qualifications, Training and Experience Requirements:

(a) Quality Manager

The Quality Manager shall satisfy the minimum qualification requirements for Signatory Option A or B as set out below. In addition, he/she shall be fully conversant with the quality system of the Laboratory and shall have adequate knowledge and experience on laboratory quality management and internal quality audits.

(b) Laboratory Manager

The Laboratory Manager shall satisfy the minimum qualification and experience requirements for Signatory Option A, B or C as set out below. In addition, he/she shall have at least one year of experience in the management of a Laboratory, including the technical and administrative matters associated with the Laboratory's operation.

(c) Signatories of Test Certificates and Reports

The main and reserve Signatories shall possess a sufficient standard of English to understand the requirements of soil and rock testing standards and HOKLAS documents.

They shall satisfy the minimum qualification and experience requirements given in either Option A, B or C below and shall also be a HOKLAS Approved Signatory for the prescribed soil tests included in Geospec 3:

Direct EntryOption A

Be in possession of an educational qualification acceptable to HKIE for Corporate Membership (Civil or Geotechnical Discipline) (Non-mature candidates), and have a minimum of five years of post-qualification civil or geotechnical engineering experience, with at least one year of experience in supervising the relevant types of soil and rock tests.

Option B

Be in possession of a Hong Kong polytechnic or technical institute Ordinary Certificate in Civil Engineering, or equivalent approved by Government, and have a minimum of seven years of post-qualification experience in construction materials testing, with at least two years in the relevant types of soil and rock tests, one year of which shall be in a supervisory role.

Option C

Be in possession of Grade E or above in five subjects including Physics, Mathematics and English (Syllabus B) in the Hong Kong Certificate of Education Examination (HKCEE), or equivalent approved by Government, and have a minimum of ten years of post-qualification experience in construction materials testing, with at least two years in the relevant types of soil and rock tests, one year of which shall be in a supervisory role.

4. Technical Staff

All technical staff below shall satisfy the minimum qualifications and training requirements prescribed below. Staff competence will be assessed.

- (a) Senior Laboratory Technician (minimum 1 no.) – responsible for organizing the testing operations
- (b) Laboratory Technicians (minimum 2 nos.) – responsible for carrying out testing and reporting
- (c) Laboratory Assistants (minimum 2 nos.) – responsible for simple tests under supervision
- (d) Semi-skilled Staff (adequate no.) – responsible for assisting in all tests under supervision

Qualifications, Training and Experience Requirements:(a) Senior Laboratory Technician

The person shall satisfy the minimum qualification and experience requirements given in either Option 1, 2 or 3 below:

Option 1

Be a qualified Laboratory Technician (Option 1) as defined in 4(b) below, and have a minimum of three years of experience in construction materials testing, with at least two years in the relevant types of soil and rock tests. Records of such experience shall be certified as accurate by the Signatory.

Option 2

Be a qualified Laboratory Technician (Option 2) as defined in 4(b) below, and have a minimum of six years of experience in construction materials testing, with at least two years in the relevant types of soil and rock tests. Records of such experience shall be certified as accurate by the Signatory.

Direct EntryOption 3

Be a qualified Laboratory Technician (Option 3) as defined in 4(b) below, and have a minimum of eight years of experience in construction materials testing, with at least two years in the relevant types of soil and rock tests. Records of such experience shall be certified as accurate by the Signatory.

(b) Laboratory Technicians

The persons shall satisfy the minimum qualification and experience requirements given under Option 1, 2 or 3 below:

Option 1

Be in possession of a Hong Kong polytechnic or technical institute Ordinary Certificate in Civil Engineering, or equivalent approved by Government, and have adequate on-the-job training on the practical and technical aspects of testing covering each of the tests to be carried out.

Option 2

Be in possession of Grade E or above in five subjects including Physics, Mathematics and English (Syllabus B) in the Hong Kong Certificate of Education Examination (HKCEE), or equivalent approved by Government, and have adequate on-the-job training on the practical and technical aspects of testing covering each of the tests to be carried out.

Option 3

Be a qualified Laboratory Assistant as defined in 4(c) below, in possession of Grade E or above in English (Syllabus B) in the Hong Kong Certificate of Education Examination, or equivalent approved by Government, and have a minimum of two years of post-qualification experience in the relevant types of tests and adequate on-the-job training on the practical and technical aspects of testing covering each of the tests to be carried out. Records of such experience shall be certified as accurate by the supervising Senior Laboratory Technician or Signatory.

(c) Laboratory Assistants

The persons shall be able to read and understand the work instructions of the Laboratory and have adequate on-the-job training on the practical and technical aspects of testing covering each of the tests to be carried out.

(d) Semi-skilled Staff

The persons shall have adequate training in the operations required to be performed in the Laboratory.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

The laboratory shall possess the following minimum numbers of major items of equipment:

Triaxial compression machines (6 nos.), triaxial cells and all accessories (12 nos.), oedometer cells (6 nos.), and direct shear machine (1 no.)

Direct Entry**6. Office/Workshop Facilities**

All applicants must possess or set up a place of business in Hong Kong. Laboratory set-up, equipment and accommodation will be audited and assessed.

7. Training Facilities

Training records/competence log on technical staff are required.

8. Others

The prescribed minimum numbers of management and technical staff shall be working full-time for the Laboratory. The Laboratory must have satisfactory accommodation and equipment to carry out the prescribed soil and rock tests to relevant testing standards. It must demonstrate that it continues to satisfy all the criteria through submission of documentary evidence and records, and during audit visits by Government representatives. It must also demonstrate satisfactory performance in proficiency testing arranged from time to time.

When applying to enter the List, the Laboratory shall provide copies of the following to the Government for assessment:

- (a) quality manuals (including test method manuals);
- (b) a test directory listing all soil and rock tests which the Laboratory can perform and the test methods (including the version of amendments to relevant test standards) adopted;
- (c) organization chart of the Laboratory;
- (d) a list of the names of the proposed main and reserve Signatories, Quality Manager and Laboratory Manager, and of the Laboratory's Technical Personnel, as well as curriculum vitae giving their qualifications and experience, together with self-declaration letters on their full-time employment status with the Laboratory;
- (e) a competence log sheet giving the tests/operations which each of the Technical Personnel is competent to perform/supervise;
- (f) a plan showing the layout and dimensions of the testing areas and sample storage and preparation areas of the Laboratory, with environment controls stated on it; and
- (g) a schedule giving the name of the manufacturer, model, identification marking, specification details of major equipment (including triaxial, direct shear, oedometer, CBR and point load tests equipment) and their calibration records required for carrying out the tests.

On acceptance on the List, whenever changes to any of the above items (including changes of staff) have taken place, the Laboratory shall provide updated copies of the item to the Government within one week of the change taking place. Also, in January and July each year, the Laboratory shall submit to the Government the latest organization chart of the Laboratory and a summary of the total number of tests carried out for each type of standard and non-standard tests in the preceding six months for both Government and other clients.

Government representatives may carry out quality or technical audits of the Laboratory at any time. The Laboratory shall provide every assistance to enable the audits to be carried out. During the audits, the Laboratory's records related to the tests carried out (including records of calibration and checking of equipment), as well as training records, internal audit records and proof of qualifications and experience of personnel may be examined. Laboratory Personnel may be interviewed and required to perform specific tests and calibrations in part or in full.

Managing Department : Architectural Services Department

Works Category : Space Frame Systems **Supplier / Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the supply and supervision of the erection of the space frames, and the design in the case of modification to suit the specified roof system.

Direct Entry

1. **Job Experience**
The system has been satisfactorily used in the past 5 years with good references.
2. **Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)**
Not Applicable.
3. **Top Management***(See Remarks on the end page of this Appendix)
The top management includes the agent's director.
4. **Technical Staff**
Manufacturer's designer and site/erection supervisor.
5. **Plant and Equipment****(See Remarks on the end page of this Appendix)
As required by the system.
6. **Office/Workshop Facilities**
The agent of the system must have a local office in Hong Kong and local representative is needed.
7. **Training Facilities**
Not Applicable.
8. **Others**
Certified strength of nodal joints.

Managing Department : Highways Department

Works Category : Specialized Operations for Highway Structures

Specialist Contractor

Class I : Guniting

Brief Scope of Category/Class :

The scope of work in this category and class covers the guniting works for construction and/or repair of concrete highway structures.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in guniting works for the construction and/or repair of concrete highway structures in the past 3 years, each with a value of \$ 0.1 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Local skilled workforce in guniting.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Air compressor.
- b. Guniting machine with necessary accessories.
- c. Concrete breaking hammer (pneumatic/electric).
- d. Scabbling hammer.
- e. Spray machine with spray gun.
- f. Water jet pump.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements.

Satisfactory site demonstrations. The applicant is also required to demonstrate procedures for the treatment of corroded reinforcement prior to guniting.

Managing Department : Highways Department

Works Category	:	<u>Specialized Operations for Highway Structures</u>	Specialist Contractor
Class <u>II</u>	:	<u>Waterproofing of Concrete Surfaces</u>	

Brief Scope of Category/Class :

The scope of work in this category and class covers the waterproofing of surfaces of concrete highway structures, e.g. footbridge roofs or the like.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in waterproofing of surfaces of concrete highway structures in the past 3 years, each with a value of \$ 0.2 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Local skilled workforce in waterproofing works.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

Equipment specified by the manufacturer of the proprietary waterproofing material.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements.

Satisfactory site demonstrations.

Works must comply with Section 20: Part 1 of the General Specification for Civil Engineering Works.

Managing Department : Highways Department

Works Category	:	<u>Specialized Operations for Highway Structures</u>	Specialist Contractor
Class <u>III</u>	:	<u>Repair of Cracked Concrete by Resin Injection</u>	

Brief Scope of Category/Class :

The scope of work in this category and class covers the resin injection for repair of cracks in structural concrete for highway structures.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects involving resin injection for repair of cracks in structural concrete in the past 3 years, each with a value of \$ 15,000 or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Local workforce skilled in repair of concrete structures by resin injection.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Resin injection pump with pressure control.
- b. Mechanical mixer for resin.
- c. Air compressor.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements.
Satisfactory site demonstrations.

Managing Department : Highways Department

Works Category : Specialized Operations for Highway Structures

Specialist Contractor

Class IV : Non-destructive Testing of Welds

Brief Scope of Category/Class :

The scope of work in this category and class covers the non-destructive weld-testing of structural steelworks for highway structures.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in non-destructive weld-testing on structural steel works in the past 3 years, each with a value of \$ 0.1 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional and technical staff with relevant qualifications and experience in non-destructive testing of welds.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Penetrant (dye and fluorescent) flaw detection.
- b. Magnetic particle flaw detection.
- c. Radiological flaw detection, including dark room facilities.
- d. Ultrasonic flaw detection.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information, method statements and fully documented quality assurance system.

Satisfactory site demonstrations.

Works must comply with Clause 18.96(4) of the General Specification for Civil Engineering Works.

Managing Department : Highways Department

Works Category : Specialized Operations for Highway Structures Specialist Contractor
Class V : Hot Dip Galvanising

Brief Scope of Category/Class :

The scope of work in this category and class covers the hot dip galvanising of structural steelworks for highway structures.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in hot dip galvanising of structural steelworks in the past 3 years, each with a value of \$ 0.2 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Technical staff with relevant qualifications and experience.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Alkaline degreasing tank.
- b. Acid pickling tank.
- c. Rinsing tank.
- d. Fluxing tank.
- e. Drying tank.
- f. Zinc bath with temperature control.
- g. Water quenching/air cooling tank.
- h. Coating thickness gauge.
- i. Lifting cranes.
- j. Laboratory facilities for testing chemicals used in galvanising.

6. Office/Workshop Facilities

Local office in Hong Kong is required. The applicant must possess a galvanising facility with the equipment listed above.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information, method statements and fully documented quality assurance system.

Satisfactory demonstrations.

Works must comply with Clause 18.53 to 18.60 and 18.61(2) of the General Specification for Civil Engineering Works.

Managing Department: Architectural Services Department

Works Category: Steam and Compressed Air Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of steam and compressed air installation including laundry equipment, boiler, steam distribution system, compressed air plant etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 4 (a) and 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the steam and	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the steam and compressed air installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the	compressed air installation contractor for the project work.	(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$1M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the steam and compressed air installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the

A. Entry on Probation	B. Confirmation	C. Direct Entry												
concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.		concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.
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(A) Mechanical Fitter <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Mechanical Fitter</td><td>20 marks</td></tr><tr><td>Intermediate Mechanical Fitter</td><td>15 marks</td></tr><tr><td>Ordinary Mechanical Fitter</td><td>8 marks</td></tr></table> (B) Electrician <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 28 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence	Minimum score required	20 marks	Qualified Mechanical Fitter	20 marks	Intermediate Mechanical Fitter	15 marks	Ordinary Mechanical Fitter	8 marks	Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks		(A) Mechanical Fitter <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Mechanical Fitter</td><td>20 marks</td></tr><tr><td>Intermediate Mechanical Fitter</td><td>15 marks</td></tr><tr><td>Ordinary Mechanical Fitter</td><td>8 marks</td></tr></table> (B) Electrician <table><tr><td>Minimum score required</td><td>20 marks</td></tr><tr><td>Qualified Electrician</td><td>20 marks</td></tr><tr><td>Intermediate Electrician</td><td>15 marks</td></tr><tr><td>Ordinary Electrician</td><td>8 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2 – 1 no. (minimum) The REW can be the Qualified Engineer, Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 28 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence	Minimum score required	20 marks	Qualified Mechanical Fitter	20 marks	Intermediate Mechanical Fitter	15 marks	Ordinary Mechanical Fitter	8 marks	Minimum score required	20 marks	Qualified Electrician	20 marks	Intermediate Electrician	15 marks	Ordinary Electrician	8 marks
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A. Entry on Probation	B. Confirmation	C. Direct Entry
(e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		(e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department : Highways Department

Works Category : Structural Steelwork **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category and class covers the fabrication and erection of structural steelwork for highway structures.

Direct Entry**1. Job Experience**

Satisfactory completion of at least 3 projects in the fabrication and erection of structural steelworks for permanent civil engineering or building structures in the past 3 years, each with a value of \$ 0.5 M or more. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

Not Applicable

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional and technical staff experienced in the design, fabrication and erection of structural steelwork.

Local workforce for erection of steelwork.

At least 3 qualified welders to BS 4570, BS EN287-1 or BS 4872:Part 1 as appropriate. Copies of their certificates are required.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Welding plant.
- b. Lifting crane.
- c. Drilling machine.
- d. Bending machine.
- e. Lathe.
- f. Shearing machine.
- g. Flame cutting machine.
- h. Plate rolling machine.
- i. Grit blasting equipment.
- j. Grinder.
- k. Planing, shaping and slotting machine.
- l. Milling machine.
- m. Boring and surfacing machines.
- n. Oven/cabinet with drying facilities for storing electrodes.

Direct Entry**6. Office/Workshop Facilities**

Local office in Hong Kong is required. Fabrication yard with the equipment listed above. The applicant may be required to arrange for a visit to the fabrication yard.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information, method statements and fully documented quality assurance and control system for fabrication and erection of steelwork. Works must comply with Section 18 of the General Specification for Civil Engineering Works.

Managing Department : Highways Department

Works Category : Supply and Installation of Bearings for Highway Structures
 Class I : Mechanical Bearings

Specialist Contractor

Brief Scope of Category/Class :

The scope of work in this category and class covers the supply and installation of mechanical bridge bearings for highway structures. The applicant will be included in this category and class for the supply and installation of a particular bearing proposed in the application. The bearing must be a proprietary product.

Direct Entry**1. Job Experience**

Satisfactory performance of the bearing in service. A list of job references where the bearing has been installed, together with at least 3 references from the clients or maintenance authorities for projects completed in the past 3 years, must be submitted. The number of bearings installed in each project must not be less than 6. The applicant may be required to arrange site visits to verify the references.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The manufacturer for the bearing shall be operating a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional and technical staff experienced in bridge design and installation of bearings.
Local workforce capable of installing the bearing. A mock-up installation may be required.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Equipment required for the installation of the bearing as specified by the manufacturer.
- b. Mechanical grout mixer.
- c. Mechanical grout pump.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements. The design, manufacture and installation must comply with Section 20: Part 2 of the General Specification for Civil Engineering Works and Section 9 of the Structures Design Manual for Highways and Railways. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. Technical and testing report from an approved independent organisation to confirm compliance with the above standards must be submitted.

The manufacturer for the bearing and the applicant must have established acceptable manufacturing and installation procedures and fully documented quality assurance systems. Visit to the factory may be required for this purpose. If such visits are not practicable, the applicant may be required to arrange for an independent report at his own cost.

Managing Department : Highways Department

Works Category	:	<u>Supply and Installation of Bearings for Highway Structures</u>	Specialist Contractor
Class <u>II</u>	:	<u>Elastomeric Bearings</u>	

Brief Scope of Category/Class :

The scope of work in this category and class covers the supply and installation of elastomeric bridge bearings for highway structures. The applicant will be included in this category and class for the supply and installation of a particular bearing proposed in the application. The bearing must be a proprietary product.

Direct Entry**1. Job Experience**

Satisfactory performance of the bearing in service. A list of job references where the bearing has been installed, together with at least 3 references from the clients or maintenance authorities for projects completed in the past 3 years, must be submitted. The number of bearings installed in each project must not be less than 6. The applicant may be required to arrange site visits to verify the references.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The manufacturer for the bearing shall be operating a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional and technical staff experienced in bridge design and installation of bearings.
Local workforce capable of installing the bearing. A mock-up installation may be required.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Equipment required for the installation of the bearing as specified by the manufacturer.
- b. Mechanical grout mixer.
- c. Mechanical grout pump.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

8. Others

Satisfactory technical information and method statements. The design, manufacture and installation must comply with Section 20: Part 2 of the General Specification for Civil Engineering Works and Section 9 of the Structures Design Manual for Highways and Railways. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. Technical and testing report from an approved independent organisation to confirm compliance with the above standards must be submitted.

The manufacturer for the bearing and the applicant must have established acceptable manufacturing and installation procedures and fully documented quality assurance systems. Visit to the factory may be required for this purpose. If such visits are not practicable, the applicant may be required to arrange for an independent report at his own cost.

Managing Department : Highways Department

Works Category : Supply and Installation of Expansion Joints for Highway Structures **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply and installation of expansion joints for vehicular bridges. The applicant will be included in this category for the supply and installation of a particular expansion joint proposed in the application. The expansion joint must be a proprietary product.

Direct Entry**1. Job Experience**

Satisfactory performance of the expansion joint in service. A list of job references where the expansion joint has been installed, together with at least 3 references from the clients or maintenance authorities for projects completed in the past 3 years, must be submitted. The number of expansion joints installed in each project must not be less than 3. The applicant may be required to arrange site visits to verify the references.

2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)

The manufacturer for the expansion joint shall be operating a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant professional and management experience and have sufficient commitment for control of the works.

4. Technical Staff

Professional and technical staff experienced in bridge design and installation of expansion joints.
Local workforce capable of installing the expansion joint. A mock-up installation may be required.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

- a. Equipment required for the installation of the expansion joint as specified by the manufacturer.
- b. Pneumatic breaker with compressor.
- c. Oven for melting binder.
- d. Welding equipment.
- e. Concrete vibrator.
- f. Mechanical mortar mixer.
- g. Generator.
- h. Concrete cutter.
- i. Gas burner.
- j. Air blower.

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

Direct Entry**8. Others**

Satisfactory technical information and method statements. The design, manufacture and installation must comply with Section 20: Part 4 of the General Specification for Civil Engineering Works and Section 11 of the Structures Design Manual for Highways and Railways. Other equivalent national standards may be considered in lieu of the standards referred to in the Specification. Technical and testing report from an approved independent organisation to confirm compliance with the above standards must be submitted.

The manufacturer for the expansion joint and the applicant must have established acceptable manufacturing and installation procedures and fully documented quality assurance systems. Visit to the factory may be required for this purpose. If such visits are not practicable, the applicant may be required to arrange for an independent report at his own cost.

Trial installation on a private/Government work site may be required. For the latter case, the trial will be subject to the applicant accepting the liability for replacing the joint with an approved joint should the joint be found unsatisfactory. The assessment period of the trial is 12 months.

Managing Department : Water Supplies Department

Works Category : Supply and Installation of Pumpsets and Associated Pipework **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the supply, fabrication, installation, testing, and delivery to site of pumpsets, pipework, fittings, valves and the associated equipment.

Definition of Probationary Status

Contractors complying with the criteria of 'Entry On Probation' will be admitted initially on probation and will then be promoted to confirmation status after having complied with the criteria of 'Confirmation'. Contractors complying with the criteria of 'Direct Entry' will be admitted directly to confirmation status.

A. Entry On Probation	B. Confirmation	C. Direct Entry
1. Job Experience Possess at least five years experience in the supply and installation of large pumping plant (with an input power requirement not less than 250kW), either in the capacity of a contractor or sub-contractor in private sector or Government contracts. The contractor should either have an agency agreement with a reputable pump manufacturer or have a close-link relation with (such as a subsidiary company of) ^a contractor with sufficient experience in the supply and installation of large pumping plant (with an input power requirement over 500kW) for direct technical support and services. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management ^{*(See Remarks on the end page of this Appendix)} At least one of the managers and professional staff should possess minimum qualification of corporate membership of a recognized professional institution in mechanical engineering discipline i.e. MIMechE, MHKIE or equivalent with relevant experience. 4. Technical Staff Minimum of three qualified technical and supervisory persons as well as 10 tradesmen/workers. The technical and supervisory staff should possess minimum qualification of Higher Certificate in Mechanical Engineering or equivalent with at least five years relevant experience.	Satisfactory completion of one contract without any adverse report for the duration (including the maintenance period) of the contract. The contract should consist of at least a large pumpset with an input power of 500 kW. Not Applicable The contractor can provide proof that the company's management capabilities remain the same or have become better than that at the time when the company was admitted to the List on probation. The contractor can provide proof that the company's technical capabilities remain the same or have become better than that at the time when the company was admitted to the List on probation.	Possess at least five years experience in the supply and installation of large pumping plant (with an input power requirement of 500kW and over), either in the capacity of a contractor or sub-contractor in private sector or Government contracts. Not Applicable At least one of the managers and professional staff should possess minimum qualification of corporate membership of a recognized professional institution in mechanical engineering discipline i.e. MIMechE, MHKIE or equivalent with relevant experience. Minimum of three qualified technical and supervisory persons ^{as} well as 10 tradesmen/workers. The technical ^{as} and supervisory staff should possess minimum qualification of Higher Certificate in Mechanical Engineering or equivalent with at least five years relevant experience.

A. Entry On Probation	B. Confirmation	C. Direct Entry
5. Plant and Equipment **(See Remarks on the end page of this Appendix) Not Applicable 6. Office/Workshop facilities A workshop in Hong Kong furnished with the necessary tools, specialised equipment and other supporting facilities. 7. Training Facilities Not Applicable 8. Others The Contractor should provide full details of the equipment supplied and installed under previous contracts to demonstrate his capability of complying with WSD's standard technical specification.	Not Applicable The contractor can provide proof that the company's workshop facilities remain the same or have become better than that at the time when the company was admitted to the List on probation. Not Applicable The Contractor should provide full details of the equipment supplied and installed under previous contracts to demonstrate his capability of complying with WSD's standard technical specification.	Not Applicable A workshop in Hong Kong furnished with the necessary tools, specialised equipment and other supporting facilities. Not Applicable The Contractor should provide full details of the equipment supplied and installed under previous contracts to demonstrate his capability of complying with WSD's standard technical specification.

Managing Department : Water Supplies Department

Works Category : Supply and Installation of Water Treatment Plant **Specialist Contractor**

Brief Scope of Category :

The scope of work in this category covers the design, manufacture and installation of water treatment plant in public supply systems for treating raw water to potable standard acceptable to the Water Supplies Department and for processing water treating effluent to a quality acceptable for disposal.

Definition of Probationary Status

Except in the most exceptional circumstances, a contractor will be admitted initially on probation.

A. Entry On Probation	B. Confirmation
1. Job Experience The applicant should possess a minimum of 10 years experience in the design, manufacture and installation of water treatment plant in public supply systems for treating raw water to potable standard acceptable to the Water Supplies Department and for processing water treatment effluent to a quality acceptable for disposal. Also, they should have completed successfully 2 water treatment works each of capacity at least 150 Mld in the past 10 years. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff The applicant should have an established organization comprising qualified professional and technical staff from Civil, Electrical, Mechanical and Chemical Engineering fields with at least 5 years relevant experience. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Not Applicable 6. Office/Workshop Facilities The applicant should have local supporting workshop facilities and allow inspection of such facilities by Government representatives. 7. Training Facilities Not Applicable 8. Others The applicant should have at least 3 years trading record with manufacturers who are able to supply specialized materials and equipment for the work and provide him with technical support when required.	The probationary contractor has satisfactorily completed one contract and he has not received any adverse report for the duration (including the maintenance period) of the contract. Not Applicable Not Applicable see item (8) Not Applicable see item (8) Not Applicable The probationary contractor can provide proof that the company's financial, technical and management capabilities have remained the same or have become better than the time when he was admitted on the List on probation.

Managing Department : Highways Department

Works Category : Supply of Bituminous Pavement Materials and Construction of
Special Bituminous Surfacing

Supplier / Specialist Contractor

Brief Scope of Category :

The scope of work in this category covers the supply of the bituminous pavement materials and the laying of the special bituminous surfacing as described in Works Branch Technical Circular No. 17/96.

Definition of Probationary Status

The probation period is 2 years. The probationary contractor will be assessed at the end of the probationary period on the basis of capability and performance locally to determine whether the contractor is eligible to be confirmed, or remains as a probationary contractor, or is required to be removed from the List.

A. Entry On Probation	B. Confirmation	C. Direct Entry
1. Job Experience Satisfactory completion of 1 to 3 projects in supply of bituminous pavement materials and construction of special bituminous surfacing in the past 3 years or in lieu of which, satisfactory completion of trial production and laying of bituminous pavement materials and/or special bituminous surfacing. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Not Applicable 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff Professional, technical staff and work force experienced in the supply of bituminous pavement materials and construction of special bituminous surfacing. 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate equipment required : a. Mixing plant having at least four separate cold feed bins, four hot storage bins, a rotary drum dryer, temperature monitoring devices, and sampling devices for taking samples of hot aggregates, fillers and bitumen before mixing. b. Heating and storage tank fitted with circulating pumps and thermostatically controlled heaters for bitumen. c. Heating and storage tank fitted with high shear mixer for pre-blended type of modified binder. d. Insulated surge bin fitted with heating devices to maintain temperature of the hot-mix.	The probationary contractor will be assessed at the end of the probationary period on the basis of capability and performance locally. The requirements are the same as those required for "Direct Entry".	Satisfactory completion of at least 3 projects in supply of bituminous pavement materials and construction of special bituminous surfacing in the past 3 years, demonstrating adequate management and technical support for a general supply of bituminous pavement materials to the local market. References on these projects from consulting engineers (architects or clients if there is no consulting engineer) must be submitted which may be verified by paying site visits. Not Applicable Not Applicable Professional, technical staff and work force experienced in the supply of bituminous pavement materials and construction of special bituminous surfacing. Adequate equipment required : a. Mixing plant having at least four separate cold feed bins, four hot storage bins, a rotary drum dryer, temperature monitoring devices, and sampling devices for taking samples of hot aggregates, fillers and bitumen before mixing. b. Heating and storage tank fitted with circulating pumps and thermostatically controlled heaters for bitumen. c. Heating and storage tank fitted with high shear mixer for pre-blended type of modified binder. d. Insulated surge bin fitted with heating devices to maintain temperature of the hot-mix.

A. Entry On Probation	B. Confirmation	C. Direct Entry
e. Measuring and weighing equipment for batching. f. Vehicles for transportation of bituminous materials. g. Self-propelled paving machine with a screw auger and attached screed. h. Smooth three-wheeled steel-wheeled roller with a mass of between 6 tonnes and 12 tonnes or vibratory tandem steel-wheeled roller with an effective mass of between 6 tonnes and 12 tonnes. i. Smooth pneumatic tyred-roller with a mass of between 12 tonnes and 25 tonnes, and with not less than seven overlapping wheels. j. Tack coat spraying machine. k. Mechanical rammers, vibrating plates and hand-tools for compaction work. l. Equipment for testing related to the production and laying of bituminous materials. 6. Office/Workshop Facilities Not Applicable 7. Training Facilities Not Applicable 8. Others a. Satisfactory technical information and method statements. Works including the design mix and details of composition of the materials must comply with Section 9 of General Specification for Civil Engineering Works and/or other specified requirements. Other equivalent national standards may be considered in lieu of the standards referred to in the Specifications.		e. Measuring and weighing equipment for batching. f. Vehicles for transportation of bituminous materials. g. Self-propelled paving machine with a screw auger and attached screed. h. Smooth three-wheeled steel-wheeled roller with a mass of between 6 tonnes and 12 tonnes or vibratory tandem steel-wheeled roller with an effective mass of between 6 tonnes and 12 tonnes. i. Smooth pneumatic tyred-roller with a mass of between 12 tonnes and 25 tonnes, and with not less than seven overlapping wheels. j. Tack coat spraying machine. k. Mechanical rammers, vibrating plates and hand-tools for compaction work. l. Equipment for testing related to the production and laying of bituminous materials. Not Applicable Not Applicable a. Satisfactory technical information and method statements. Works including the design mix and details of composition of the materials must comply with Section 9 of General Specification for Civil Engineering Works and/or other specified requirements. Other equivalent national standards may be considered in lieu of the standards referred to in the Specifications

A. Entry On Probation	B. Confirmation	C. Direct Entry
b. Acceptable manufacturing details of the bituminous pavement material and quality control procedure during manufacture. The applicant is also required to arrange visits to inspect the facilities where the bituminous pavement material is manufactured. Where such facilities are overseas and if it is not practical to carry out an inspection, the applicant may be required to arrange for an independent report on these aspects at his own cost. c. Satisfactory site demonstration in construction of special bituminous surfacing to demonstrate that the techniques and workmanship comply with the specified requirements. d. Proof of meeting building requirements and showing the proper land use of the bituminous material mixing plant from Buildings Department, Lands Department and Planning Department are required. e. The applicant must also meet the environmental requirements of Environmental Protection Department for the production of bituminous materials.		b. Acceptable manufacturing details of the bituminous pavement material and quality control procedure during manufacture. The applicant is also required to arrange visits to inspect the facilities where the bituminous pavement material is manufactured. Where such facilities are overseas and if it is not practical to carry out an inspection, the applicant may be required to arrange for an independent report on these aspects at his own cost. c. Satisfactory site demonstration in construction of special bituminous surfacing to demonstrate that the techniques and workmanship comply with the specified requirements. d. Proof of meeting building requirements and showing the proper land use of the bituminous material mixing plant from Buildings Department, Lands Department and Planning Department are required. e. The applicant must also meet the environmental requirements of Environmental Protection Department for the production of bituminous materials.

Managing Department: Architectural Services Department

Works Category: Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)

Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers the carrying out of examination and test to ensure that the pressure vessels are in safe working order and comply with the Boiler and Pressure Vessels Ordinance, Cap. 56.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and the surveys should preferably be of various types and classes as mentioned in the Boilers and Pressure Vessels (Forms) Order; and (2) The applicant shall provide documentary evidence to substantiate experience, such as copies of the Certificate of Fitness of the inspected vessels signed by a Qualified Boiler Inspector or Qualified Air Receiver Inspector of the applicant, contract agreement, correspondence etc.; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference; and <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 5 surveys, which were completed within the past 3 years for site inspection; and (5) At least 2 of the above 5 surveys shall be completed within the past 12 months or at final stage; and (6) The applicant shall be able to arrange joint site inspections for the government's examination of the quality of the submitted job reference within normal office hours; and (7) The scope of work for each of these 5 surveys shall cover the nature of works as described in the "Brief Scope of Category".

A. Entry on Probation	B. Confirmation	C. Direct Entry
		2. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of inspectors with adequate and relevant academic qualification and working experience. <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Qualified Boiler Inspector (QBI) appointed as Boiler Inspector under the Boilers and Pressure Vessels Ordinance Cap. 56 and holding the Certificate of Competency in respect of all classes and types of boilers mentioned in the Boilers and Pressure Vessel (Forms) Order, with appointment not having been suspended - 1 no. (minimum); OR — Qualified Air Receiver Inspector (QARI) appointed as Air Receiver Inspector under the Boilers and Pressure Vessels Ordinance Cap. 56 and holding the Certificate of Competency in respect of all classes and types of air receiver mentioned in the Boilers and Pressure Vessels (Forms) Order, with appointment not having been suspended – 1 no. (minimum). Documentary proof of the registration issued by the Boiler and Pressure Vessel Authority should be provided. 3. Plant and Equipment ^{**}(See Remarks on the end page of this Appendix) Adequate nos. of calibrated testing instruments and equipment/tools for carrying out examination and test; valid calibration certificates for testing instruments/equipment shall be available. Refer to Annex 29 for list of typical equipment, tools and testing instruments required.

A. Entry on Probation	B. Confirmation	C. Direct Entry
		4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 20 m² and the minimum workshop + storage area shall be 20 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department: Architectural Services Department

Works Category: Survey of Government Land Steam Boilers **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the carrying out of examination and test to ensure that steam boilers are in safe working order and comply with the Boiler and Pressure Vessels Ordinance.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and the surveys should preferably be of various types and classes as mentioned in the Boilers and Pressure Vessels (Forms) Order; and (2) The applicant shall provide documentary evidence to substantiate experience, such as copies of the Certificate of Fitness of the inspected vessels signed by a Qualified Boiler Inspector of the applicant, contract agreement, correspondence etc.; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 5 surveys, which were completed within the past 3 years for site inspection; and (5) At least 2 of the above 5 surveys shall be completed within the past 12 months or at final stage; and (6) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours. (7) The scope of work for each of these 5 surveys shall cover the nature of works as described in the "Brief Scope of Category".

A. Entry on Probation	B. Confirmation	C. Direct Entry
		2. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of inspectors with adequate and relevant academic qualification and working experience. <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Qualified Boiler Inspector (QBI) appointed as Boiler Inspector under the Boilers and Pressure Vessels Ordinance Cap. 56 and holding the Certificate of Competency in respect of all classes and types of boilers mentioned in the Boilers and Pressure Vessel (Forms) Order, with appointment not having been suspended – 1 no. (minimum) Documentary proof of the registration issued by the Boiler and Pressure Vessel Authority should be provided. 3. Plant and Equipment **(See Remarks on the end page of this Appendix) Adequate nos. of calibrated testing instruments and equipment/tools for carrying out examination and test; valid calibration certificates for testing instruments/equipment shall be available. Refer Annex 30 for list of typical equipment, tools and testing instruments required. 4. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 20 m² and the minimum workshop

A. Entry on Probation	B. Confirmation	C. Direct Entry
		+ storage area shall be 20 m ² . Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department: Architectural Services Department

Works Category: Survey of Lifting Appliances and Lifting Gear

Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers the carrying out of examination and test to ensure that lifting appliances and lifting gears are in safe working order and comply with the Factories and Industrial Undertakings (Lifting Appliances and Lifting Gear) Regulations.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and the surveys must be relevant and should preferably for various types of lifting appliances and lifting gear. Both thorough examination and proof load test should be included in the job records. Also at least one survey should be for crane with automatic safe load indicator. (2) The applicant shall provide documentary evidence to substantiate experience, such as copies of the certificate of test and thorough examination issued after the survey in the approved format under the Regulations signed by the Qualified Competent Examiner should be produced for inspection; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall have at least 5 surveys, which were completed within past 3 years for site inspection; and (5) At least 2 of the above 5 surveys shall be completed within the past 12 months or at final stage; and (6) The applicant shall be able to arrange joint site inspections for the government's examination of the quality of the submitted job reference within normal office hours; and (7) The scope of work for each of these 5 surveys shall cover the nature of works as described in the "Brief Scope of Category".

A. Entry on Probation	B. Confirmation	C. Direct Entry
		2. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of inspectors with adequate and relevant academic qualification and working experience. <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Qualified Competent Examiner (QCE) for lifting appliances and lifting gear in accordance with the Factory and Industrial Undertakings (Lifting Appliances and Lifting Gear) Regulations Cap 59J (hereinafter referred to as the Regulations). The Competent Examiner should be a Registered Professional Engineer registered under the Engineers Registration Ordinance within the Mechanical or Marine discipline – 1 no. (minimum). Documentary proof of the registration issued by the Engineers Registration Board should be provided. 3. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate nos. of calibrated testing instruments and equipment/tools for carrying out examination and test; valid calibration certificates for testing instruments/equipment shall be available. Refer Annex 31 for list of typical equipment, tools and testing instruments required. 4. Office/Workshop Facilities Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 20 m² and the minimum workshop + storage area shall be 20 m². Documentary evidence

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(e.g. purchase/lease agreement) to prove right of use shall be produced.

Managing Department: Architectural Services Department

Works Category: Swimming Pool Water Treatment Installation **Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of equipment, piping and fittings for water treatment and distribution of swimming pool such as water circulation, filtration, pH control, chemical treatment, sterilization, disinfection, leisure pool, hydrotherapy pool, pool lighting installation, etc.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$34 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (4) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$5M; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 4 (a) to 4 (b) shall be fulfilled in one works order. (5) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the	Not Applicable.

A. Entry on Probation	B. Confirmation	C. Direct Entry
(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$10M; and (b) The contract shall cover major scope of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the swimming pool water treatment installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the	concerned project, all shall not be the swimming pool water treatment installation contractor for the project work.	

A. Entry on Probation	B. Confirmation	C. Direct Entry						
concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Qualified Engineer</u> Employ at least 1 no. qualified engineer (Mechanical and Building Services discipline) with adequate and relevant professional and project management experience. <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>2 nos.</td></tr><tr><td>Site supervisor</td><td>2 nos.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of craftsman in the following trades	Technician	2 nos.	Site supervisor	2 nos.	Draftsman	1 no.		
Technician	2 nos.							
Site supervisor	2 nos.							
Draftsman	1 no.							

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A. Entry on Probation	B. Confirmation	C. Direct Entry
operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 32 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 30 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.		

Managing Department : Highways Department

Works Category : Transparent Panels for Noise Barriers on Highways **Supplier**
[formerly named as “Prefabricated Architectural Walls and Finishes (Screens, Sound Barriers and Retaining Walls)”]

Brief Scope of Category :

The scope of work in this category covers the supply of transparent panels for noise barriers on highways. The materials shall be of suitable mechanical and acoustic properties, and proven performance and durability. They shall functionally and aesthetically fit with the structural system of the noise barriers, and shall also perform safely in fire and traffic accidents and satisfactorily in glare reduction.

Direct Entry**1. Job Experience**

The transparent panels shall have successfully performed in at least 1 project for noise barriers on highways or similar works in Hong Kong in the past 3 years, each with a value of \$0.5M or more. References on these projects from consulting engineer (architects or clients if there is no consulting engineer) must be submitted, which may be verified by site visits.

2. Registration with relevant authorities in Hong Kong (such as ISO9000 Certification, Building Authority etc.)

The transparent panels shall be manufactured under a quality management system certified by an internationally recognized certifying body.

3. Top Management *(See Remarks on the end page of this Appendix)

Top management shall possess relevant technical and managerial experience in the design and construction of noise barriers on highways.

4. Technical Staff

Professional and technical staff experienced in the design and construction of noise barriers on highways are required.

5. Plant and Equipment ** (See Remarks on the end page of this Appendix)

Not Applicable

6. Office/Workshop Facilities

Local office in Hong Kong is required.

7. Training Facilities

Not Applicable

Direct Entry**8. Others**

Satisfactory technical information, including testing reports from independent organizations, shall be submitted, to demonstrate that the transparent panels and their any accessories shall meet the principles and considerations given in the Bridges & Structures Division Practice Note No. BSTR/PN/003 – Noise Barriers with Transparent Panels, issued by the Highways Department or equivalent national standards.

The materials to be approved shall possess acceptable application history of at least 5 years in weathering conditions similar to Hong Kong climate, and be subject to a 10-year performance warranty.

Note : The Bridges & Structures Division Practice Note No. BSTR/PN/003 referred to in item 8 above is available on Highways Department's website at <http://www.hyd.gov.hk>.

Managing Department : **Architectural Services Department**

Works Category : **Turn-key Interior Design & Fitting-out Works** **Specialist Contractor**

Group I : Eligible to be awarded one contract at any one time as a Trade Test.

Group II : Eligible to be awarded more than one contract at any one time.

Brief Scope of Category :

The scope of work in this category covers the design and fitting-out works for Government department/bureaux.

Group I	Group II
A. Direct Entry	A. Direct Entry
1. Job Experience At least 3 major local projects in design and fitting-out works of value above \$5M completed in the past 5 years and one of which shall exceed \$15M. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) The applicant must be an approved contractor under Buildings category in the List of Approved Contractors for Public Works. 3. Top Management *(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer as BS Coordinator (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four foremen each with at least five years' experience in construction industry; six carpenters/skill workers; three qualified quantity surveying staff (Ordinary Certificate in Building Studies); four accounting staff 5. Plant and Equipment ** (See Remarks on the end page of this Appendix) Not Applicable 6. Office/Workshop Facilities A design office and workshop suitable for the nature of work. Local office and local workshop in Hong Kong are required. 7. Training Facilities Not Applicable 8. Others - supporting facilities from suppliers/ manufacturers/agents - regular sub-contractors	Not Applicable

Group I	Group II
	B. Entry by Promotion
	1. Job Experience (1) Satisfactory completion of the Trade Test (satisfactory completion of at least one ArchS contract or 1st tier sub-contract under this Works Category within the past 5 years and of value above \$10M) and have good result in the full Performance Assessment (2) Sub-contract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The sub-contract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the sub-contract, solely and fully, including contract management. In other words, the applicant shall not further sublet the whole sub-contract; and (c) The sub-contract shall be signed between the applicant and the main contractor which is the company awarded with the direct contract by the employer of the concerned project; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be supported by all the relevant upstream contracting parties including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the sub-contract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.

	2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) The applicant must be an approved contractor under Buildings category in the List of Approved Contractors for Public Works. 3. Top Management **(See Remarks on the end page of this Appendix) Not Applicable 4. Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer as BS Coordinator (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four foremen each with at least five years' experience in construction industry; six carpenters/skill workers; three qualified quantity surveying staff (Ordinary Certificate in Building Studies); four accounting staff 5. Plant and Equipment **(See Remarks on the end page of this Appendix) Not Applicable 6. Office/Workshop Facilities A design office and workshop suitable for the nature of work 7. Training Facilities Not Applicable 8. Others - supporting facilities from suppliers/ manufacturers/agents - regular sub-contractors
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Managing Department: Architectural Services Department

Works Category: Uninterruptible Power Supply Installation Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of static-type, uninterruptible power supply (UPS) systems together with the associated batteries, control and monitoring accessories, which are mainly deployed to support computer operations.

A. Entry on Probation	B. Confirmation	C. Direct Entry
Not Applicable.	Not Applicable.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) All statutory forms such as the Work Completion (Part of an Installation) Certificate (i.e. Form WR1 (A)) shall be issued under the name of the applicant; and (8) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and

A. Entry on Probation	B. Confirmation	C. Direct Entry
		(9) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The UPS rating in at least one of the above 2 contracts should be of 80kVA or above; and (c) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (10) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the uninterruptible power supply system contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing

A. Entry on Probation	B. Confirmation	C. Direct Entry												
		Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Registered Electrical Contractor registered under Electricity Ordinance, Cap. 406 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> Employ adequate nos. of Electronics Craftsman <table><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electronics Craftsman</td><td>20 marks</td></tr><tr><td>Ordinary Electronics Craftsman</td><td>10 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements:	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Minimum score required	40 marks	Qualified Electronics Craftsman	20 marks	Ordinary Electronics Craftsman	10 marks
Technician	1 no.													
Site supervisor	1 no.													
Draftsman	1 no.													
Minimum score required	40 marks													
Qualified Electronics Craftsman	20 marks													
Ordinary Electronics Craftsman	10 marks													

A. Entry on Probation	B. Confirmation	C. Direct Entry
		— Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 1 no. (minimum) The REW can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 33 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 40 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Managing Department: Architectural Services Department

Works Category: Video Electronics Installation Specialist Contractor

Brief Scope of Category:

The scope of work in this category covers the supply, installation and maintenance of video cassette recorder, video camera, monitor etc. commonly used for closed circuit TV system, video recording/display system and visual system at different venues.

Definition of Probationary Status[#] (Para. 3.5.3 is not applicable for this category)

Eligible for the award of a maximum of two contracts/subcontracts provided that the total value of works in this category does not exceed \$3.4 million

[#] See Remarks (1) on the end page of this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage. (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements: (a) Contract value of the work related to the	(1) The applicant has satisfactorily completed, within the past 12 months, at least one public works contract let by a Works Department; and (2) This contract shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (3) The scope of work for this contract must fulfill all the following requirements: (a) Contract value of the work related to the category under application for confirmation exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and (c) If the contract is a term contract, all of the above requirements 3 (a) and 3 (b) shall be fulfilled in one works order. (4) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the "Brief Scope of Category" covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the video electronics installation contractor for the project work.	1. Job Experience <u>General</u> (1) The applicant shall have adequate experience in the type and size of work of the category, with satisfactory quality of work compatible with Government standard; and (2) The applicant shall have adequate experience in contract management of work of the category, solely and fully, including coordination with building contractor and other building services / electrical and mechanical contractors; and (3) For job experience outside the HKSAR, evidences as stipulated under para. 2.4.5 of the CMH must also be produced to the satisfaction of the Secretary for the Environment, Transport and Works; otherwise, it will not be considered as a valid job reference. <u>Job Reference for Inspection</u> (In addition to the above, every job submitted by the applicant shall fulfill all requirements set out below; otherwise, it will not be considered as a valid job reference) (4) The applicant shall submit at least 2 contracts, which were completed within the past 3 years for site inspection; and (5) At least one of the above 2 contracts shall be completed within the past 12 months or at final stage; and (6) These 2 contracts shall be direct contract, which was signed between the applicant and the employer of the concerned project; and (7) The applicant shall be able to arrange joint site inspections for the government's examination of the quality and workmanship of the submitted job reference within normal office hours; and (8) The scope of work for each of these 2 contracts must fulfill all of the following requirements:

A. Entry on Probation	B. Confirmation	C. Direct Entry
category under application for inclusion exceeds \$0.2M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the video electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.		(a) Contract value of the work related to the category under application for inclusion exceeds \$0.5M; and (b) The contract shall cover the nature of works as described in the “Brief Scope of Category”. (9) Subcontract will not be considered as valid job reference unless it can satisfy all of the following requirements, in addition to all the above stated requirements: (a) The subcontract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and (b) The applicant shall have undertaken the full scope of work covered in the subcontract, solely and fully, including contract management; and (c) The party by which the applicant is awarded with the subcontract, and the upstream contracting parties up to and including the main contractor, which is the company awarded with the direct contract by the employer of the concerned project, all shall not be the video electronics installation contractor for the project work; and (d) The applicant must present documentary evidence to prove the above requirements are met and such evidence must be substantiated by all the relevant upstream contracting parties as mentioned at (c) above including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and (e) Notwithstanding the above, the Managing Department may seek references on the applicant’s technical and managerial capabilities from the employer, the relevant parties of the concerned project and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant

A. Entry on Probation	B. Confirmation	C. Direct Entry																												
2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Licensed Security Company engaged in Type III Security Work under Security and Guarding Services Ordinance, Cap. 460 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> <table><tr><td>Employ adequate nos. of Electronics Craftsman</td><td></td></tr><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electronics Craftsman</td><td>20 marks</td></tr><tr><td>Ordinary Electronics Craftsman</td><td>10 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Security Personnel (SP) holding Security Personnel Permit (Cat. D) issued under Security and Guarding Services Ordinance, Cap 460 – 1 no. (minimum)	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Employ adequate nos. of Electronics Craftsman		Minimum score required	40 marks	Qualified Electronics Craftsman	20 marks	Ordinary Electronics Craftsman	10 marks		parties of the concerned project. 2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) <u>Statutory Registration</u> The applicant shall be a Licensed Security Company engaged in Type III Security Work under Security and Guarding Services Ordinance, Cap. 460 and have full time technical staff (meeting the relevant statutory registration requirement) of number not less than that described in the Section “Technical Staff”. 3. Technical Staff (See Annex 1 for definition of Staff Qualification) <u>Technical Support Staff</u> Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. <table><tr><td>Technician</td><td>1 no.</td></tr><tr><td>Site supervisor</td><td>1 no.</td></tr><tr><td>Draftsman</td><td>1 no.</td></tr></table> <u>Craftsman</u> <table><tr><td>Employ adequate nos. of Electronics Craftsman</td><td></td></tr><tr><td>Minimum score required</td><td>40 marks</td></tr><tr><td>Qualified Electronics Craftsman</td><td>20 marks</td></tr><tr><td>Ordinary Electronics Craftsman</td><td>10 marks</td></tr></table> <u>Statutory Registration</u> The applicant shall have staff meeting the following statutory registration requirements: — Security Personnel (SP) holding Security Personnel Permit (Cat. D) issued under Security and Guarding Services Ordinance, Cap 460 – 1 no. (minimum)	Technician	1 no.	Site supervisor	1 no.	Draftsman	1 no.	Employ adequate nos. of Electronics Craftsman		Minimum score required	40 marks	Qualified Electronics Craftsman	20 marks	Ordinary Electronics Craftsman	10 marks
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Minimum score required	40 marks																													
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Ordinary Electronics Craftsman	10 marks																													

A. Entry on Probation	B. Confirmation	C. Direct Entry
The SP can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer to Annex 34 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.		The SP can be the Technical Support Staff or Craftsman. 4. Plant and Equipment ** (See Remarks on the end page of this Appendix) Adequate modern drafting and computing facilities; minimum 1 no. CAD terminal. Adequate nos. of calibrated testing instruments and equipment/tools for carrying out installation, operation, maintenance and testing/commissioning services; valid calibration certificates for testing instruments shall be available. Refer Annex 34 for list of typical equipment/tools and testing instruments required. 5. Office/Workshop Facilities Local office/workshop in Hong Kong SAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 40 m² and the minimum workshop + storage area shall be 25 m². Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. 6. Others <u>Authorized Agency</u> Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. <u>Support from Principal</u> Technical support from principal(s) of relevant agency is desirable. Applicant to demonstrate scope and extent (such as design, backup on installation / maintenance etc.) of support.

Remarks :

- * Top management shall be the President, Chairman, Director, Managing Director, Executive Director or General Manager etc.
- ** The plant and equipment requirements are subject to modification as technology advances and as new plant emerges. Furthermore, the type of materials and method of application that the contractors select will dictate the plant required.
- (1) The outstanding value instead of the total value of works is to be used for checking compliance with the tender limits for probationary contractors. The outstanding value of works in an existing contract shall be the difference between the original contract sum and the aggregate of all payments certified under the contract up to and including the date set for the close of tender or, if this has been extended, the extended date for the contract being procured. The outstanding value shall be taken as zero if the original contract sum is less than the aggregate of all payments certified.
- (2) The new tender/contract limits effective as from 17 July 2009 will not affect the group limits and the minimum contract value referred to in the contract experience requirement set out in this Appendix for assessing applications for admission, confirmation or promotion of contractors in the relevant categories, groups and status of the Specialist List until further notice.

ANNEX 1 Staff Qualification for Specific Categories

Works Categories:

- Air-conditioning Installation
- Audio Electronics Installation
- Broadcast Reception Installation
- Burglar Alarm and Security Installation
- Catering Equipment Installation
- Diesel Generator Installation
- Electrical and Mechanical Installation for Sewage Treatment & Screening Plant
- Electrical Installation
- Electronic Timing and Display Installation
- Fire Service Installation
- Fountain Installation
- Industrial Type Electrical Installation
- Lift, Escalator and Passenger Conveyor Installation
- Liquefied Petroleum Gas Installation
- Low Voltage Cubicle Switchboard Installation
- Mechanical Handling and Lifting Installation
- Mechanical Plant and Equipment Installation
- Motor Vehicle Body-building and Painting
- Plumbing Installation
- Radio Electronics Installation
- Steam and Compressed Air Installation
- Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)
- Survey of Government Land Steam Boilers
- Survey of Lifting Appliances and Lifting Gear
- Swimming Pool Water Treatment Installation
- Uninterruptible Power Supply Installation
- Video Electronics Installation

1. To count as staff, individuals must be full time employees of the applicant and must be resident Hong Kong ID Card holders or Works Visa holders, and the practice must constitute their principal source of employment. Documentary evidence such as self-declaration letter specifying full-time employment with the company, bank payroll statement, Mandatory Provident Fund (MPF) contribution record, Employer's Return of Remuneration and Pensions to Inland Revenue Department, etc. shall be produced.
2. The Qualified Engineer shall be
 - a corporate member of the Hong Kong Institution of Engineers elected after 5 December 1975 with discipline relevant to category under application and with a minimum 2 years post-qualification experience in HKSAR, or
 - a Registered Professional Engineer (Engineer Registration Ordinance, Cap. 409) with discipline relevant to category under application.

3. The Technician shall have
 - an ordinary diploma or ordinary certificate of discipline relevant to the category under application from a Hong Kong polytechnic, technical college or technical institute, or equivalent, with 5 years' relevant experience in HKSAR, or
 - a higher diploma or higher certificate of discipline relevant to the category under application from a Hong Kong polytechnic, technical college or technical institute, or equivalent, with 3 years' relevant experience in HKSAR, or
 - a degree of discipline relevant to the category under application from a Hong Kong university, or equivalent, with 2 years' relevant experience in HKSAR.

The Site supervisor shall have a minimum of 2 years' relevant experience in site supervision in HKSAR.

The Draftsman shall have relevant experience in drawing preparation and use of CAD terminal.

For the category of "Motor Vehicle Body-building and Painting" only, the Technician may be exempted from the above certificate/diploma/degree requirement should he have not less than 15 years' proven adequate experience.

4. The Draftsman can be the Qualified Engineer, Technician or Site supervisor, but in that case, the manpower resource for the respective rank of staff shall be increased accordingly, i.e. the total nos. of technical support staff required shall remain the same.
5. The Craftsman shall have a minimum of 2 years' working experience in HKSAR. The definitions of Qualified Tradesman and Intermediate Tradesman under the requirements of "Craftsman" shall refer to those specified in *Works Bureau Technical Circular (WBTC) No. 13/2002*. Ordinary Tradesman refers to experienced craftsman in the relevant trade not meeting the qualifications specified in the above-mentioned WBTC. For easy reference, the definitions of Qualified Tradesman and Intermediate Tradesman are extracted as follows. In case of deviations from future amendments, the latest version of the above WBTC shall prevail.

(i) Qualified Electrician means:

- an electrician who has obtained the Trade Test Certificate of "Electrician" issued by VTC; or
- an electrician who has obtained the Certificate of Completion of Apprenticeship of "Electrical / Electrician or Electrical Fitter" issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR; or

- an electrician who is a registered electrical worker registered under Electricity Ordinance (Cap. 406).
- (ii) Intermediate Electrician means:
 - an electrician who has obtained relevant Intermediate Trade Certificate of “Electrical Work” issued by VTC; or
 - a Qualified Tradesman as Lift Electrician.
- (iii) Qualified Plumber means:
 - a plumber who has obtained the Trade Test Certificate of “Plumber” issued jointly by VTC & CITA; or
 - a plumber who has obtained the Certificate of Completion of Apprenticeship of “Plumber” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR; or
 - a plumber who is a licenced plumber registered under Waterworks Ordinance, Cap. 102.
- (iv) Intermediate Plumber means a plumber who has obtained relevant Intermediate Trade Certificate of “Plumber” issued by CITA.
- (v) Qualified BS Mechanic means a mechanic who has obtained the Certificate of Completion of Apprenticeship of “Building Services Mechanic” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (vi) Intermediate BS Mechanic means:
 - a mechanic who has obtained Intermediate Trade Certificate of any one of “Electrical Work, Sheet Metal Work, Mechanical Fitting, Pipe Works (E&M) or Welding (E&M)” issued by VTC; or
 - a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Fire Services Mechanic, Lift Electrician, Lift Mechanic, Mechanical Fitter, Refrigeration/Air-Conditioning/Ventilation Mechanic or Sheet Metal Worker.
- (vii) Qualified AC Mechanic means:
 - a mechanic who has obtained the Trade Test Certificate of “Refrigeration/Air-Conditioning/Ventilation Mechanic” issued by VTC, or
 - a mechanic who has obtained the Certificate of Completion of Apprenticeship of “Air-Conditioning or Refrigeration/Air-Conditioning/Ventilation Mechanic” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (viii) Intermediate AC Mechanic means:
 - a mechanic who has obtained relevant Intermediate Trade Certificate of “Electrical Work, Sheet Metal Work, Mechanical Fitting, Pipe Works (E&M) or Welding (E&M)” issued by VTC; or
 - a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Building Services Mechanic, Fire Services Mechanic, Lift Electrician, Lift Mechanic, Mechanical Fitter or Sheet Metal Worker.
- (ix) Qualified FS Mechanic means a mechanic who has obtained the Certificate of Completion of Apprenticeship of “Fire Services Mechanic” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.

- (x) Intermediate FS Mechanic means:
- a mechanic who has obtained Intermediate Trade Certificate of any one of “Electrical Work, Mechanical Fitting or Pipe Works (E&M)” issued by VTC; or
 - a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Building Services Mechanic, Lift Electrician, Lift Mechanic, Mechanical Fitter, Refrigeration/Air-Conditioning/Ventilation Mechanic or Sheet Metal Worker.
- (xi) Qualified Lift Electrician means a mechanic who has obtained the Certificate of Completion of Apprenticeship of “Lift Electrician” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (xii) Intermediate Lift Electrician means:
- a mechanic who has obtained Intermediate Trade Certificate of “Electrical Work” issued by VTC; or
 - a Qualified Tradesman as Electrician/Electrical Fitter.
- (xiii) Qualified Lift Mechanic means a mechanic who has obtained the Certificate of Completion of Apprenticeship of “Lift Mechanic” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (xiv) Intermediate Lift Mechanic means:
- a mechanic who has obtained Intermediate Trade Certificate of “Mechanical Fitting” issued by VTC; or
 - a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Building Services Mechanic, Fire Services Mechanic, Lift Electrician, Mechanical Fitter, Refrigeration/Air-Conditioning/Ventilation Mechanic or Sheet Metal Worker.
- (xv) Qualified Mechanical Fitter means:
- a fitter who has obtained the Trade Test Certificate of “Mechanical Fitter” issued by VTC, or
 - a fitter who has obtained the Certificate of Completion of Apprenticeship of “Mechanical or Mechanical Fitter” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (xvi) Intermediate Mechanical Fitter means:
- a fitter who has obtained Intermediate Trade Certificate of “Mechanical Fitting” issued by VTC; or
 - a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Building Services Mechanic, Fire Services Mechanic, Lift Electrician, Lift Mechanic, Refrigeration/Air-Conditioning/Ventilation Mechanic or Sheet Metal Worker.
- (xvii) Qualified Sheet Metal Worker means a worker who has obtained the Certificate of Completion of Apprenticeship of “Sheet Metal Worker” issued under the Apprenticeship Ordinance (Cap. 47) or issued by the Government of the HKSAR.
- (xviii) Intermediate Sheet Metal Worker means:
- a fitter who has obtained Intermediate Trade Certificate of “Sheet Metal Worker” issued by VTC; or

- a Qualified Tradesman as any one of an Electrician/Electrical Fitter, Building Services Mechanic, Fire Services Mechanic, Lift Electrician, Lift Mechanic, Mechanical Fitter or Refrigeration/Air-Conditioning/Ventilation Mechanic.
6. Qualified welder means a welder who has certificate issued by a testing laboratory within the past 6 months conforming to the following standards for pipe weld:
- BS EN 287 or other equivalent international standards for the approval testing of welders for fusion welding, or
 - BS EN 288 or other equivalent international standards for welding procedures of metallic materials.
7. Electronics Craftsman
- A Qualified Electronics Craftsman is a craftsman who has obtained a relevant electronics certificate issued by recognized institutions e.g. VTC or CITA or has obtained relevant certificate of completion of apprenticeship issued by recognized organizations.
8. Craftsman for Motor Vehicle Body-building and Painting
- (i) A Qualified Body Repairer/Builder is a craftsman who has obtained a relevant vehicle body repair/building certificate issued by recognized institutions e.g. VTC or CITA or has obtained relevant certificate of completion of apprenticeship issued by recognized organizations.
 - (ii) A Qualified Vehicle Mechanic is a craftsman who has obtained a relevant vehicle mechanic certificate issued by recognized institutions e.g. VTC or CITA or has obtained relevant certificate of completion of apprenticeship issued by recognized organizations.
 - (iii) A Qualified Vehicle Electrician is a craftsman who has obtained a relevant vehicle electrician certificate issued by recognized institutions e.g. VTC or CITA or has obtained relevant certificate of completion of apprenticeship issued by recognized organizations.
 - (iv) A Qualified Vehicle Painter is a craftsman who has obtained a relevant vehicle painting certificate issued by recognized institutions e.g. VTC or CITA or has obtained relevant certificate of completion of apprenticeship issued by recognized organizations.

ANNEX 2 List of Tools / Equipment and Testing Instruments for Air-conditioning Installation Category

Item of Assessment	Minimum Requirements		Remarks
	Group I	Group II	
Flow meters & pressure gauges	1	2	
Sound level meter	1	1	With full spectrum and complete with tester/frequency generator
Hydraulic pump with pressure gauges	1	2	
Hot wire anemometer	1	2	Accompanied with diffuser measuring hood
Welding machine	1	2	
Threading machine	1	2	
Bending machine	1	2	
Drilling machine	1	2	
Mercury manometers	1	2	
Tachometer	1	2	
Smoke generator	1	2	
Voltmeter	1	2	
Ammeter	1	2	One set can be tong tester
Air quality tester	1	1	“Andersen Sampler” or equivalent
Dial gauges	1	2	With appropriate scales
Refrigerant leakage tester	1	1	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 3 List of Tools / Equipment and Testing Instruments for Audio Electronics Installation Category

Item of Assessment	Minimum Requirements	Remarks
Digital voltage meter (DVM)	1	
Oscilloscope	1	
Signal generator	1	
Sound level meter	1	
Audio signal level meter	1	
Distortion analyzer	1	
Test / Maintenance workbench	1	Suitably equipped with test equipment, power sockets, inspection lamp, etc. for ready set-up, testing, fine-tuning and maintenance of equipment
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 4 List of Tools / Equipment and Testing Instruments for Broadcast Reception Installation Category

Item of Assessment	Minimum Requirements	Remarks
Multi-tester (AVO)	1	
Insulation tester	1	
Electric drill	1	
Basic workshop tools (electronics)	1 lot	
Basic testing instruments (electronics)	1 lot	
Proof of regular calibration (for instrument only) , e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 5 List of Tools / Equipment and Testing Instruments for Burglar Alarm and Security Installation Category

Item of Assessment	Minimum Requirements	Remarks
Multi-tester (AVO)	1	
Insulation tester	1	
Electric drill	1	
Basic workshop tools (electronics)	1 lot	
Basic testing instruments (electronics)	1 lot	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 6 List of Tools / Equipment and Testing Instruments for Catering Equipment Installation Category

Item of Assessment	Minimum Requirements	Remarks
Hydraulic press	1	
Rolling machine	1	
Angle bender	1	
Welding machine	1	
Drilling machine	1	
Shaping machine	1	
Shearing machine	1	

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 7 List of Tools / Equipment and Testing Instruments for Diesel Generator Installation Category

Item of Assessment	Minimum Requirements	Remarks
Continuity tester	2	
Earth loop impedance tester	2	
Earth resistance tester	2	
Insulation tester	2	
Multi-meter	2	
Clamp-on ammeter	2	
Sound level meter	2	
Synchronizing tachometer	2	
Phase sequence tester	2	
Resistor bank	1	
Hydraulic tester	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 8 List of Tools / Equipment and Testing Instruments for Electrical & Mechanical Installation for Sewage Treatment and Screening Plant Category

Item of Assessment	Minimum Requirements	Remarks
Welding equipment	2	
Drilling machine	1	
Metal cutting machine	1	
Lathe	1	
Milling machine	1	
Shaping machine	1	
Abrasive wheels	1	
Pipe threading and bending machines	1	
Portable generator	1	
Sewage/sludge pump	1	
Gas detectors	2	Capable of measuring oxygen deficiency, explosive gas, hydrogen sulphide and carbon monoxide
Non-spark hand tools	1 set	The tools should be safe for working in gas risk areas
Portable air blower	1	Complete with portable air duct and the transformation piece
Metal scaffolding	1 set	The assembly should include the platforms, accessing ladders and guard railings
Non-contact thermometer	1	
Integrated sound level meter	1	
Paint thickness gauge	1	
Portable air flow meter	1	
Earth loop impedance tester	1	

Item of Assessment	Minimum Requirements	Remarks
Earth resistance tester	1	
Insulation tester	1	500 V D.C. injection voltage
Multi-meter	2	
Clamp-on ammeter	2	
Voltmeter	2	
Conduit bender and cutter	1	
Continuity tester	1	
RCD tester	1	
Phase sequence tester	1	
Illumination meter	1	
D.C. voltage and current injection set	1	For the calibration of instruments (0 - 1 A D.C. and 0 - 10 V D.C.)
Hydraulic compression tool	1 set	Capable of jointing power supply cable to the cable lugs
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 9 List of Tools / Equipment and Testing Instruments for Electrical Installation Category

Item of Assessment	Minimum Requirements			Remarks
	Group I	Group II	Group III	
Conduit bender	1	2	3	
Conduit cutter	1	2	3	
Continuity tester	1	2	3	
Earth loop impedance tester	1	2	3	
Earth resistance tester	1	2	3	
Insulation tester	1	2	3	
Multi-tester (AVO)	1	2	3	
Clamp-on ammeter	1	2	3	
RCD tester	1	1	2	
Ductor tester	-	-	1	
Applied voltage tester	1	1	1	
Electric hammer	1	2	3	
Welding equipment	1	1	1	
Lux meter	1	1	1	
Cable jointer	May be exempted	1	1	
Metal cutter	May be exempted	1	1	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	Required	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 10 List of Tools / Equipment and Testing Instruments for Electronic Timing and Display Installation Category

Item of Assessment	Minimum Requirements	Remarks
Digital Voltage Meter (DVM)	1	
Oscilloscope	1	
Computer set or suitable test set for programming of display patterns	1	
Light meter	1	
Test/Maintenance workbench	1	Suitably equipped with test equipment, power sockets, inspection lamp, etc. for ready set-up, testing, fine-tuning and maintenance of equipment
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 11 Specification for Protection of Pipework for Fabrication of Steel Pipe Specials Category

Prior to the application of paint or protection, the pipe fittings shall be tested in accordance with the Clause of Inspection to the satisfaction of the Engineer or his representative.

Unless otherwise specified, pipe fittings shall be protected internally and externally as specified below. They are intended for use in the tropics.

(a) Internal Protection

Internal protection shall be bitumen lining to BS 534:1990, Clause 27.2 or equivalent. The requirements of Clause 27.2 are amended to the extent that the tenderer may offer bitumen lining with or without filler, provided that the bitumen conforms in all other respects with Type 2 compounds of BS 4147:1980 or equivalent.

Alternatively, tenderers may quote prices for coal tar enamel lining to American Water Works Association Standards AWWA C203.

The lining at the ends of pipe fittings shall be omitted for a sufficient length to permit making welds without damaging the lining.

All lining will be checked for continuity as specified in clause 28.1 of BS 534:1990 or equivalent. Discontinuities and pinholes indicated shall be made good at no extra cost to Government. Before the adhesion test specified in BS 534:1990, Clause 28.2 or equivalent, the rings shall be heated to 170°F for 24 hours and the lining shall not show any tendency to creep or flow.

(b) External protection

All underground pipes shall be reinforced bitumen sheathed on the outside. This shall be bitumen sheathing as specified in Clause 26.2 of BS 534:1990 or equivalent with the addition of a spiral wrapping of woven glass cloth firmly embedded into the surface of the sheathing with an overlap of not less than 6.3mm.

Flange jointing surfaces need not be painted.

The applicant shall submit details of his quoted alternative standards for assessment.

ANNEX 12 Standard Requirements for Waterworks Installations for Fabrication of Unfired Pressure Vessels Category

Contractors must be capable of fabricating manufacturing unfired pressure vessels (both vertical and horizontal) to BS 5500 and the requirements as detailed below:

Category of construction : 1& 2

Diameter of vessels: up to 3500mm

Materials of construction : steel

Working pressure of vessel : 1600 kPa

Hydraulic test pressure : 2400 kPa

Applications: salt water or potable water

Construction shall also provide accessories associated with the vessel, including:

Pressure relief valve

Anti-vacuum valve

Water level gauges, pressure gauges & isolating valves

Level electrodes and controller

ANNEX 13 List of Tools / Equipment and Testing Instruments for Fire Service Installation Category

Item of Assessment	Minimum Requirements		Remarks
	Group I	Group II	
Hydrant flow & pressure gauges	1	1	Calibration is permanent, components to be replaced if damaged
Level measure meter (Gas system), optional	1	1	
Hydraulic pump with pressure gauge	1	2	
Smoke detector tester	1	2	
Insulation tester	1	2	
Multi-tester (AVO)	1	2	
Welding machine	1	2	
Threading machine	1	2	
Bending machine	1	2	
Drilling machine	1	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 14 List of Tools / Equipment and Testing Instruments for Fountain Installation Category

Item of Assessment	Minimum Requirements	Remarks
Flow meters & pressure gauges	1	
Hydraulic pump with pressure gauges	1	
Welding m/c	1	
Threading m/c	1	
Bending m/c	1	
Drilling m/c	1	
Conduit bender	1	
Conduit cutter	1	
Tachometer	1	
Multi-meter	2	
Continuity tester	1	
Clamp-on ammeter	1	
Earth fault loop impedance tester	1	
Insulation tester	1	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 15 Minimum Personnel Requirements for Ground Investigation Field Work Category

Position ^{(a) & (b)}	Academic Qualification	Experience	No.	
			GPI	GPII
Site Agent	None	10 years in civil or geotechnical engineering, of which at least 5 must be in ground investigation	1	1
	Ordinary Certificate in civil engineering or equivalent	7 years in civil or geotechnical engineering, of which at least 5 must be in ground investigation		
Geotechnical Engineer/Engineering Geologist	Degree ^(c) in civil engineering, geotechnical engineering or a geology-related subject	5 years of post-qualification experience in civil or geotechnical engineering, of which at least 3 must be in ground investigation	1	2
Logging Geologist	Degree ^(c) in geology ^(d) or a cognate subject ^(e) in which at least 50% of the course content comprises geological based subjects ^(g)	3 years of post-qualification experience in ground investigation which must include logging of samples ^(f)	1	2
	Degree ^(c) in geology ^(d) or a cognate subject ^(e) in which at least 25% of the course content comprises geological based subjects ^(g)	5 years of post-qualification experience in ground investigation which must include logging of samples ^(f)		
Geotechnical Field Technician	Ordinary Certificate in civil engineering or equivalent	2 years in ground investigation	1	2
	Relevant Degree ^(c)	1 year in ground investigation		
Ground Investigation Driller	CITA (Construction Industry Training Authority) Trade Test Certificate for Ground Investigation Operator		4	10
Safety Officer	Registered in accordance with the FIU(SO&SS)R	3 years in ground investigation	1 ^(h)	1
Safety Supervisor	-		0	1

Notes: (a) All except Ground Investigation Drillers must be able to speak English and understand instructions written in English.
 (b) An individual may fill only one of the positions at any one time.
 (c) The degree shall be up to degree level as assessed by the Hong Kong Council for Academic Accreditation (HKCAA).
 (d) Examples of degree in geology: Applied Geology, Earth Science, Engineering Geology, Geological Sciences, Geology, Mining Geology and Petroleum Geology.
 (e) Examples of cognate subjects: Environmental Science, Geography, Geomorphology, Geotechnical Engineering, Mining and Soil Science.
 (f) Applicants will be required to submit documentary evidence in support of their core logging experience (e.g. submission of logs that the applicant has produced, including a brief statement of 2-3 pages explaining the reasons for submitting those particular logs).

- (g) Examples of geological based subjects: Applied Geology, Earth Dynamics, Earth Systems, Economic/Mining Geology, Engineering Geology, Environmental Geology, Field Camp/Field School/Field Mapping, Geochemistry, Geomorphology, Earth/Surficial Processes, Landform/Quaternary Geology, Geophysics, Historical Geology, Hydrogeology, Mineralogy, Palaeontology, Petroleum Geology, Petrology (Igneous, Metamorphic & Sedimentary), Physical Geology, Physics of the Earth, Plate Tectonics, Regional Geology, Rock Mechanics, Sedimentology/Principles of Sedimentation, Stratigraphy, Soil Mechanics and Structural Geology. An applicant who holds a degree in geology or a cognate subject in which at least 25% but less than 50% of the course content comprises geological based subjects is considered to have topped up the geological based subjects in his or her degree to at least 50% if he or she has obtained a recognized relevant post-degree qualification (e.g. Post-graduate Diploma in Earth Sciences at the University of Hong Kong or equivalent).
- (h) The Safety Officer may be working part-time only for a Group I contractor.

ANNEX 16 Minimum Equipment Requirements for Ground Investigation Field Work Category

Equipment		Number/Length/Set	
		Group I	Group II
Water Pumps		4	10
Set of equipment for air-foam drilling		0	2
Casings	NW & HW	160m for each size	600m for each size
	PW and SW	40m for each size	100m for each size
Drilling rods	NW	160m	600m
	HW	40m	100m
Soil samplers	U100/U76	4	10
	Piston	2	2
	Mazier	4	10
Rock samplers	Double tube (TNW & T2-101)	4 each	10 each
	Triple tube (NMLC, HMLC & 4C-MLC)	1 each	2 each
Equipment for insitutests	SPT	4	10
	Impression packer, rising, falling and constant head permeability, packer (water absorption) and vane shear	1 each	2 each
	Dipmeters	4	10
	GCO probe	2	4

ANNEX 17 List of Tools / Equipment and Testing Instruments for Industrial Type Electrical Installation Category

Item of Assessment	Minimum Requirements	Remarks
Conduit bender	2	
Conduit cutter	2	
Continuity tester	2	
Earth loop impedance tester	1	
Earth resistance tester	1	
Insulator tester	1	
Multi-meter	2	
RCD tester	1	
Ductor tester	1	
Applied voltage tester	1	
Cable jointer	1	
HV insulator tester	1	
Injection tester	1	
Clamp-on ammeter	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 18 Technical Requirement for Landslip Preventive/Remedial Works to Slopes/Retaining Walls Category

1. Qualification Criteria

- 1.1 The applicant must be registered in the list of Registered Specialist Contractor for Site Formation Works of the Buildings Department.
- 1.2 The applicant must have obtained either ISO Certification or if they do not have suitable works contracts in hand for certification auditing, a confirmation from a certification body accredited by the HKAS to issue the Certification or considered to be equivalent by the DEVB that a full review of the Quality Manual of their Hong Kong office has been carried out in Hong Kong by the certification body and such Quality Manual has been confirmed by the certification body as being in conformity with the requirements of the relevant ISO standard. The scope of certification should include landslip preventive/remedial works to slopes/retaining walls.
- 1.3 The applicant must achieve the minimum passing scores for the aggregate mark of the assessment and for individual or combined sections of the assessment as detailed in Section 2 below in the following attributes:
 - 1.3.1 Experience and performance on Government contracts ^(see Notes 1 and 2 of section 2.1 below) on Roads & Drainage and/or Site Formation categories (Group B or above) in the past 3 years.
 - 1.3.2 Experience and performance on landslip preventive, remedial or formation works of slopes and/or retaining walls in areas immediately behind occupied structures, adjacent to railway lines or public roads in the past 3 years.
 - 1.3.3 Experience, availability and organization of managerial, professional, technical and site safety staff with particular emphasis on Landslip Preventive Measures (LPM) type works.
 - 1.3.4 Availability of plant and equipment for LPM type works.

2. **Method of Assessment**

2.1 **Experience on Government contracts^(see Note 1) under the Roads & Drainage and/or Site Formation categories in the past 3 years**

Criteria	Marks
Applicant is not on the Approved List under R&D or SF categories	0
Applicant is on the Approved List under R&D or SF categories at Group B	2
Applicant is on the Approved List under R&D or SF categories at Group C	5
Between 1 and 5 no. performance reports ^(see Note 2) in either or both categories	Add 2
Between 6 and 8 no. performance reports ^(see Note 2) in either or both categories	Add 4
Between 9 and 12 no. performance reports ^(see Note 2) in either of both categories	Add 6
More than 12 performance reports in either or both categories	Add 10
	<i>Maximum score 15 marks</i>

Notes:

- (1) Government contracts that have been completed by the applicant as main contractor or first-tier sub-contractor of the main contract.
- (2) For the applicant as main contractor for Government contract, performance reports shall refer to the reports stipulated in Section 4 of Contractor Management Handbook. For the applicant as sub-contractor for Government contract, performance reports shall refer to the above quarterly reports covering the applicant's work period of the sub-contract.

2.2 **Performance on Government Contracts^(see Note 1 of section 2.1 above) under Road & Drainage and/or Site Formation categories in the past 3 years**

Criteria	Marks
10% or more of performance reports adverse or no performance reports	0
More than 5% but less than 10% performance reports adverse	4
Up to 5% performance reports adverse	8
No adverse reports	12
No adverse and some very good reports	15
	<i>Maximum score 15 marks</i>

Note 1 - Notwithstanding Note 2 in section 2.1 above for counting the number of performance reports on Government contract to assess the applicant's experience, only performance reports of the applicant as main contractor for Government contract will be counted for assessing his performance under section 2.2. Therefore, this section 2.2 will not apply when the applicant has undertaken only subcontracts in the period.

2.3 Experience and performance on landslip preventive, remedial or formation works of slopes and/or retaining walls in areas immediately behind occupied structures, adjacent railway lines or public roads in the past 3 years

Criteria		Marks
No. of sites on which LPM works were completed by the applicant satisfactorily	Less than 3	0
	3 to 6	5
	More than 6	10
No. of sites each with value of LPM works higher than \$2M completed by the applicant satisfactorily	2 to 3	Add 5
	4 or more	Add 10
Multiple-site experience	The applicant completed LPM works satisfactorily on at least 6 simultaneously active sites with total value of works higher than \$7M	Add 5
	The applicant completed LPM works satisfactorily on at least 8 simultaneously active sites with total value of works higher than \$10M	Add 10
		<i>Maximum score 30 marks</i>

Note 1 – For avoidance of doubt, for entry into probation, relevant sub-contracts of any tier for Government LPM works will be counted for assessment in section 2.3.

2.4 Overall experience and performance in works of Roads & Drainage, Site Formation and Landslip Preventive Works in the past 3 years

Criteria	Marks
Assessments in Sections 2.1, 2.2 and 2.3 above	Aggregate of marks scored in Sections 2.1, 2.2 and 2.3 above
	<i>Maximum score 60 marks (or 45 marks when section 2.2 does not apply, vide Note 1 of section 2.2 above)</i>
	<i>Minimum passing score⁽¹⁾ 50% of maximum score</i>

Note 1 - The application will be rejected if the mark achieved is below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5 **Experience, availability and organization of managerial, professional, technical and safety staff with particular emphasis on experience for LPM type works**

2.5.1 **Management level staff**

Criteria	Marks
No full-time member of management level staff has 5 years or more relevant local experience (gained within the past 10 years) in managing a construction firm	0
At least one full-time member ⁽¹⁾ of management level staff has a minimum of 5 years relevant local experience (gained within the past 10 years) in managing a construction firm	5
At least one full-time member ⁽¹⁾ of management level staff has a minimum of 5 years relevant local experience (gained within the past 10 years) in managing a construction firm Plus A minimum 2 years experience in managing multiple site contracts and LPM type works over the past 5 years	10
<i>Maximum score 10 marks</i> <i>Minimum passing score⁽²⁾ 5 marks</i>	

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5.2 Professional staff (excluding staff assessed in 2.5.1)

Criteria	Marks
No staff employed full-time who holds a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	0
At least one full-time member of staff ⁽¹⁾ with a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	5
At least one full-time member of staff ⁽¹⁾ with a relevant professional qualification (RPE (G or C), MHKIE (G or C), etc.) <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	10
	Maximum score 10 marks Minimum passing score ⁽²⁾ 5 marks

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5.3 Technical staff (excluding staff assessed in 2.5.1 and 2.5.2)

Criteria	Marks
No full time member of technical staff has the academic qualification <u>and</u> minimum local experience in site formation or LPM-type works of the 3 combinations below	0
At least one full-time member of staff ⁽¹⁾ with an Ordinary Certificate in Civil Engineering <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	2
At least one full-time member of staff ⁽¹⁾ with a Higher Certificate in Civil Engineering <u>and</u> with a minimum of 3 years local experience in site formation or LPM-type works	3
At least one full-time member of staff ⁽¹⁾ with a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 3 years local experience in site formation or LPM-type works	5
	Maximum score 5 marks Minimum passing score ⁽²⁾ 2 marks

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved is higher than the overall minimum passing score.

2.5.4 **Safety Staff (excluding staff assessed in 2.5.1, 2.5.2 and 2.5.3)**

Criteria	Marks
No Registered Safety Officer employed full time	0
One Registered Safety Officer ⁽¹⁾ employed full time	3
Two or more Registered Safety Officers ⁽¹⁾ employed full time	5
<i>Maximum score 5 marks</i> <i>Minimum passing score⁽²⁾ 3 marks</i>	

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.6 **Availability of plant and equipment for LPM type works**

Criteria	Marks
The applicant owns less than 7 types of the following 10 types of plant: Drilling rig for soil nails, grout pump, shotcrete machine, excavator, hydraulic breaker, pneumatic drill, roller, crane truck, air compressor, generator.	0
The applicant owns at least 7 types of the above plant.	5
The applicant owns all 10 types of the above plant and more than one unit each of the following: Drilling rig for soil nails, grout pump, shotcrete machine, air compressor and generator.	10
<i>Maximum score 10 marks</i> <i>Minimum passing score⁽¹⁾ 5 marks</i>	

Note 1 – The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

3. Acceptance Criteria

- 3.1** The applicant will be recommended for acceptance if the aggregate total of marks achieved in Sections 2.4, 2.5.1, 2.5.2, 2.5.3, 2.5.4 and 2.6 is equal to or higher than 65% of the maximum marks, and the marks achieved in these sections are all higher than the minimum passing scores of the respective sections subject to compliance with the criteria stated in Sections 1.1 and 1.2.
- 3.2** Successful applicants will normally be accepted into the List on probation. Probationary contractors will be allowed to take on not more than two Government contracts with total outstanding value of works of not greater than \$100M tendered under the LPM Specialist Category.

4. Criteria for Confirmation

- 4.1** A probationary contractor may, subject to a minimum probationary period of 24 months, apply for confirmation to the Secretary for Development in writing when they have satisfactorily completed, as main contractor or first-tier sub-contractor ^(see Note 1 in section 2.1 above), at least one Government Landslip Preventive Measures contract or its first tier sub-contract respectively, containing multiple sites and of value not less than \$40M. Confirmation will also be subject to the contractor being able to meet the financial criteria applicable to confirmed status, having the appropriate technical and management capabilities and in all other ways being considered suitable for confirmation.

ANNEX 19 List of Tools / Equipment and Testing Instruments for Lift, Escalator and Passenger Conveyor Installation Category

Item of Assessment	Minimum Requirements	Remarks
Equipment & instruments for examinations and tests under the Lifts & Escalators (Safety) Ordinance, such as tachometer, dead weight, walkie-talkie etc.	2 sets	
Tools & equipment recommended by the lift/escalator manufacturer for: (a) the installation of lifts & escalators (b) the servicing, maintenance and repair of lifts & escalators.	1 set 2 sets	
Basic workshop tools such as conduit bender, conduit cutter, electric drill/hammer, grinder etc.	1 lot	
Basic testing instruments such as multi-tester (AVO), insulation tester, clamp on ammeter, light meter, sound meter etc.	1 lot	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 20 List of Tools / Equipment and Testing Instruments for Liquefied Petroleum Gas Installation Category

Item of Assessment	Minimum Requirements	Remarks
Detect gas leaking gauge	1	
Welding machine	1	
Grinding machine	1	
Drilling machine	1	
Vacuum pump, compressor	1	
Chain block	1	
Shearing machine	1	
Edging machine	1	
Water pump with gauge	1	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 21 List of Tools / Equipment and Testing Instruments for Low Voltage Cubicle Switchboard Installation Category

Item of Assessment	Minimum Requirements	Remarks
Multi-tester (AVO)	2	
Insulation tester	2	
Ductor tester	1	
Continuity tester	1	
Primary injection test set	1	
Secondary injection test set	1	
Dielectric strength test set, 2kV	1	
Busbar bending machine	1	
Busbar cutter	1	
Sheet metal cutter	1	
Sheet metal press	1	
Electric drilling machine	1	
Basic workshop tools	1 lot	
Basic testing instruments	1 lot	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 22 List of Tools / Equipment and Testing Instruments for Mechanical Handling and Lifting Installation Category

Item of Assessment	Minimum Requirements	Remarks
Welding equipment	1	
Drilling machine	1	
Metal cutting machine	1	

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 23 List of Tools / Equipment and Testing Instruments for Mechanical Plant and Equipment Installation Category

Item of Assessment	Minimum Requirements	
	Group I	Group II
Welding equipment	1	2
Lathe	1	1
Drilling machine	1	2
Metal cutting machine	1	1
Abrasive wheels	1	1
Milling machine	-	1
Shaping machine	-	1
Pipe threading and bending machines	1	2

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 24 List of Equipment / Tools for Motor Vehicle Body-building and Painting Category

Item of Assessment	Minimum Requirements	Remarks
Welding equipment • Oxy-acetylene • MIG • TIG	1 1 1	
Sheet metal cutting machine	1	
Sheet metal shaping machine	1	
Hydraulic lift/jib crane (1000 kg)	1	
Vehicle jack • 1000 kg • 3000 kg	2 2	
Compressed air supply	2 outlets	
Spray-painting equipment	Clean, force-ventilated, enclosed area for 1 vehicle	
Digital camera of resolution not less than 1200 X 1024	1	
Vehicle trade licence plate	1	Proof of availability from third party is acceptable

Note : All equipment/tools should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 25 List of Tools / Equipment and Testing Instruments for Radio Electronics Installation Category

Item of Assessment	Minimum Requirements	Remarks
Digital Voltage Meter (DVM)	1	
Oscilloscope	1	
Radio frequency signal generator	1	
Signal level meter	1	
Spectrum analyzer	1	
Field test antennae	1	
Frequency counter	1	
Test/Maintenance workbench	1	Suitably equipped with test equipment, power sockets, inspection lamp, etc. for ready set-up, testing, fine-tuning and maintenance of equipment
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 26 List of Electrical Equipment for Repair in Water Supplies Department for Repair of Motors, Transformers and Switchgear Category

High Voltage Equipment

1. Bulk oil or SF6 circuit-breaker switchgear panel rated up to 2000A 11kV.
2. Squirrel cage induction motors up to 3000kW 11kV.
3. Variable speed motors up to 650kW 6.6kV.
4. Power factor correction capacitors up to 11kV.
5. Bulk oil power transformers up to 16000kVA 33kV.
6. Resin encapsulated power transformers up to 1000 kVA 11kV.
7. Cabling work up to 11kV including PILC, XLPE, Raychem, compound and resin filled cable jointing.

380V Equipment

1. Switchboard

- 1.1 FBA switchboard of rating up to 3150A 2-bus section arrangement.
- 1.2 Air circuit-breaker switchgear panel up to 2500A.
- 1.3 Bulk oil circuit-breaker up to 2500A.
- 1.4 Fuse switchgear and isolators up to 2000A.
- 1.5 Pump motor starters including direct-on-line, auto-transformer, star-delta, liquid resistor starters and contactors up to 780A.
- 1.6 Panel fabrication and painting work.

2. Control and Protection

- 2.1 Protection systems including relay repair and calibration.
- 2.2 Control panel for power supply, auto pump control and associated instrumentation equipment.

3. Rotating Machines

- 3.1 Squirrel cage induction motors up to 480kW 380V 50Hz.
- 3.2 Slip-ring induction motors up to 360kW 380V 50Hz.
- 3.3 Emergency generators up to 1000kVA.

4. **Plant Auxiliaries**

- 4.1 Power factor correction capacitor banks.
- 4.2 Electric valve actuators, drainage pumps and ventilation fans.
- 4.3 24-110V d.c. battery and charger equipment, UPS and frequency converters.
- 4.4 Electric overhead cranes and hoists.
- 4.5 Cathodic protection equipment.
- 4.6 Electro-chlorinator.
- 4.7 Cabling work up to 1000mm², PVC, PILC, XLPE, Raychem, compound and resin cable jointing.

ANNEX 27 Typical Equipment for High Voltage and 380 Volt Equipment for Repair of Motors, Transformers and Switchgear Category

1. Equipment for General Use

1.1 Typical Workshop Equipment

- Guillotine for insulation sheet cutting.
- Oxy-acetylene, T.I.G. or other welders.
- Band saw, circular saw etc. for insulation board cutting.
- Solvent tank for components cleaning.
- Bench and pedestal drill e.g. 25mm diameter hole.
- Paint spray equipment and booth, if any.
- Compressed air ring main for pneumatic tools and components cleaning.
- Overhead crane, fork lift truck etc.

1.2 Typical Test Equipment

- Precision voltmeter, ammeter and voltmeter.
- High voltage phasing rod and meters.
- R, L, C bridge.
- 5kV & 10kV Megger.
- Electrical appliance tester as Thorn EMI Model Part 2.
- Earth loop tester as Thorn EMI Model LT5.
- Digital Earth tester as Thorn EMI Model DET2.

2. Switchgear Repair and Testing Equipment

2.1 Typical Workshop Equipment for Switchgear Repair

- Oil filtration plant for O.C.B. oil re-cycling.
- Cabling drum jacks rollers etc. for cable laying.
- Cable termination and jointing equipment.
- Portable SF₆ gas detector, pressure gauge and topping up device.

2.2 Typical Switch gear Test Equipment

- High voltage 50Hz. and d.c. output test set up to 30kV 2kVA for switchboard and power cable testing.
- Low resistance Ductor set. (for contact resistance testing)
- 60kV Oil tester for transformer/OCB oil.
- Primary injection test set up to 3000A with integral meters.

- Secondary injection test set up to 100A with integral timer and meters.
- Switchgear test control board.

3. Typical Motor Repair and Testing Equipment

3.1 Typical Workshop Equipment for Motor Repair

- Air conditioned room for H.V. motor rewinding.
- Dryout oven e.g. 2400X 2400 X 3600 mm (b x d x h) for motor after repair.
- Winding burnt-out oven.
- Motorised winding overhang cutter & coil puller.
- Coil winding machine for stator coil rewinding.
- Milling machine for slot wedge cutting.
- Induction current motor heater.
- T.I.G. welder for motor rotor repair.
- Commutator under-cutting tool.
- 30 ton & 150 ton hydraulic extractor for bearings and couplings.
- Varnishing tank.
- Thermal setting insulation storage cabinet.
- Steam cleaner.
- Motor stool for supporting vertical motor for repair.

3.2 Typical Motor Test Equipment

- High voltage 50 Hz. Test set for dielectric properties testing, up to 30 kV 60kVA.
- Tangent Delta tester for British Standard tests.
- Dielectric Loss Analyser for motor insulation testing.
- Double beam storage CRO for motor starting characteristics display and/or transient display.
- X-Y plotter for transient record (or CRO camera; portable recorder).
- Dynamic balancing machine for rotor balancing for up to 6000kg.
- Noise meter for motor characteristics analysis to BS 4999.
- Vibrometer for vibration measurement.
- Bearing analyzer for analysis of bearing condition.
- Winding high frequency surge tester with waveform display by CRO.
- Motor test bed.
- Power Supply for testing at 380V, 3.3kV, 6.6kV and 11kV.

ANNEX 28 List of Tools / Equipment and Testing Instruments for Steam and Compressed Air Installation Category

Item of Assessment	Minimum Requirements	Remarks
Welding equipment	2	
Hydraulic tester	2	
Workbench with vice	1	
Drilling machine	2	
Pipe threading and bending machine	2	
Pressure gauge	2	
Temperature Gauge	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 29 List of Tools / Equipment and Testing Instruments for Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers) Category

Item of Assessment	Minimum Requirements	Remarks
Hydraulic test pump & accessories	1	
Ultrasonic thickness tester	1	
Dye penetrant tester	1	
Magnetic particle tester	1	
Megger tester	1	
Multimeter / AVO meter	1	
Personnel safety devices (e.g. helmet, eye goggles, safety belt & shoes, heat resistant gloves & overall)	3	
Miscellaneous tools (e.g. screw driver, spanner, drill, hammer, inspection mirror, sealing chipper, lead chip & wire)	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 30 List of Tools / Equipment and Testing Instruments for Survey of Government Land Steam Boilers Category

Item of Assessment	Minimum Requirements	Remarks
Hydraulic test pump & assessories	1 set	
Ultrasonic thickness tester	1 set	
Dye penetrant tester	1 set	
Magnetic particle tester	1 set	
Megger tester	1 set	
Multimeter / AVO meter	1 set	
Miscellaneous tools (e.g. screw driver, spanner, drill, hammer, inspection mirror, sealing chipper, lead chip & wire)	2 sets	
Personnel safety devices (e.g. helmet, eye goggles, safety belt & shoes, heat resistant gloves & overall)	3 sets	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 31 List of Tools / Equipment and Testing Instruments for Survey of Lifting Appliances and Lifting Gear Category

Item of Assessment	Minimum Requirements	Remarks
Weighscale, measuring tape, level gauge, callipers, deflection scale, etc.	1 set	
Dead weight	1 set (10,000 kg minimum)	
Lifting appliance and gear	1 set	
Crane Lorry	1 set	
Handtools (e.g. screw driver, spanners, electric drill, hammer, etc.)	2 sets	
AVO meter / multimeter	1 set	
Megger tester	1 set	
Personnel safety device (e.g. helmet, eye goggles, safety belt, shoes and overall, etc.)	3 sets	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 32 List of Tools / Equipment and Testing Instruments for Swimming Pool Water Treatment Installation Category

Item of Assessment	Minimum Requirements	Remarks
Flow meters & pressure gauges	1	
Hydraulic pump with pressure gauges	1	
Welding m/c	1	
Threading m/c	1	
Bending m/c	1	
Drilling m/c	1	
Conduit bender	1	
Conduit cutter	1	
Tachometer	1	
Multi-meter	2	
Continuity tester	1	
Clamp-on ammeter	1	
Earth fault loop impedance tester	1	
Insulation tester	1	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the testing instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 33 List of Tools / Equipment and Testing Instruments for Uninterruptible Power Supply Installation Category

Item of Assessment	Minimum Requirements	Remarks
Digital voltage meter (DVM)	1	
Oscilloscope	1	
Clamp-on ampere meter	1	
Phase meter	1	
Distortion analyzer	1	
Dummy load	1	
Test/Maintenance workbench	1	Suitably equipped with test equipment, power sockets, inspection lamp, etc. for ready set-up, testing, fine-tuning and maintenance of equipment
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 34 List of Tools / Equipment and Testing Instruments for Video Electronics Installation Category

Item of Assessment	Minimum Requirements	Remarks
Digital voltage meter (DVM)	1	
Oscilloscope	1	
Video signal/pattern generator	1	
Video waveform monitor	1	
Light meter	1	
Test charts	1	
Test/Maintenance workbench	1	Suitably equipped with test equipment, power sockets, inspection lamp, etc. for ready set-up, testing, fine-tuning and maintenance of equipment
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by HOKLAS accredited laboratory or equivalent institutions	Required	At least yearly and as requested when the instrument is in doubt

Note : All equipment should be verified that they are all at sight or with other form of proof of ownership.

ANNEX 35 Minimum Personnel and Equipment Requirements for Landscaping Category, Class I : General Landscape Work

Minimum Requirements for Technical Staff

Position ^{(a), (b)}	Academic / Professional Qualifications	Experience ^(c)	No.	
			Group I	Group II
horticulturalist	Obtained a university degree in horticulture or related discipline ^(e)	Three years working experience in horticulture	1 ^(d)	1 ^(d)
	OR			
	Satisfactorily completed ^(f) a recognized diploma programme in horticulture or related field ^(g) equivalent to the standards of Level 3 or above in the Hong Kong Qualification Framework	Four years working experience in horticulture		
	OR			
	Obtained a qualification or certification from a professional institute or organization of horticulture ^(h) with standards equivalent to those of the Certified Horticulturist from the American Society for Horticultural Science or above	Five years working experience in horticulture		

Minimum Requirements for Technical Staff (Cont'd)

Position ^{(a), (b)}	Academic / Professional Qualifications	Experience ^(c)	No.	
			Group I	Group II
tree specialist	Obtained a university degree in arboriculture or related discipline ⁽ⁱ⁾	Three years working experience in arboriculture	1 ^(d)	1 ^(d)
	OR			
	Satisfactorily completed ^(f) a recognized diploma programme in arboriculture or related field ^(j) equivalent to the standards of Level 3 or above in the Hong Kong Qualification Framework	Four years working experience in arboriculture		
	OR			
	Obtained a qualification or certification from a professional institute or organization of arboriculture ^(h) with standards equivalent to those of the Certified Arborist from the International Society of Arboriculture or above	Five years working experience in arboriculture		

Minimum Requirements for Technical Staff (Cont'd)

Position^{(a), (b)}	Academic / Professional Qualifications	Experience^(c)	No.	
			Group I	Group II
skilled worker	Satisfactorily completed ^(f) a total of not less than 60 hours of training courses in the past five years in the arboricultural and horticultural fields offered by the relevant organizations with standards equivalent to those of the Construction Industry Council Training Academy (CICTA) and the Vocational Training Council (including the courses offered under the Horticulture Skills Upgrading Scheme) or above, in which the Supervision of Tree Works Course offered by CICTA and course(s) on training of pruning techniques and use of basic arboricultural and horticultural tools and equipment such as chainsaws should be included.	Three years site working experience in arboriculture and horticulture	2	4

Minimum Requirements for Technical Staff (Cont'd)

Notes :

- (a) All individuals must be full time employees of the applicant and must be resident Hong Kong Identity Card Holders or Work Visa Holders, and the practice must constitute their principal source of employment. Documentary evidence such as self-declaration letter specifying full-time employment with the company, bank payroll statement, Mandatory Provident Fund contribution record, Employer's Return of Remuneration and Pensions to Inland Revenue Department, etc. shall be produced.
- (b) All individuals may fill only one of the positions at any one time, unless stated otherwise.
- (c) The experience of all individuals must be full time experience gained in Hong Kong.
- (d) The horticulturalist and the tree specialist can be the same person for Group I contractors but cannot be the same person for Group II contractors.
- (e) Related disciplines of horticulture include agriculture, arboriculture, botany, landscape architecture, landscape management, landscape science, plant science, or equivalent.
- (f) 'Satisfactorily completed' means achievement of satisfactory level of competency assessment through examination, assignment and/or class performance.
- (g) Programme in related field of horticulture shall comprise core course module in subjects including botany, soil science and fertility, diagnosis, treatment and control of plant pests and diseases, nursery management, and landscape management, or equivalent.
- (h) The qualification or certification shall be obtained through satisfactory passing of examination or assessment process within the institute or organization.
- (i) Related disciplines of arboriculture include botany, forestry, horticulture, landscape architecture, landscape management, landscape science, plant science, or equivalent.
- (j) Programme in related field of arboriculture shall comprise core course module in subjects including tree identification and biology, tree planting, protection and establishment, pruning, plant health care, diagnosis and disorder, tree risk assessment and management, and tree works safety, or equivalent.

Minimum Plant and Equipment Requirements for Group I and Group II Contractors

Plant and Equipment	Remarks
Advanced tree diagnostic equipment such as resistograph and tomograph, and auxiliary plant and tools for ready set-up, testing, fine-tuning and maintenance of the equipment.	Documentary proof of ownership of the equipment or ability to source the equipment from third party when required, should be produced.
Basic tools and equipment that are necessary to enable the contractor to perform effectively the works as defined in the Brief Scope of Category/Class, such as hoe, saw, shears, spade, mattock, shoulder sprayers, power chainsaw, tree climbing saddles, braided climbing ropes, carabiner, bow saw, pole saw, long-arm pruner	Documentary proof of ownership of the tools and equipment should be produced.
Personal protective equipment that are necessary to enable the contractor to perform safely the works as defined in the Brief Scope of Category/Class, such as safety steel toe cap boots, chainsaw gloves, chainsaw pants, safety helmet with face guard, safety glasses or goggles and ear defenders	Documentary proof of ownership of the equipment should be produced.

ANNEX 36 List of Tools / Equipment and Testing Instruments for the Plumbing Installation Category

Item of Assessment	Minimum Requirement		Remark
	Group I	Group II	
Flow meters & pressure gauges	1	1	Calibration is permanent, components to be replaced if damaged
Hydraulic pump with pressure gauge	1	2	
Insulation tester	1	2	
Multi-tester (AVO)	1	2	
Clamp-on ammeter	1	2	
Conduit bender	1	2	
Conduit cutter	1	2	
Welding machine	1	2	
Threading machine	1	2	
Bending machine	1	2	
Drilling machine	1	2	
Proof of regular calibration (for instrument only), e.g. calibration certificates issued by the Hong Kong Laboratory Accreditation Scheme (HOKLAS) accredited laboratory or equivalent institutions	Required	Required	At least yearly and as requested when the instrument is in doubt

Note: All equipment should be verified that they are all at sight or with other form of proof of ownership.

RESTRICTED

E	Claims #	No.	Claimed	Assessed	Awarded	Awarded/Assessed	Unresolved
EOT claims							
Up to last period		days	days	days	%	days	
Total to-date		days	days	days	%	days	
Monetary claims							
Up to last period	\$M	\$M	\$M	%	\$M		
Total to-date	\$M	\$M	\$M	%	\$M		
Attitude to claims : reasonable/unreasonable/no claims submitted * (If unreasonable, comment)							
F	Remarks by Reporting Officer						
(Include an assessment of the contractor's overall progress compared to his original programme, see Section 2 of GN. The Chief Engineer/Architect/Head of Office (for Consultants Administered Projects) should entirely satisfy himself/herself that there is adequate documented evidence to prove that an Adverse report is warranted before endorsement.)							
Report NOT ADVERSE / ADVERSE *							
Reported by		Agreed by		Endorsed by			
(_____) Engineer/Engineer's/Architect's Representative/Others* for the Contract		(_____) Senior Engineer/Engineer/Architect/Others* for the Contract		(_____) Chief Engineer/Architect/ Head of Office (for Consultants Administered Projects)/Others *			
Date		Date		Date			
G	Remarks by Reporting Review Committee						
(The Chairman of the Reporting Review Committee should entirely satisfy himself/herself that there is adequate documented evidence to prove that an Adverse report is warranted before endorsement/amendment.)							
This report is endorsed/has been amended * by the Reporting Review Committee							
Remarks (only if Engineer/Architect/others report amended) :							
Appeal received: Yes/No*							
Result of appeal : Unfounded/Justified/NA*							
Complaint against Appeal Mechanism : Yes/No*							
(.....) Chairman, Reporting Review Committee							
Report NOT ADVERSE / ADVERSE *				Date			
Number of site instructions issued to-date :							

RESTRICTED

REPORT ON CONTRACTOR'S PERFORMANCE							
PART II - INDIVIDUAL ASPECTS OF PERFORMANCE							
ITEM	ASPECTS OF PERFORMANCE	Very Good	Good	Satisfactory	Poor	Very Poor	Not Applicable
Section 1	Workmanship						
1.1	Standard of temporary works						
1.2	Standard of materials/equipment supplied						
1.3	Standard of workmanship, earthworks						
1.4	Standard of workmanship, structural						
1.5	Standard of workmanship, finishes						
1.6	Standard of workmanship, conduit/pipe/duct works						
1.7	Standard of workmanship, equipment and plant						
1.8	Standard of workmanship, testing and commissioning						
1.9	Standard of workmanship, landscape softworks/tree works						
1.10	Standard of workmanship, others						
	Overall rating						
Section 2	Progress						
2.1	Adequacy of programme						
2.2	Adherence to programme						
2.3	Updating of programme						
2.4	Suitability of method and sequence of working						
2.5	Achievement in period						
2.6	Action taken to mitigate delay/catch up with programme						
	Overall rating						
Section 3	Site safety						
3.1	Provision and maintenance of plant						
3.2	Provision and maintenance of working environment						
3.3	Provision of information, instruction and training						
3.4	Provision and implementation of safe systems of work						
3.5	Employment of safety officer/supervisor						
3.6	Site accident record						
	Overall rating						
Section 4	Environmental pollution control						
4.1	Adequacy of water pollution mitigation measures						
4.2	Adequacy of noise pollution mitigation measures						
4.3	Adequacy of air pollution mitigation measures						
4.4	Adequacy of waste pollution avoidance measures						
4.5	Compliance with environmental enactments						
4.6	Action taken to remedy non-compliance						
4.7	Implementation of waste management plan						
4.8	Implementation of Trip-ticket System to control disposal of construction & demolition materials						
	Overall rating						
Section 5	Organisation						
5.1	Adequacy of organisation structure						
5.2	Support by head office						
5.3	Adequacy of planning of work						
5.4	Adequacy of delegation of authority						
5.5	Control of supervisory staff by Site Agent						
5.6	Management of sub-contractors by Site Agent						
5.7	Adequacy of site supervisory staff						
5.8	Identification of and responsiveness to problems						
5.9	Compliance with provisions in SCC on sub-contracting and submission of the SMP						
	Overall rating						

RESTRICTED

ITEM	ASPECTS OF PERFORMANCE	Very Good	Good	Satisfactory	Poor	Very Poor	Not Applicable
Section 6	General obligations						
6.1	Cleanliness of site						
6.2	Care of works						
6.3	Compliance with insurance requirements						
6.4	Coordination of utilities and other authorised contractors						
6.5	Compliance with conditions on road openings						
6.6	Care of utilities						
6.7	Compliance with enactments other than environmental						
6.8	Adequacy/submission of operational and maintenance manuals						
6.9	Training of employer's personnel						
6.10	Adequacy of notice for inspection of works						
6.11	Payment of nominated sub-contractors						
6.12	Compliance with particulars related to sub-contracting						
6.13	Attention to site security						
6.14	Attention to records						
6.15	Attention to submission of accounts/valuations						
6.16	Control of materials supplied by Government						
6.17	Preservation and protection of trees						
	Overall rating						
Section 7	Industry awareness						
7.1	Employment of technician apprentices and building & civil engineering graduates						
7.2	Training of technician apprentices and building & civil engineering graduates						
7.3	Care and welfare of workers						
7.4	Care of the general public						
7.5	Employment of qualified tradesmen and intermediate tradesmen						
7.6	Training of workers to meet manpower demands						
7.7	Employment of sub-contractors registered from the Subcontractor Registration Scheme						
7.8	Anti-mosquito breeding						
7.9	Compliance with site uniform requirements						
7.10	Productivity enhancements						
	Overall rating						
Section 8	Resources						
8.1	Adequacy of plant resources						
8.2	Adequacy of labour resources						
8.3	Adequacy of material resources						
	Overall rating						
Section 9	Design						
9.1	Collection & appreciation of information (e.g. design codes, design parameters)						
9.2	Adequacy and quality of design solutions						
9.3	Environmental friendliness, health & safety, innovation, energy efficiency, life cycle costs and productivity enhancements						
9.4	Consultation with relevant government departments and utility undertakers						
9.5	Quality and promptness of design submissions						
9.6	Quality and timely submission of as-built drawings, maintenance manuals and warranties						
	Overall rating						
Section 10	Attendance to emergency (term contracts)						
10.1	Response to call						
10.2	Attendance to on-call emergency repairs						
10.3	Speed of emergency repairs						
	Overall rating						

Note

Mark appropriate box of performance for each item with "X".

APPENDIX 4B Guidance Notes for Completion of Reports

PART A GENERAL EXPLANATORY NOTES FOR ASSESSMENT

1. The report is for the performance in the period under review only. Previous poor performance which has led to adverse consequences in the period under review, such as poor progress resulting in the deduction of Liquidated Damages in the period under review, should not in itself be taken into account. The contractor should be assessed on how he has dealt with the situation on site as it was at the commencement of the period under review. However, if, for example, the poor quality of previous workmanship only comes to light during the period under review, then this should be reflected in the assessment.
2. It is not expected that the weighting given to each section or individual aspect of performance will be uniform for all types of contracts or for any group of contracts. The Reporting Officer (RO) and the Engineer/Architect for the contract are to use their knowledge of the contract in question to reach a conclusion, recognising that the reporting system is administrative and commercial but not contractual.
3. Reporting Officers should note that as a result of the weightings given to each aspect of performance within a section, a contractor may still be given an overall rating of "Poor" or "Very Poor" for the section despite "Satisfactory" or possibly "Good" or "Very Good" marks for all items except one or two for which a "Poor" or "Very Poor" mark is given.
4. In contracts where the RO considers one or two aspects of performance to be of paramount importance such as, for example, the contractor's compliance with road opening conditions for a waterworks contract, the RO should consider assigning an adequate weighting to this item of performance such that an "adverse" report will result if the contractor is assessed to be "Very Poor" in this aspect notwithstanding his performance in the remaining sections of the report.
5. Reporting of Building, Specialist and Term Contracts will be made on the same standard performance report Part I - Summary of Performance, but departments may revise Part II - Individual Aspects of Performance, to suit their own needs. However, departments should as far as possible adopt the standard items of reporting to facilitate comparison of performance. Domestic sub-contractors and minor works will not be included in the performance reporting system but departments may maintain their own records of sub-contractors' performance and if necessary, recommend to DEVB for any follow up action in cases of poor performance.
6. In cases where a nominated sub-contractor has been specified for the contract, the performance of the nominated sub-contractor shall be reported separately in addition to reporting of the main contractor. However, the RO should be in no doubt that the responsibility for the performance of the contract lies wholly on the main contractor and not the nominated sub-contractor.

7. Every effort should be made by the RO to ensure that the assessment is objective for all sections of the Report.
8. Should any aspect of the Report be considered “Poor” or “Very Poor” (as defined in Appendix 4B Part B) by the RO, then such assessment must be supported by relevant evidence.
9. The Report is assigned a performance score in accordance with ETWB TCW No. 3/2007 and DEVB TCW No. 3/2007A. The Report will be rated as “Adverse” if its performance score is <40.
10. The GCC clauses referred to in the following guidance notes follow the numbering system of the General Conditions of Contract for Civil Engineering Works (1999 Edition) and may have different numbers in the GCC for other types of contracts.

PART B**DEFINITION OF PERFORMANCE GRADING**

Very Good	The performance of the contractor is significantly and consistently better than that required by the Contract.
Good	The performance of the contractor attains and is occasionally better than that required by the Contract
Satisfactory	The performance of the contractor attains that required by the Contract.
Poor	The performance of the contractor is considered to be below that required by the contract though without serious deficiencies; or where instructions have to be repeatedly issued and the work has consistently to be redone in order to attain a satisfactory level; or the performance of the contractor could only attain that required by the Contract through enhanced supervision effort from the RO or the Engineer/Architect.
Very Poor	The performance of the contractor is considered to be significantly below that required by the contract; or where instructions have to be repeatedly issued and the work has consistently to be redone but is still unable to attain a satisfactory level.

PART C**GUIDANCE NOTES FOR PART I - SUMMARY OF PERFORMANCE**

The following quarters and dates for the reporting periods shall be adopted in all performance reports:

Quarter**Reporting Period**

[year]/1Q	From: 1/12/[year]	To: 28/2/[year]
[year]/2Q	From: 1/3/[year]	To: 31/5/[year]

[year]/3Q	From: 1/6/[year]	To: 31/8/[year]
[year]/4Q	From: 1/9/[year]	To: 30/11/[year]

Where shorter reporting periods are used, the periods should be consecutive and should be timed to fall entirely within one quarter.

Section A**Contractor's Details**

Contractor's Ref:	Contractor's computer reference code.
Contractor's name	Exact name as given by the list of reference codes circulated by DEVB must be used.
Predominant category of work	Put category, i.e. BD, PW, RD, SF, WW, that is predominant by value for the whole of the works. Up to two categories of work can be input.

Section B**Contract Stage and Duration**

Completion dates	Where there are more than seven sections in a contract, the seven most critical sections (possibly those carrying the highest Liquidated Damages) should be recorded.
“Extended” completion date	This should be the original contract completion date plus those extensions of time that have actually been awarded at the time of preparing the report.
“Anticipated/Certified” completion date	The anticipated completion date should be a realistic estimate of the likely completion date based on an assessment of the contractor's actual progress and expected progress on uncompleted works. The certified completion date will be the date for which the section or the whole of the works was certified by the Engineer/Architect as complete.

Section C**Contract Value**

Other matters allowed for in final contract sum	This should include all approved variations incurring additional costs which were not included in the original contract sum.
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Section D**Performance**

Performance	The rating should be the overall rating given in Part II for each aspect of performance.
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Section E**Claims**

No.	Should be the number of claims submitted by the contractor with quantum included. Notifications of claim submitted by the contractor should not be included.
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Claimed	Should be the aggregate amount of monetary or EOT claims submitted by the contractor. Claims for monies for measured or varied work, star rates, omitted items etc should not be treated as a claim. Inclement weather and/or its consequences should be included as claims for EOT.
Assessed	The claims entered as "assessed" should not be the number of notices of claims submitted by the contractor but should be the quantum claimed and which have been assessed by the Engineer/Architect. It is recognised that the amounts assessed may change as more information becomes available.
Awarded	Actual amount of the claim awarded to the contractor.
Unresolved	This is the value of claims or part-claims for which an assessment has not yet been made by the Engineer due to insufficient information or other reason. This will exclude those claims or part-claims which the Engineer/Architect/Surveyor has assessed, whether or not agreed by the contractor.
Attitude to claims	(a) Time of notification/application - has the contractor submitted the notifications/applications within a stated time limit after an event which gives rise to the claim becomes apparent (GCC Clauses 50 & 64 refer)? - have reasonable explanations or mitigating circumstances leading to the late submission of the notifications/applications been given? (b) Justification - has the contractor indicated clearly the justifications for submitting the claim (cause, consequences/damages reasonably estimated, link of how events lead to the claim and how the quantum of the claim is linked to the claimable events, etc.) and the contract provisions upon which the claim is based? - are the applications supported by adequate records/evidence to substantiate the claim including programmes, site records, calculation and accounts etc? - are the submissions logically presented and the arguments based on factual information and not perceptions?

- is the contractor submitting the same claim repetitively without new grounds/information?
- has the contractor claimed EOT without breakdown of critical activities or overlapping periods?
- has the contractor claimed unreasonably high quantum without substantiation?
- does the claim show the contractor's lack of understanding of what consists of a critical path activity or the contractor's contractual responsibilities?

(c) Responsiveness

- does the contractor respond timely to queries/additional information raised/requested by the Architect/Engineer/Surveyor in respect of the claim?
- does the contractor provide the required information in his response?

(d) The attitude of the contractor in general

- is the contractor submitting irrelevant information just for argument sake?
- does the contractor use claims as an excuse for his slow progress or wrong pricing?
- does the contractor adopt a co-operative attitude in resolving claims with the Architect/Engineer?

Section F

Remarks by Reporting Officer (RO)

If the contractor has nominated the contract for participation in any construction-related award schemes and won any such awards during the reporting period, the RO should record the achievement in Section F.

The contents of the report should be agreed with the countersigning officer before finalising. The signatories for "Engineer's/Architect's Representative" and "Engineer/Architect" should be those designated as such in accordance with the contract. Endorsement is not needed for department-administered contracts and is only necessary when the contract is consultant-administered.

The Chief Engineer/Architect/Head of Office (for Consultants Administered Projects) should entirely satisfy himself/herself that there is adequate documented evidence to prove that an Adverse report is warranted before endorsement.

Section G**Remarks by Reporting Review Committee (RRC)**

The Chairman of the Reporting Review Committee should entirely satisfy himself/herself that there is adequate documented evidence to prove that an Adverse report is warranted before endorsement/amendment.

PART D GUIDANCE NOTES FOR PART II - INDIVIDUAL ASPECTS OF PERFORMANCE

The RO should note that for certain types of work, not all items of the performance report may be applicable. Where any items are clearly inapplicable, the RO should note "N.A." in the relevant item of the report.

Section 1 - Workmanship

An overall “Very Poor” rating in this section will result in an “Adverse” report.

Item 1.1 Standard of temporary works

- are all materials and components used for the works generally of good quality, free from significant corrosion and damage or excessive deterioration?
- where welds are present, have they been carried out in accordance with the Contract?
- if timber is used, is there evidence of physical damage, signs of attack by decay, rot or insect attack or the development of shakes or spits?
- is bamboo used for scaffolding relatively new and free from splits along its entire length? Are joints securely tied and the whole scaffold anchored to the workplace?
- are temporary faces of excavations properly supported and maintained in a stable condition as required by the Contract prior to reinstatement?
- are earthworks final surfaces protected from damage due to water or other causes and from exposure to conditions which may adversely affect the surface prior to installation of permanent works in accordance with the Contract?
- are dewatering operations causing instability or settlement of adjacent land or structures?
- are temporary drainage facilities adequate for preventing flooding and surface erosion as required by the Contract?

Where details of temporary works have been requested by the RO to be submitted in accordance with GCC Clause 16(1),

- are the temporary works carried out in accordance with that submitted by the contractor?
- are the safety margins adequate against the risk of failure?
- does the contractor’s design meet the contract requirements?

Where the temporary works are of such importance that these have been specified to be independently checked in accordance with WBTC No. 3/97,

- have the temporary works been designed with the factor of safety appropriate to the risk involved or as specified?
- are the works constructed according to the certified design?

Item 1.3

Standard of workmanship, earthworks

- do lines and levels for filling, excavation and dredging comply with the tolerances given in the Specification?
- are the materials used for backfilling in accordance with the Contract?
- are degrees of compaction adequate in accordance with the Contract?
- is the stockpile of excavated material suitable for backfilling adequately protected as per the Contract?

Item 1.4

Standard of workmanship, structural

In the case of structural concrete,

- is formwork generally rigidly fixed in place as per the Contract?
- is reinforcement clean and free from dirt, rust and other deleterious material before concreting commences?
- is reinforcement fixed with adequate numbers of tie wires, are laps of adequate length and located as designated?
- is concrete strength in compliance with the Contract as demonstrated by cube tests and does curing practice conform with that specified?

In the case of structural steelwork,

- has the steelwork been fabricated in accordance with submitted workshop drawings?
- are handling and storage procedures adequate?
- is good welding practice adopted throughout the installation and are welds of strength in accordance with the contract requirements as demonstrated by testing?
- are bolts installed and tightened in accordance with the Specifications?

Item 1.5

Standard of workmanship, finishes

- have all finishes been carried out such that the characteristics of finish specified on the drawings and tolerances given in the Specification are met?
- where trial panels have been specified, does the finished surface comply with the approved trial panel?
- for structural steelwork, has the contractor carried out all the relevant procedures specified for preparation of the steel surface

prior to application of the next paint layer or coating?

Items 1.6 - 1.8

Standard of workmanship, conduit/pipe/duct works, equipment and plant and testing and commissioning

These items are to be used for reporting of Specialist contractors where such works may be the predominant works for that period.

Item 1.9

Standard of workmanship, landscape softworks/tree works

Workmanship

- are all materials including plants, soil mix, soil conditioner, mulch, fertilizer, stakes/ties/guys, protective fabric material etc used for the landscape works generally of good quality and in accordance with the Specification?
- is topsoil material properly re-used?
- are materials for hydroseeding well mixed and properly sprayed?
- is protective material placed according to the Specification?

Landscape softworks/tree works

- has the contractor submitted a detailed method statement and programme for transplanting the existing trees before commencing tree transplanting work?
- has the contractor taken all necessary precautions to ensure that no damage is done to the tree during all processes of transplanting?
- are rootball box sizes made according to the Specification?
- are rootballs well protected during handling, transportation and storage?
- has the contractor taken good care of the plants during transportation?
- is the storage area of plants in good condition?
- are plants protected from damage?
- are pre-planting works carried out in accordance with the Specification?
- are planting works carried out in accordance with the Specification?
- are stakes/ties/guys properly fixed in appropriate locations?
- is mulch properly spread to the minimum thickness?
- is surface for hydroseeding properly treated?
- is post-planting fertilizer applied within the allowable period stipulated in the Specification?
- does the turf possess the characteristics stipulated in the Specification?
- do the turfed areas meet the requirement stipulated in the Specification?
- are the turfed areas immediately watered after turf has been laid?
- are unsatisfactory plants/grass replaced promptly?
- are stakes/ties/guys inspected and adjusted regularly during the establishment period?
- is fresh water used for watering during the establishment period?
- have all planted areas been watered to ensure successful

- establishment of plants?
- are weeding/pruning/grass cutting/litter collection carried out regularly during the establishment period where necessary?
- has the contractor provided all necessary tools and equipment for pruning works?
- are all pruning works carried out in accordance with good horticultural practice?
- are necessary precautionary measures taken to control pests, fungi and disease during the establishment period?
- is site clearance (e.g. felling of trees, removing stump, weeding, disposing of the cut material, tree removal under emergency situation) carried out properly if necessary?
- is tree maintenance (e.g. crown cleaning, crown reduction, crown lifting, structural pruning, utility pruning) carried out properly if necessary?

Item 1.10**Standard of workmanship, others**

Any other type of workmanship that are not covered in the preceding items should be assessed in this item. The RO's assessment should be based on whether the works are carried out in accordance with the Specification, the tolerances achieved, the quality of material used, the strength achieved where this may be required and whether repairs or reinstatement works have to be carried out in order for the works to attain an acceptable standard.

Section 2 - Progress

An overall "Very Poor" rating in this section will result in an "Adverse" report.

1. This section should be confined to reporting of the contractor's progress within the reporting period and his efforts in dealing with any delays caused by his previous slow progress.
2. The progress during the reporting period should be reported irrespective of his performance over previous periods.
3. The contractor's progress should be judged on the most updated programme which should have reflected any steps required to be taken during the reporting period to overcome previous delays. The RO should take into account the delays occurring within the reporting period for which it is obvious that extension of time (EOT) would be considered.
4. The contractor's performance can be rated "Satisfactory" or above despite possibly obtaining an adverse report during the previous quarter provided he has achieved or exceeded the progress anticipated from the programme agreed during the reporting period.
5. **While all claims for extension of time for completion of the works (EOT) should be assessed, determined and granted within a reasonable time in accordance with GCC Clause 50, the RO should take into account the potential EOT for claims submitted by the contractor in assessing the progress, which had not yet been determined by the Architect/Engineer.**

Item 2.1 Adequacy of programme

- does the current programme adequately reflect the requirements of the whole contract, include other details requested by the Engineer/Architect, and, where applicable, fully describe all the principal activities to be undertaken by the contractor for completion on or before the currently established date of completion of the contract?
- does the current programme adequately show his proposed works for the reporting period and all other details requested by the Engineer/Architect?
- does the current programme reflect the steps taken to overcome the delays caused by his previous slow progress in accordance with GCC Clause 51(1)?
- does the current programme continue to show any inadequacy in areas which the RO considers will unnecessarily delay the works?
- is the programme realistic in terms of the contractor's proposed achievement in the period?

Item 2.2 Adherence to programme

- has the contractor completed the works according to the programme agreed during the period?

Item 2.3 Updating of programme

- has the contractor revised his programme promptly as a result of EOT granted in accordance with GCC Clause 50(4) or due to other delays in the progress of the works in response to the Engineer's/Architect's notice under GCC Clause 51(1)?
- has the contractor responded promptly to the Engineer's/Architect's comments on the programme?
- does the revised programme affect the progress of other contractors/sub-contractors?

Item 2.4 Suitability of method and sequence of working

- has the contractor's progress been affected by the construction methods he has adopted?
- does the contractor demonstrate a logical approach to his sequence of works?
- are the contractor's proposed methods of working suitable for the types and the scale of work involved?
- does the contractor follow completely/closely the agreed method of working?

Item 2.5 Achievement in period

- has the contractor's progress exceeded the agreed targets?
- has the contractor completed in advance the agreed milestones or targets of work in his programme?
- has the contractor completed the value of work exceeding those expected to be done (based on the agreed programme)?

(The RO should consider giving a “Good” or “Very Good” rating to the contractor for the above achievement made.)

Item 2.6 Action taken to mitigate delay/catch up with programme

- has the actions taken by the contractor to catch up with any delay due to his previous slow progress been effective?
- has he devoted more labour and equipment to the works and improved his method of working where necessary?

Section 3 - Site Safety

An overall “Very Poor” rating in this section will result in an “Adverse” report.

A 5-grade score card should be used for assessing the contractor’s performance on site safety with reference to WBTC no. 26/2000 except for the maintenance period, defect liability period, or establishment period of the contract whereby the completion of score card is not required for the assessment. The score card has six sections which correspond with the performance aspects for the “Site Safety” section in the Report on Contractors’ Performance (RCP). Hence, the scores of individual sections should be used to determine the performance rating of the contractor for the corresponding performance aspects in the RCP. A set of guidance notes is also given in the WBTC for marking the sub-items in the score card. Furthermore, the total score of the score card will form the basis to determine the overall performance rating of the contractor for “Site Safety” section in the RCP.

For RCP where the completion of score card is not required, the set of guidance notes in the WBTC should also be used to determine the performance rating of individual aspects for “Site Safety” section in the RCP.

Section 4 - Environmental Pollution Control

A “Poor” or “Very Poor” rating in Item 4.8 will result in “Poor” or “Very Poor” rating in this section respectively. An overall “Very Poor” rating in this section will result in an “adverse” Report.

It should be noted that any record of non-compliance or poor performance should be limited to those occurring during the reporting period. Records of convictions should not be used as a performance criteria as the contraventions would generally have occurred some months previously.

Item 4.1 Adequacy of water pollution mitigation measures

- has the contractor implemented effective and efficient water pollution mitigation measures as required by the contract?
- has the contractor monitored the requisite water pollution mitigation measures satisfactorily?
- has the contractor provided promptly the requisite boats/technicians/testing equipment for carrying out the water

quality monitoring work?

Item 4.2 Adequacy of noise pollution mitigation measures

- has the contractor implemented effective and efficient noise pollution mitigation measures as required by the contract?
- has the contractor monitored the requisite noise pollution mitigation measures satisfactorily?
- has the contractor provided promptly the requisite equipment/access for carrying out the noise level monitoring work?

Item 4.3 Adequacy of air pollution mitigation measures

- has the contractor implemented effective and efficient air pollution mitigation measures as required by the contract?
- has the contractor monitored the requisite air pollution mitigation measures satisfactorily?
- has the contractor provided promptly the requisite equipment/access for carrying out the air quality monitoring work?

Item 4.4 Adequacy of waste pollution avoidance measures

- has the contractor implemented effective and efficient waste pollution avoidance measures?
- has the contractor monitored the requisite waste pollution avoidance measures satisfactorily?

Item 4.5 Compliance with environmental enactments

- has the contractor taken all necessary measures to comply with environmental enactments?
- has the contractor been reluctant to comply with environmental enactments despite repeated warnings and reminders?
- has the contractor received any prosecutions for violations of environmental enactments?

Item 4.6 Action taken to remedy non-compliance

- has the contractor improved the method of working to remedy non-compliance with environmental enactments?
- have the actions taken by the contractor to remedy non-compliance with environmental enactments been effective?

Item 4.7 Implementation of waste management plan

- did the contractor submit the waste management plan in time?
- has the waste management plan been properly prepared to include the details required under the Contract?
- are the proposals in the waste management plan able to meet the

target of avoidance, minimization and recycling and reuse of C&D material with particular reference to the nature of the Contract?

- did the contractor respond promptly to the Engineer's/Architect's comments on the waste management plan?
- has the contractor properly implemented the waste management plan during the reporting period?
- has the contractor updated or revised his waste management plan promptly if the situation warrants and/or so required by the Engineer/Architect?
- has the contractor kept adequate and proper records during the reporting period?
- has the contractor's report on the implementation of waste management plan been properly prepared?
- has the contractor submitted the monitoring proposal and is the proposal effective?

Item 4.8

Implementation of Trip-ticket System to control disposal of construction & demolition materials

- has the contractor taken any effective measures to ensure that every truckload of C&D materials bears a duly completed Disposal Delivery Form (DDF) / CHIT before leaving the Site?
- has the contractor submitted the duly completed and stamped DDF, CHIT and/or the transaction receipt (where relevant) within the time as stipulated in the Contract?
- has the contractor kept comprehensive and updated records of the DDF / CHIT issued?
- has the contractor taken prompt corrective actions to rectify the non-compliance with the TTS requirements?
- Item 4.8 should be rated as "Very Poor" and overall "Very Poor" for Section 4 if illegal dumping of C&D materials or unauthorized disposal of C&D materials to private agricultural land occurs, or the number of improper disposal [see Clauses (16)&(17) of Appendix A in ETWB TCW No. 31/2004 or Clauses (15)&(16) of Appendix C in DEVB TCW No. 6/2010] during the reporting period exceeds the limit as stipulated in Para. 21(b) of ETWB TCW No. 31/2004 or Para. 26(b) of DEVB TCW No. 6/2010.

For contracts tendered on or after 1 February 2005, the following additional guidelines are relevant:

- has the contractor properly implemented the approved site management plan for implementation of the TTS?
- has the contractor informed the truck drivers, whom he has engaged for removal of C&D materials from the Site, the TTS requirements as stipulated in the Contract [see Clause (9) of Appendix A in ETWB TCW No. 31/2004 or Clause (9) of Appendix C in DEVB TCW No. 6/2010]?
- has the contractor submitted the Daily Record Summary in accordance with the specification in the Contract?

For further details, project offices should refer to ETWB TCW No. 31/2004 or DEVB TCW No. 6/2010.

Section 5 - Organisation

In completing the assessments, the following aspects should be considered in relation to the scope, value and technical complexity of the contract.

Item 5.1 Adequacy of organisation structure

- has an organisation chart been provided?
- does the chart reflect the actual situation?
- are lines of management and communication clear and effective?

Item 5.2 Support by head office

- does the contractor's head office have a representative who is aware of and actively monitoring site matters?
- are head office management responsive to giving support to site management?
- has the head office responded to the need for structural or staff changes in the site staff organisation to meet site conditions?
- has the head office responded promptly and effectively to overcome deficiencies?
- does the head office employ its own staff under a direct contract of employment to effectively manage and supervise the sub-contractors?

(The Engineer/Architect should make the contractor aware of any of his concerns on the lack of support from the contractor's head office. These concerns should also be brought to the attention of the contractor's head office. Warnings in writing should be given to the contractor and copied to his head office if the situation has not been improved despite previous notifications. On the other hand, if the Engineer/Architect considers that the contractor's head office has provided better than average support on site matters, he should record his findings properly and rate this item as "Good" or above.)

Item 5.3 Adequacy of planning of work

- does the programme meet the requirements of the contract?
- is the programme adequate for work in hand?
- is the programme used effectively as a management tool?
- does the contractor plan his resourcing and procurement to meet the needs of the programme?
- have method statements been submitted?

Item 5.4 Adequacy of delegation of authority

- has the site agent been delegated authority to:
 - direct and control site activities?
 - manage sub-contractors' planning and execution?
- do sub-contractors accept the site agent's authority?
- has the contractor delegated his authority to his supervisory staff?

in supervising and managing the sub-contractors?

Item 5.5 Control of supervisory staff by site agent

- has a site organisation chart been drawn up?
- are lines of communication clear?
- are site staff delegated with authority that they can discharge their duties effectively?
- have site supervisors been briefed on agreed method statements and procedures?

Item 5.6 Management of sub-contractors by site agent

- has he exercised effective managerial control over sub-contractors?
- has he exercised technical control over sub-contractors?
- has he exercised quality control over sub-contractors?
- has he coordinated the work of sub-contractors effectively?
- does he provide adequate support to sub-contractors?

Item 5.7 Adequacy of site supervisory staff

- are there adequate site supervisory staff?
- are there adequate contractor's staff to direct sub-contractors' work?
- do they have technical knowledge and experience appropriate to their level of responsibilities?
- do they take effective measures to monitor and maintain specified standards or are the Resident Site Staff required to intervene to achieve standards?

Item 5.8 Identification of and responsiveness to problems

- are there good communication channels between the contractor's site staff and the relevant resident site staff?
- does the site agent identify and recognise problem areas before they develop too far?
- are informal communication channels with the RO set up with a view of discussing and resolving potential problems?
- are corrective actions being initiated promptly?
- has the contractor maintained a good record in compliance with instructions?
- has the contractor reflected the situation to the RO if he finds it difficult to comply with any instructions?
- has the contractor taken all reasonable measures to identify any suspected unlawful water taking activities and prevent unlawful taking of water at the site? Such reasonable measures include :
 - (i) Promotion for site personnel, workers, subcontractors and other relevant parties against unlawful taking of water (for example, display of posters and warning signs on site, regular briefings, etc);
 - (ii) Regular inspections of the site to identify any suspected

- unlawful water taking activities;
- (iii) Regular checking of water bills to ensure that the amount of water usage indicated in the bills is reasonable; and
- (iv) Keeping of records of the above measures.

Item 5.9 Compliance with provisions in SCC on sub-contracting and submission of the SMP

- did the contractor ensure that his sub-contractors have not sub-contracted the whole of the works assigned to them?
- did the contractor employ his own staff under a direct contract of employment to manage and supervise his sub-contracting works?
- has the SMP been properly prepared as per the scope and contents stated in the Contract?
- did the contractor submit the SMP in time?
- has the contractor submitted the proposed measures and approaches as per the details stated in the contract?
- has the contractor updated and submitted his SMP to reflect his latest sub-contracting arrangement?

Section 6 - General Obligations

A “Poor” or “Very Poor” rating in Item 6.1 will result in “Poor” or “Very Poor” rating in this section respectively.

Item 6.1 Cleanliness of site

The rating of this item should be determined in accordance with the scoring method given in Annex 1 to Appendix 4B.

Item 6.2 Care of works

- has the contractor exercised due care in the care of the works including also construction plant, temporary works and materials on site?
- has the contractor always been difficult in care of the works despite repeated warnings?
- in case of damage, has the contractor made good the damage with reasonable speed?

Item 6.3 Compliance with insurance requirements

- has the contractor complied with the insurance requirements as stipulated in the contract?
- is the contractor reluctant in complying with the insurance requirements despite repeated reminders?

Item 6.4 Coordination of utilities and other authorised contractors

- have coordination meetings been held with the utility

undertakings and other authorised contractors to work out an agreed works programme?

- has the contractor maintained close liaison with utility undertakings and other authorised contractors and informed the RO on the developments with respect to the agreed programme?
- has the contractor made reasonable allowance for time and provision of facilities and working space for utility undertakings and other authorised contractors in his programme?
- has the contractor taken reasonable steps to co-operate with the utilities and other authorised contractors?
- have the utilities and other authorised contractors being reasonable in co-operating with the contractor?

Item 6.5

Compliance with conditions for road openings

- has the contractor complied with the Code of Practice for Signing, Lighting and Guarding of Road Works?
- has the contractor complied with the conditions of the excavation permit?
- has the contractor properly removed surplus excavated material?
- has the contractor provided adequate alternative pedestrian facilities and information on notice boards?
- has the contractor complied with the Engineer's/Architect's instructions?

Item 6.6

Care of utilities

- has the contractor taken care not to cause damage to utilities?
- has the contractor a repeated record of causing damage to utilities?

Item 6.7

Compliance with enactments other than environmental

- has the contractor had a bad record of non-compliance with enactments, including, amongst others, prosecution against any person for unlawful taking of water at the site during the report period?
- has the contractor taken all reasonable measures to comply with enactments, including, amongst others, any measures to inhibit unlawful taking of water at the site?

Item 6.8

Adequacy/submission of operational and maintenance manuals

- have the manuals been submitted within the time stipulated in the contract?
- are the manuals clear and comprehensive?

Item 6.9

Training of employer's personnel

- has the contractor complied with requirements to train the employer's staff in the running and management of plant and other installations?

Item 6.10 Adequacy of notice for inspection of works

- does the notice clearly identify the work to be inspected?
- is the notice submitted in time as stipulated in the contract?

Item 6.11 Payment of nominated sub-contractors

- has the contractor paid the nominated sub-contractor and not withheld payment without reasonable cause?

Item 6.12 Compliance with particulars related to sub-contracting

- has the contractor furnished the RO with reasonable particulars of the sub-contractors in the SMP?
- has the contractor ensured the necessary contract conditions and provisions be incorporated in the sub-contract?
- has the contractor provided the particulars of sub-contracting on site in his latest submission of the SMP?

Item 6.13 Attention to site security

- is the site generally secure?
- has the contractor fulfilled the site security requirements?
- are materials, including materials required for temporary works, stored in a secure manner?
- has the contractor reacted promptly to unsecured site conditions?

Item 6.14 Attention to records

- are contemporary records including plant, labour and work activities kept accurately and submitted promptly?
- is the site diary attended to on a timely and effective basis in accordance with GCC Clause 32?
- are daywork accounts kept accurately and submitted promptly?

Item 6.15 Attention to submission of accounts/valuations

- are accounts and valuations, if required by the contract submitted promptly?
- are accounts and valuations, if required by the contract accurate and sufficiently detailed?

Item 6.16 Control of materials supplied by Government

- has the contractor kept up-to-date records of the movements and locations of the material and equipment?
- has the contractor carried out physical stock taking?
- are the materials and equipment stored in a proper manner?

Item 6.17**Preservation and protection of trees**

- has a tree preservation and protection plan been submitted before commencement of the Works if applicable?
- has the contractor assigned a person to oversee the implementation of the tree preservation and protection plan?
- has a tree survey been carried out and a tree survey record been submitted to the Engineer / Architect / Maintenance Surveyor / Supervising Officer within 28 days of the date of commencement of the Works?
- has a labeling or marking system been adopted on Site to identify trees of different status?
- has the contractor exercised proper care to avoid any damage to the preserved trees during construction, including inspection of the protective measures just before typhoon and heavy rainstorm?
- are protective measures erected, secured and maintained in good condition where practicable?
- is there any unauthorized change in existing ground level within the tree protection zones of the preserved trees?
- is there any unauthorized excavation works within the tree protection zones of the preserved trees?
- is there any unauthorized drilling works within the tree protection zones of the preserved trees?
- are necessary physical support measures provided to ensure the stability of the preserved trees?
- are all necessary precautionary measures taken to protect the preserved trees from pest and disease attack?
- has the contractor reported promptly within the required timeframe on occurrence of damage to the preserved trees, including those caused by typhoon and heavy rainstorm, and carried out all necessary work of repair of any damage of the preserved trees and any other plants affected?
- has the contractor reported in a timely manner on tree problems which may pose damage to the public if the tree falls and responded promptly to tree failure incidents?
- have tree risk assessment and the associated remedial actions been properly carried out according to the contract?
- are the trees irrigated adequately?

Note:

1. Should the contractor be found responsible for the unauthorized tree felling or damage of trees, reporting officer should consider rating this item as 'Poor'.

Section 7 - Industry awareness

A “Poor” or “Very Poor” rating in Item 7.8 will result in “Poor” or “Very Poor” rating in this section.

Item 7.1 Employment of technician apprentices and building & civil engineering graduates

In accordance with the requirements of ETWB TCW No. 12/2003

- has the contractor employed the correct number of apprentices and graduates in relation to the size of the contract and within the stipulated time period of three months?
- has he demonstrated by written records his continued efforts in recruitment of the required staff if not immediately available?
- has he implemented valid contracts of apprenticeships as stipulated in the Apprenticeship Ordinance (Cap. 47)?

Item 7.2 Training of technician apprentices and building & civil engineering graduates

For technician apprentices, has the contractor

- demonstrated by providing records that he has provided the required training relevant to their respective trades;
- arranged for their attendance in an approved technical institute leading to the award of either a Higher Certificate in Building Studies, civil engineering or a comparable alternative.

For building and civil graduates, has the contractor

- provided experience training following established training guidelines for the various disciplines as far as possible;
- provided adequate professional supervision.

Item 7.3 Care and welfare of workers

- has the contractor provided sanitary latrine accommodation in accordance with the Contract and maintained it in a clean and sanitary condition?
- if provided, are canteen facilities maintained in a clean and sanitary condition?

Item 7.4 Care of the general public

- has the contractor taken reasonable steps to fulfill his obligations under GCC clause 22(1)? If not state why.
- has he carried out his works with due care and attention for the safety of the general public? If not state why.
- has he tried to minimise obstructions and other disturbances to the public? If not state why.
- has the contractor provided hoarding, fencing, covered walkways

and the like, together with all necessary lighting and warning notices in English & Chinese, and maintained the whole in good and safe condition?

- has the contractor provided a flagman, signalling system or other practical means of controlling vehicles entering or leaving the site?
- has the contractor properly maintained wheel washing facilities to prevent mud from being carried onto public roads by vehicles leaving the site?
- if required, has the contractor provided and properly maintained temporary traffic lights, or provided flagmen to control traffic on the public highway?
- has the contractor provided the watchmen/security guards as specified at all times of the day?

Item 7.5**Employment of qualified tradesmen and intermediate tradesmen**

- has the contractor employed the minimum number of qualified tradesmen and intermediate tradesmen of each of the specified trades as specified in the Contract?
- has the contractor demonstrated from records his continued effort to recruit the minimum number if not immediately available?

Item 7.6**Training of workers to meet manpower demands**

- has the contractor complied with requirements to train the trainees to attain required skill levels ?
- has the contractor demonstrated from records that they had provided the required training?
- has the contractor provided adequate trainers?

Item 7.7**Employment of sub-contractors registered from the Subcontractor Registration Scheme**

In accordance with the requirements in Chapter 7 of the PAH,

- has the contractor employed sub-contractors registered under the respective trades available under the Primary Register of the Subcontractors Registration Scheme?
- has the contractor ensured his sub-contractors to employ their further sub-contractors registered under the respective trades available under the Primary Register of the Subcontractors Registration Scheme?

In cases where separate performance report is made for the nominated sub-contractor (NSC), the following guidance notes should be added:

- has the NSC registered under the respective trades available in the Primary Register of the Subcontractors Registration Scheme?
- has the NSC employed his sub-contractors registered under the respective trades available in the Primary Register of the Subcontractors Registration Scheme?
- has the NSC ensured his sub-contractors to employ their further sub-contractors registered under the respective trades available in the Primary Register of the Subcontractors Registration Scheme?

Item 7.8 Anti-mosquito breeding

- has the contractor treated stagnant water on site and to take proper measures to guard against mosquito breeding?
- has the contractor reacted promptly to improve the control of mosquito breeding after written warning? A poor or very poor performance in this aspect will result in “Poor” or “Very Poor” rating in this item respectively.

Item 7.9 Compliance with site uniform requirements

- has the contractor’s uniform design been submitted in a timely manner and in compliance with the contract requirements?
- has the contractor provided the uniform and uniform changing facilities (if required) in accordance with the contract requirements?
- is the uniform being maintained in reasonably tidy and good conditions?
- are uniform items that are damaged, torn, worn, expired or lost replaced promptly?
- has the contractor taken reasonable steps to ensure that his site personnel wear the uniform provided when they are on site?
- have the audit results on the wearing of uniform been satisfactory?
- are the uniform changing facilities (if required) maintained in accordance with the contract requirements?

Item 7.10 Productivity enhancements

- has the contractor followed the mechanisation/prefabrication and other productivity-enhanced means in the Technical Proposal?
- has the contractor adopted appropriate construction methods, technologies and processes, e.g. use of prefabricated formwork?
- has the contractor used innovative construction technologies, methods and systems or innovative application of existing technologies, methods and systems to enhance productivity?
- has the contractor used appropriate mechanical plant and equipment, e.g. self-climbing or crane-lifted scaffold for work at height, etc.?
- has the contractor followed good site practices, such as monitoring of trade productivity, provision of appropriate plant training to workers?

Section 8 - Resources

The level of resources provided by the contractor should be reviewed in monthly progress meetings and improvement, where needed, should be pointed out specifically by the RO. The contractor shall be rated "Very Poor" if he consistently fails to make improvement in the period and fails to achieve the targeted progress for the period or the standards of workmanship specified.

Item 8.1 Adequacy of plant resources

- has the contractor provided sufficient plant resources of suitable state and condition to achieve the planned progress?

Item 8.2 Adequacy of labour resources

- has the contractor provided sufficient labour resources of suitable levels of skill to achieve the planned progress and the specified workmanship?

Item 8.3 Adequacy of material resources

- has the contractor provided sufficient temporary and permanent material to achieve the planned progress and the specified quality requirement?

Section 9 – Design

The contractor is required to comply with the contract specification and/or Employer's Requirements and also, where applicable, any better offers in the contractor's Technical Proposal which forms part of the Contract in order to be awarded a "Satisfactory" grade.

Item 9.1 Collection and appreciation of information (e.g. design codes, design parameters)

- has the contractor collected all relevant data and interpreted them correctly?
- have sufficient site surveys and investigation been carried out?
- have comprehensive design notes (memoranda) been prepared to summarize design criteria?
- are design criteria appropriate?
- do the design criteria meet relevant design codes and regulations?
- are design checking procedures specified (in case they are not specified by the Employer and/or in the Contract)?

Item 9.2 Adequacy and quality of design solutions**(a) General**

- is the design complete?
- can the design satisfy the contractual and/or Employer's Requirements and/or Technical Proposal where better offers have been included?
- are the design solutions cost effective and in compliance with the contractual and/or Employer's Requirements and/or Technical

- Proposal where better offers have been included?
- have adequate consideration, allowance and provision been given for possible variation, if appropriate?

(b) Specific requirements

- has adequate attention been given to aesthetical design and overall appearance including landscaping?
- has the contractor taken into account all the functional and planning requirements specified in the contract in developing the design?
- has the contractor adequately addressed effectiveness, ease of construction and associated risks in developing the structural layout?
- are the buildings services and related systems designed and planned with sufficient efficiency and flexibility for future replacement, alteration and expansion?
- has the contractor provided satisfactory operation and maintenance facilities in terms of efficiency, user-friendliness and durability?

(c) Better design solutions

- has the contractor proposed and implemented successfully any design changes resulting in appreciable benefits to the client, such as saving in cost, reduction of construction time and/or enhanced quality?

Item 9.3

Environmental friendliness, health and safety, innovation, energy efficiency, life cycle costs and productivity enhancements

(a) Environmental friendliness, health and safety

- is the design satisfactory in terms of environmental friendliness with usage of non-renewable resources reduced, materials harmful to people and the environment avoided and sufficient green measures incorporated?
- are environmentally friendly materials, such as recycled and reusable materials and processes adequately incorporated in the design?
- has the contractor taken sufficient consideration of health and safety in developing the design and provided sufficient mitigation measures to minimize health and safety hazards?

(b) Innovation

- is adoption of innovative and intelligent building/structural design solutions and construction methods satisfactory?
- is adoption of innovative and intelligent designs of building service, mechanical and electrical equipment, electronic systems and other operation and maintenance facilities satisfactory?
- has the contractor adequately incorporated innovative green measures?
- Can the adopted innovative solutions enhance quality, optimize costs and minimize risks and impacts?

(c) Energy efficiency and life cycle costs

- has the contractor given sufficient consideration to energy efficiency in designing the general configuration of the structure/facility, e.g. orientation to optimize daylight utilization?
- have adequate energy saving measures been incorporated?
- has the use of energy efficient features and renewable energy technologies been sufficiently considered pursuant to ETWB TCW No. 16/2005?
- are design solutions sufficiently cost effective with due regards to the total cost over the project life to optimize the costs of construction, operation, maintenance, replacement and energy consumption?

(d) Productivity enhancements

- has the contractor given consideration to labour-efficient measures in the design?
- can the adopted innovative measures and construction methods or innovative application of existing measures and construction methods effectively improve the workers' productivity?

Item 9.4**Consultation with relevant Government departments and utility undertakers**

- have all relevant departments and utility undertakers been consulted?
- does the design reflect comments and views of relevant departments and utility undertakers?
- have statutory submissions as required under various ordinances and regulations been made in time?
- are the submissions in compliance with all the relevant statutory requirements?
- have timely and proper coordination been made with the relevant utility undertakers?
- have utility submissions been made promptly?

Item 9.5**Quality and promptness of design submissions**

(a) General

- have design documents been submitted in time to meet the construction programme?
- is the design clearly and fully presented?
- have drawings been prepared and do they provide necessary information for the contractor's design to be assessed?
- have drawings incorporated the client's/SO's/Architect's/Engineer's comments?
- have specified design checking procedures been followed?
- have the necessary procedures/schedule for verification of the design assumptions and the corresponding measures for catering for variations been clearly given in the design?
- has the contractor followed the procedures set out in the contract promptly and effectively to change design in response to variations to the Employer's Requirements which are necessary for the completion of the Works as ordered by the SO/Architect/Engineer?

(b) Additional considerations for D & B Contracts

- has Project Design Plan been submitted and updated within specified time frame?
- is the Project Design Plan clear, complete and in compliance with the contract requirements?
- have Approval in Principle submissions been made within specified time frame?
- are the Approval in Principle submissions clear, complete and in compliance with the contract requirements?
- have Detailed Design Approval submissions been made within specified time frame?
- are the Detailed Design Approval submissions clear, complete and in compliance with the contract requirements?

Item 9.6**Quality and timely submission of as-built drawings, maintenance manuals and warranties**

- has submission of warranties, maintenance manuals and as-built drawings met specified time frame?
- are the as-built drawings clear and comprehensive?
- do the as-built drawings incorporate all changes ordered or made?
- do the as-built drawings include relevant construction details?
- are the as-built drawings sufficient for future maintenance and alteration/extension?
- have all necessary recommendations on maintenance requirements of all elements of works been given in the maintenance manuals?

Note

This section is generally applicable to all contracts with design elements, instead of D&B contracts only. Please refer to Notes 2, 3 & 4 in Part A of Appendix 4B to the CMH for the weighting to be given for this section or individual aspect of performance.

Section 10 - Attendance to emergency (term contracts)**Item 10.1****Response to call**

- does the contractor respond with appropriate promptness to emergency calls at all times of the day?

Item 10.2**Attendance to on-call emergency repairs**

- is the contractor readily available when required to attend to repairs?
- does the contractor attend to on-call and emergency duties with due care and diligence?

Item 10.3**Speed of emergency repairs**

- does the contractor carry out emergency repairs with adequate speed and promptness when instructed?
- are the emergency repair works of adequate standard?

Annex 1 – Scoring Method for Item 6.1 Site Cleanliness in Section 6 on General Obligations

6.1 Site Cleanliness	Criteria	Max. Mark
Is the site generally tidy and clean?	• Adequate Number of rubbish bin provided • Rubbish collection point provided • Rubbish properly collected • No scattered loose debris and materials • No storage of materials on passageways • Dust adequately suppressed • No Dripping water • Adequate and suitable lighting • No projecting nails or sharp objects are used and left on site • Passageways kept free of obstruction • Demarcated walkway and storage area provided as required	5
Has the contractor spent effort in keeping the site clean and tidy?	• Cleaning team provided • Staff assigned for cleaning • Arrangement or daily cleaning • Records kept • Housekeeping plan provided • Toolbox training provided • Pest control measures adopted • Equipment is isolated prior to cleaning and routine maintenance operations • Adequate toilet for employees, male/female toilets • Hand washing facilities for employees, nature of work may require shower facilities	3
Are materials, including materials required for temporary works, stored in an orderly manner?	• No unstable storage of materials (Height < 2m) • Cylindrical materials wedged • Chemicals properly labeled • No obvious overloading of floor or structure • DG / Chemical store provided • Demarcated area for storage provided	4
Has the contractor maintained all public access within the site tidy?	• Worker deploy to maintain the site entrance cleanliness • No storage materials at the public access • Dust suppression at the public access • Hoarding provided • Demarcated works area provided • Sufficient warning and lighting provided • Safe, approved methods for cleaning and/or maintaining equipment are used. • Equipment and work areas are cleaned/maintained according to agreed safety, preventative maintenance schedules, and where applicable, manufacturer specifications.	5

Annex 1 – Scoring Method for Item 6.1 Site Cleanliness in Section 6 on General Obligations

6.1 Site Cleanliness	Criteria	Max. Mark
Has the contractor reacted promptly to complaints on untidy site conditions?	- Rectify the complaints made within the time limit specified by the RO with written rectification report provide to the client - Any complaint hotline established - Compliant hotline easily reachable - Designated person responsible for handling complaints - Verification with Meeting minutes / Monthly report	4
Has the contractor reacted promptly to improve the tidiness and cleanliness on untidy site conditions after written warning? A poor or very poor performance in this aspect will result in “Poor” or “Very poor” rating in item 6.1.	- Rectify the complaints made within the time limit specified by the RO with written rectification report provide to the client - Verification with Meeting minutes and Monthly Report	5
Score of this main item = $\frac{\text{Sum of marks obtained for all relevant sub-items}}{\text{Sum of maximum marks for all relevant sub-items}} \times 100\%$		
Rating of Item 6.1 : Very Good / Good / Satisfactory / Poor / Very Poor (>85% / >70-85% / >50-70% / >30-50% / 0-30%)		

APPENDIX 4C Category Codes

The following category codes shall be used for the “Predominant category of work” in Section A Part I - Summary of Performance.

<u>Category code</u>	<u>Description</u>
AIR	Air-conditioning Installation
AUDI	Audio Electronics Installation
BD	Buildings
BEAR	Supply and Installation of Bearings for Highway Structures
BITU	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing
BURG	Burglar Alarm and Security Installation
COAE	Broadcast Reception Installation
COKI	Catering Equipment Installation
DIES	Diesel Generator Installation
ELEC	Electrical Installation
ELME	Electrical and Mechanical Installation for Sewage Treatment and Screening Plant
ELTI	Electronic Timing and Display Installation
EXPA	Supply and Installation of Expansion Joints for Highway Structures
FABS	Fabrication of Steel Pipe Specials
FABU	Fabrication of Unfired Pressure Vessels
FIRE	Fire Service Installation
FOUN	Fountain Installation
GAS	Liquefied Petroleum Gas Installation
GLAS	Design, Manufacture and Installation of Glass (or Fibre) Reinforced Plastic Units
GROU	Ground Investigation Field Work
INDU	Industrial Type Electrical Installation
LAND	Land, Engineering and Hydrographic Survey Services
LANP	Landslip Preventive/Remedial Works to Slopes/Retaining Walls
LANS	Landscaping
LIAP	Survey of Lifting Appliances and Lifting Gear

<u>Category code</u>	<u>Description</u>
LIFT	Lift, Escalator and Passenger Conveyor Installation
LOVO	Low Voltage Cubicle Switchboard Installation
MANU	Mechanical Plant and Equipment Installation
MECH	Mechanical Handling and Lifting Installation
MOTO	Motor Vehicle Body-building and Painting
OTHE	Others
PILE	Land Piling
PREF	Prefabricated Architectural Walls and Finishes (Screens, Sound Barriers and Retaining Walls)
PRES	Prestressed Concrete Works for Highway Structures
PUMP	Supply and Installation of Pumpsets and Associated Pipework
PW	Port Works
RADI	Radio Electronics Installation
RD	Roads and Drainage
REHI	Repair and Restoration of Historic Buildings
REMO	Repair of Motors, Transformers and Switchgear
ROAD	Road Marking
SF	Site Formation
SOIL	Soil and Rock Testing
SPAC	Space Frame Systems
SPEC	Specialized Operations for Highway Structures
STBO	Survey of Government Land Steam Boilers
STEA	Steam and Compressed Air Installation
STRU	Structural Steelwork
SURV	Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)
SWIM	Swimming Pool Water Treatment Installation
TURN	Turn-key Interior Design and Fitting-out Works
UNIN	Uninterruptible Power Supply Installation
VIDE	Video Electronics Installation
WATE	Supply and Installation of Water Treatment Plant
WW	Waterworks

APPENDIX 4D Timetable for Reporting on Contractors' Performance

	No. of Working Days after the Reporting Day (Saturday not counted as working day)																																			
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	
(1) RO to send report to RRC																																				
(2) Contractor to be sent an advance copy of the report																																				
(3) RRC to review all the reports																																				
(4) For reports where contractors have not raised any disagreements or RRC has not proposed any alterations																																				
(a) RRC to arrange uploading of reports and MRC to review Adverse reports								Receipt of Adverse reports by MRC, etc. from RRC																												
(5) For reports where contractors have raised disagreements																																				
(a) Contractor to notify RRC of disagreements in advance																																				
(b) Contractor to submit representations to RRC																																				
(c) RRC to review representations and make decisions																																				
(d) RRC to arrange uploading of reports and MRC to review Adverse reports																																				
(6) For reports where RRC has proposed alterations																																				
(a) Contractor to notify RRC if they disagree with proposed alterations								Receipt of RRC's proposed alterations by contractor																												
(b) Contractor to submit representations to RRC in case of disagreement																																				
(c) RRC to review representations and make decisions																																				
(d) RRC to arrange uploading of reports and MRC to review Adverse reports																																				

Note: Refer to paragraph 4.6.4 for details.

APPENDIX 5A Standard Warning Letter for Poor Performance

Addressed to Contractor
Sent by registered post

Dear Sirs,

List of Approved Contractors for Public Works:
Category (), Group ()

List of Approved Suppliers of Materials and Specialist Contractors for Public Works
(Category of work)

An Adverse report has been made in respect of your performance during the period
(date) to (date) on contract no. (number and name).

Particular aspects of your performance during this period which have given rise to the
adverse report are:-

(details)

I urge you to make a rapid and substantial improvement in your performance.
Should there be further Adverse reports, I will have to call for more frequent assessments of
your performance and your competence to carry out further government contracts will be
reviewed. This may result in your suspension from tendering, downgrading or removal from
the list.

(name)
for (Director of Reporting Department)

c.c. SEO(PS), DEVB

c.c. (Director of Managing Department)
(For attn. of Secretary of the Managing Review Committee)

APPENDIX 5B Standard Letter for Withdrawal of Tender – Type A

Addressed to Contractor
Sent by registered post

Dear Sir,

**List of Approved Contractors for Public Works/
List of Approved Suppliers of Materials and Specialist Contractors
for Public Works*
[Category]**

**[Contract No.]
[Contract Title]
[Nature of the Conduct]**

You are an approved contractor on the List of Approved Contractors for Public Works/List of Approved Suppliers of Materials and Specialist Contractors for Public Works* under the [works category concerned] category.

You have submitted a tender for the above contract. However, you have [state nature of the inappropriate conduct].

I draw your attention to paragraph 5.13.6 of the Contractor Management Handbook – Revision B (CMH) that [state nature of the inappropriate conduct] may warrant regulating action to be taken against you such as suspension from tendering or removal from the above category.

You are therefore required to present me with an explanation stating your reasons for [state nature of the inappropriate conduct] within two weeks from the date of this letter.

Should you fail to respond by the deadline stipulated in this letter or if your response fails to dispel any reasonable suspicions as to your capability or integrity arising from the inappropriate conduct aforementioned, the said conduct shall be counted for the purpose of taking regulating action outlined in sub-paragraph 5.13.6(b) or (c) of the CMH.

Yours faithfully,

([Name])
for Director of [Managing Department]

c.c. SEO(PS), DEVB

* Delete as appropriate

APPENDIX 5C Standard Letter for Withdrawal of Tender – Type B

Addressed to Contractor
Sent by registered post

Dear Sir,

**List of Approved Contractors for Public Works/
List of Approved Suppliers of Materials and Specialist Contractors
for Public Works*
[Category]**

**[Contract No.]
[Contract Title]
[Nature of the Conduct]**

I have considered your letter ref. [letter ref.] dated [date] setting out your reasons for [state nature of the conduct] and am satisfied on the basis of your letter that the [state nature of the conduct] do(es) not give rise to reasonable suspicions as to your capability or integrity.

Following the procedure set out in the Contractor Management Handbook – Revision B (CMH), this matter will be recorded but will not be counted for the purposes of the imposition of regulating action outlined in sub-paragraphs 5.13.6(b) and (c) of the CMH.

I trust you will continue to exercise reasonable care in preparing and submitting tenders for public works contracts.

Yours faithfully,

([Name])
for Director of [Managing Department]

c.c. SEO(PS), DEVB

* Delete as appropriate

APPENDIX 5D Standard Letter for Withdrawal of Tender – Type C

Addressed to Contractor
Sent by registered post

Dear Sir,

**List of Approved Contractors for Public Works/
List of Approved Suppliers of Materials and Specialist Contractors for Public
Works*
[Category]**

**[Contract No.]
[Contract Title]
[Nature of the Conduct]**

I note that you have failed to respond to my letter [letter ref.] dated [date] concerning the captioned [state nature of the conduct]. I have considered your letter ref. [letter ref.] dated [date] setting out your reasons for [state nature of the conduct] and am satisfied that the said conduct does give rise to reasonable suspicions as to your capability or integrity*. As such, the said conduct will be counted for the purpose of taking regulating action against you.

I must warn you that if you still engage in conduct as set out in paragraph 5.13.1 of the Contractor Management Handbook – Revision B (CMH) in the same category and which gives rise to reasonable suspicions as to your capability or integrity without a reason acceptable to us, I am obliged, in accordance with paragraph 5.13.6 of the CMH, to recommend to the Secretary for the Environment, Transport and Works to: -

- (a) remove you from the above category if the said conduct is committed within twelve months from [the tender closing date of the contract in question]; or
- (b) suspend you from tendering for public works contracts in the above category for six months if the said conduct is committed outside the twelve-month period but within thirty-six months from [the tender closing date of the contract in question].

In future please take reasonable care in preparing and submitting tenders for public works contracts.

Yours faithfully,

([Name])
for Director of [Managing Department]

c.c. SEO(PS), DEVB
* Delete as appropriate

APPENDIX 6A Notes for Application for Substitution

Substitution involves a company, firm or joint venture (the new company) which is normally not on the List of Approved Contractors for Public Works (the List) or the List of Approved Suppliers of Materials and Specialist Contractors for Public Works (the Specialist List) substituting for an approved contractor (the outgoing company) on the List and/or the Specialist List. The following requirements must be complied with for any application for substitution:

- (1) The conditions and pre-requisites set out in Sub-section 6.5 and this **Appendix 6A** must be complied with for any application for substitution.
- (2) All contractors on the List and/or the Specialist List including those who are currently under suspension are eligible to apply for substitution. Approval on substitution will only be given if the outgoing company is cleared of all suspension.
- (3) Applications involving a contractor on the List for substituting contractor on the Specialist List, or vice versa, are not permitted unless the contractors involved are within the same company group¹ for at least three years prior to the date of application for substitution. Applications involving a contractor not on any of the List or the Specialist List for substituting contractor on either the List or the Specialist List are also not permitted, if the businesses of the new company do not cover the categories in the List or the Specialist List to which the businesses of the outgoing company belong, unless the contractors involved are within the same company group for at least three years prior to the date of application for substitution. The Secretary for Development shall have the absolute discretion to determine whether the businesses of the new company are covered by the categories in the List or the Specialist List to which the businesses of the outgoing company belong.
- (4) The outgoing company must surrender to the new company and the new company must assume from the outgoing company all relevant managerial and technical staff and other resources previously vested with the outgoing company.

¹ Two Contractors are regarded as within the same company group if they are companies, or undertakings within either of the following, with valid documentary proof:

- companies within the same 'group of companies' within the meaning of the Companies Ordinance (Cap. 622),
- undertakings where one is a 'parent undertaking' in relation to the other, within the meaning of the Companies Ordinance (Cap. 622), or
- undertakings where both are 'subsidiary undertakings' in relation to the same 'parent undertaking', within the meaning of the Companies Ordinance (Cap. 622).

- (5) If the new company meets the admission criteria, the substitution will be approved subject to the outgoing company being still on the company register kept by the Registrar of Companies (for a limited company) or the unincorporated body or partnership has not yet been dissolved as at the date of the approval.
- (6) Normally, all novation agreements of outstanding contracts, if any, the Government has previously entered into with the outgoing company are to be executed among the new company, the outgoing company and the Government on the day of substitution unless otherwise recommended by the Managing Departments. Here, outstanding contracts refer to contracts where final payment certificates have not yet been issued and contracts where final payment certificates have been issued unilaterally by the Engineers/Architects but disputed by the contractor.
- (7) The outgoing and the new companies have to submit a duly executed undertaking to the Government as shown at **Appendix 6B** jointly prior to substitution. If the substitution involves execution of novation agreements, the undertaking may be signed on the day of substitution together with but prior to the signing of novation agreements.
- (8) Once the new company has been included in the List and/or the Specialist List, the following listing status and records of the outgoing company are deemed to have been transferred to the new company and will be regarded as the listing status and records of the new company in the consideration of its future bids for Government works :-
- (a) company experience in undertaking public works contracts, and private sector contracts including the Housing Authority contracts in and outside Hong Kong;
 - (b) performance reports and performance ratings kept by the Development Bureau;
 - (c) conviction records of offences committed under Land (Miscellaneous Provisions) Ordinance (Cap. 28), Immigration Ordinance (Cap. 115), Employment Ordinance (Cap. 57), Factories and Industrial Undertakings Ordinance (Cap. 59), the Public Health and Municipal Services Ordinance (Cap. 132), the Occupational Safety and Health Ordinance (Cap. 509), Shipping and Port Control Ordinance (Cap. 313), Anti-pollution Control Ordinance (Cap.311), Noise Control Ordinance (Cap. 400), Waste Disposal Ordinance (Cap.354), Water Pollution Control Ordinance (Cap. 358), Dumping at Sea Ordinance (Cap.466), Ozone Layer Protection Ordinance (Cap.403) and Environmental Impact Assessment Ordinance (Cap.499), the Merchant Shipping (Local Vessels) Ordinance (Cap. 548), Hazardous Chemicals Control Ordinance (Cap. 595), and other ordinances and related subsidiary legislations;

- (d) regulating actions taken against the outgoing company; and
 - (e) accident records under the public works contracts kept by the Development Bureau
- (9) In an application for substitution, the following documents must be furnished:
- (a) a legal opinion from an independent legal firm certifying that subject to the novation agreements for outstanding public works contracts, there has been full transfer of the relevant liabilities, assets, staff and resources from the outgoing company to the new company upon completion of organizational restructuring. Under exceptional circumstances subject to the Secretary for Development's absolute discretion, the transfer, after the substitution, of those liabilities, assets, staff and resources that are relevant to
 - (1) the private sector contracts to be novated; or
 - (2) the public works contracts and are shared with the outgoing company;

may be considered and allowed if justified with proof demonstrated by the outgoing and the new companies. The Secretary for Development shall have the absolute discretion to decide whether to allow this post-substitution transfer and impose conditions this transfer has to comply with. If such conditions cannot be compiled with, the new company will be subject to removal from the List or the Specialist List;

- (b) a deed provided by the new company to undertake continual employment of personnel and staff that are relevant to the listing requirements as specified in Appendix 2C and/or Appendix 3C, whichever appropriate, for a period of three years, if the application is not based on a change of structure of the outgoing contractor from a partnership (comprising individuals only) or sole proprietorship to a limited company. Any replacement of personnel and staff that are relevant to the above-mentioned listing requirements shall only be allowed on the basis of equal or better quality;
- (c) a deed provided by the outgoing company to undertake not to make any reference to any of its company experience and past performance records;

- (d) a certified copy of the Application by Firm or by other Body Unincorporate for Registration of Business Carried On by such Body in Hong Kong [i.e. Form 1(c) issued by the Inland Revenue Department] of the outgoing company, if the application is based on change of structure of the outgoing contractor from a partnership (comprising individuals only) or sole proprietorship to a limited company.
 - (e) a full list of the new company's directors and shareholders filed in the Companies Registry;
 - (f) a certified true copy of Business Registration Certificate, the Certificate of Incorporation and the Memorandum & Articles of Association of the new company, if applicable;
 - (g) the original or a certified true copy of the latest 3 years' unconsolidated audited accounts, if any, of the new company;
 - (h) a certified statement of outstanding contracts of the new company (including contracts held with the private sector including the Housing Authority); and
 - (i) a certified statement of all contracts to be novated in respect of the outgoing company.
- (10) Both the outgoing company and the new company shall follow the rules set out in Development Bureau Technical Circular (Works) No. 7/2014 and prepare the necessary documents for the signing of an Undertaking to the Government as shown at **Appendix 6B**, and the execution of the novation agreements which will be held on the date of approval of the proposed substitution.

APPENDIX 6B Sample of Undertaking

THIS UNDERTAKING is made the day of [insert month and year] by [name of the company being substituted] whose registered office is at [] ("Company A") and [name of the substituting company] whose registered office is at [] ("Company B") to the Government of the Hong Kong Special Administrative Region ("the Government").

WHEREAS

- (a)# Company A is included in the List of Approved Contractors for Public Works maintained by the Government under Group [] (Confirmed/Probationary) of the [] category(ies) and in the List of Approved Suppliers of Materials and Specialist Contractors for Public Works maintained by the Government under Group [] of the [] category.
- (b)# Company A and Company B (hereinafter collectively called "the Companies") have applied to the Government to include Company B in the List of Approved Contractors for Public Works maintained by the Government under Group [] (Confirmed/Probationary) of the [] category(ies) and in the List of Approved Suppliers of Materials and Specialist Contractors for Public Works maintained by the Government under Group [] of the [] category in substitution for Company A ("the Substitution").

NOW THE TERMS OF THIS UNDERTAKING are as follows: -

1. In consideration of the Government agreeing to consider the Substitution application, the Companies hereby irrevocably and unconditionally give this Undertaking to the Government in the event of approval being given by the Government in respect of the Substitution.
2. In respect of any agreement made before the date of the Substitution between the Government and Company A and which agreement the Government requires novation, the Companies shall, upon request by the Government, duly execute as a deed with the Government a novation agreement in a form as shown at **Appendix 6C** to the Contractor Management Handbook (with only such amendments as may previously have been approved by the Government).
3. In respect of any agreement made before the date of the Substitution between the

Relevant details to be inserted.

Government and Company A together with other person or persons trading as an unincorporated joint venture and which agreement Government requires novation, the Companies shall, upon request by the Government, duly execute as a deed with the Government a novation agreement in a form as shown at **Appendix 6D** to the Contractor Management Handbook (with only such amendments as may previously have been approved by the Government) and procure that such other person or persons in the unincorporated joint venture shall duly execute as a deed the same novation agreement.

4. Where Company A has before the date of the Substitution submitted a tender for any contract put to tender by the Government and where such contract is awarded by the Government on or after the date of the Substitution to Company A, then in respect of such contract, the Companies shall, upon request by the Government, duly execute as a deed with the Government a novation agreement in a form as shown at **Appendix 6C** to the Contractor Management Handbook (with only such amendments as may previously have been approved by the Government).

5. Where Company A together with other person or persons trading as an unincorporated joint venture have before the date of the Substitution submitted a tender for any contract put to tender by the Government and where such contract is awarded by the Government on or after the date of the Substitution to the unincorporated joint venture, then in respect of such contract, the Companies shall, upon request by the Government, duly execute as a deed with the Government a novation agreement in a form as shown at **Appendix 6D** to the Contractor Management Handbook (with only such amendments as may previously have been approved by the Government) and procure that such other person or persons in the unincorporated joint venture shall duly execute as a deed the same novation agreement.

6. The Companies shall submit such documents as the Government may require to satisfy itself regarding due execution by the Companies of any novation agreement as referred to in this Undertaking and, where Clause 3 or Clause 5 of this Undertaking applies, shall procure submission by the other person or persons as referred to in Clause 3 or, as the case may be, Clause 5 of this Undertaking of such documents as the Government may require to satisfy itself regarding due execution by such other person or persons of any novation agreement as referred to in this Undertaking.

7. The Companies hereby irrevocably and unconditionally agree to indemnify the Government against all losses, damages, costs and expenses the Government may incur or suffer as a result of their failing to abide by this Undertaking.

8. The Companies hereby represent that, with respect to their obligations, liabilities or any other matter under or arising out of or in connection with this Undertaking, neither they nor any of their properties or assets have, in the Hong Kong Special Administrative Region, or in any other jurisdiction, any right of immunity on the grounds of sovereignty or otherwise from any legal action, suit or proceedings; from the giving of relief in any legal action, suit or proceedings; from set-off or counterclaim; from the jurisdiction of any court, in the Hong Kong Special

Administrative Region or in any other jurisdiction; from service of process upon them or any agent; from attachment prior to judgment in order to obtain satisfaction thereof; from attachment after judgment or from execution or any other process for the endorsement of any judgment or other legal process in any jurisdiction; and to the extent that the Companies are or become entitled to any immunity as aforesaid, in the Hong Kong Special Administrative Region or in any other jurisdiction with respect to their obligations, liabilities or any other matter under or arising out of or in connection with this Undertaking, the Companies do hereby and will irrevocably and unconditionally waive and agree not to plead or claim any such immunity. The Companies further consent to the giving of any relief in any legal action, suit or proceeding and to execution and or any other form of process for the enforcement of any judgment against them or their assets.

9. For the purposes of Clauses 2, 3, 4 and 5 of this Undertaking, the date of the Substitution shall be a date to be notified in writing by the Government to the Companies which date shall not be earlier than the date of this Undertaking.

10. Company A and Company B each agrees to be jointly and severally liable for the Companies' obligations under this Undertaking.

11. Words importing the singular only also include the plural and vice versa where the context requires.

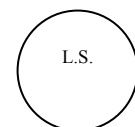
12. The Appendices hereto shall form part of this Undertaking.

13. This Undertaking shall be governed by and construed in accordance with the laws for the time being in force in the Hong Kong Special Administrative Region and the Companies hereby submit to the non-exclusive jurisdiction of the courts of the Hong Kong Special Administrative Region.

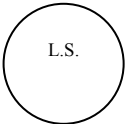
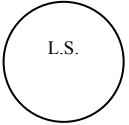
IN WITNESS whereof this Undertaking has been executed as a deed on the date first above written.

(a)* SIGNED, SEALED and DELIVERED)
 by [name of sole proprietor])
 trading as [name of Company A])
 in the presence of:)
)
)
)
 [Name])
 [Occupation])
 [Address])

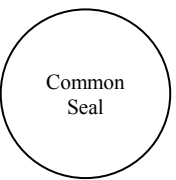
[Signature of the sole proprietor]¹



Or

(b)* SIGNED, SEALED and DELIVERED by)
 [name of partner] and)
 [name of partner]³)
 being the partners of [name of Company A]) *[Signature of the*
 in the presence of:) *individual partner]¹* 
)
) *[Signature of the*
) *individual partner]¹* 
 [Name])
 [Occupation])
 [Address])

Or

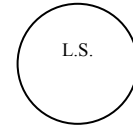
(c)* Executed and delivered)
 as a deed and the COMMON SEAL)
 of [name of Company A])
 was affixed in the presence of)
 [] its [director(s) or) *[Signature of the*
 director and secretary or person(s)) *director(s) etc]¹* 
 authorized to sign the contract by its)
 board of directors]²)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])

Or

(d)* Executed and delivered)
 as a deed)
 by [name of Company A])
 acting through)
 [] (its sole director)) *[Signature of the*
 or) *director(s) etc]¹*
 [] and [] (its directors))
 or)
 [] (its director) and)
 [] (its company secretary)²)
)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])
)

Or

(e)* SIGNED, SEALED and DELIVERED by)
 [name of Company A] by [])
 his/her/its² attorney under power of attorney)
 dated [])
)
 in the presence of:) *[Signature of the*
) *attorney]*¹
)
)
 [Name])
 [Occupation])
 [Address])



Notes (for the preparation of but not inclusion in the engrossment of this Undertaking)

* Repeat the appropriate form for execution by Company B.

- (a) For use where Company A is a sole proprietor.
- (b) For use where Company A is a partnership.
- (c) For use where Company A is a company incorporated in Hong Kong and executes the deed with a Common Seal.
- (d) For use where Company A is a company incorporated in Hong Kong and executes the deed without a Common Seal.
- (e) For use where Company A executes the deed under a power of attorney.

- 1 The italic parts are not part of the execution clause. They are for guidance or information only.
- 2 Select the correct expression for use. If none is applicable, insert an appropriate expression.
- 3 The deed shall be executed by all the partners. Add more names if required.

APPENDIX 6C Novation Agreement

THIS AGREEMENT is made on the _____ day of (month and year)

BETWEEN

(1) THE GOVERNMENT OF THE HONG KONG SPECIAL ADMINISTRATIVE REGION (hereinafter called the "Employer")

of the first part, and

(2) [Insert name of Company A] whose registered office is at [_____] (hereinafter called the "Contractor") of the second part and

(3) [Insert name of Company B] whose registered office is at [_____] (hereinafter called the "New Contractor") of the third part.

WHEREAS: -

- (a) The Employer and the Contractor have entered into (an) agreement(s) including supplementary agreement(s) thereto if any (hereinafter called the "Contract(s)") for the execution of certain works described and known as

[GIVE DETAILS OF EACH CONTRACT TO BE NOVATED, GIVING CONTRACT NUMBER, DATE AND TITLE]

upon the terms, conditions and covenants therein specified.

- (b) The Contractor wishes to be released and discharged from the Contract(s) and the Employer has agreed to release and discharge the Contractor upon the terms of the New Contractor's agreement to perform the Contract(s) and to be bound by the terms of the Contract(s) in place of the Contractor.

NOW IT IS HEREBY AGREED AS FOLLOWS: -

1. The Contractor hereby agrees to transfer absolutely to the New Contractor the Contract(s) and the full benefit thereof and all remedies for enforcing the same and the New Contractor hereby accepts the transfer and undertakes to be bound by and observe and perform the terms, conditions and covenants of the Contract(s) on the part of the Contractor to be observed, performed and satisfied in every way as if the New Contractor were named a party to the Contract(s) in substitution for the Contractor and the New Contractor expressly undertakes to assume all liabilities of the Contractor and to satisfy all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future.

2. The Employer hereby releases and discharges the Contractor, and the Contractor hereby releases and discharges the Employer, from the Contract(s) and from all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future. The Employer accepts the liability of the New Contractor to perform the Contract(s) in lieu of the liability of the Contractor.
3. The New Contractor hereby covenants with the Employer to fulfil and discharge the terms, conditions and covenants of the Contract(s) on the part of the Contractor in every way as if the New Contractor were named a party to the Contract(s) in substitution for the Contractor and to assume all liabilities of the Contractor and to satisfy all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future and the Employer hereby covenants with the New Contractor to be bound to the New Contractor to observe and perform the terms, conditions and covenants of the Contract(s) on the part of the Employer to be observed and performed and hereby acknowledges that the New Contractor is entitled to the full benefit of the Contract(s).
- 4.^ The Contractor and the New Contractor shall jointly and severally, indemnify and keep indemnified the Employer against all losses, damages, costs, expenses, claims or liabilities etc. and any legal or other professional costs (on a full indemnity basis) incurred or suffered (whether direct or indirect) arising out of or in connection with any challenge or meeting any challenge to this novation transaction, in particular under [section 266 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32)] [section(s) 49 and/or 50 of the Bankruptcy Ordinance Cap. 6] [section 266 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) and section(s) 49 and/or 50 of the Bankruptcy Ordinance Cap. 6 as appropriate]#.

IN WITNESS whereof this Agreement has been executed as a deed on the date first above written.

SIGNED, SEALED and DELIVERED by)
 the Employer by)
 [insert name and appointment of officer])
 in the presence of:)

) [Signature of the officer]¹

) L.S.

.....)
 [Name])
 [Occupation])
 [Address])

(a)* SIGNED, SEALED and DELIVERED)
 by [name of sole proprietor])
 trading as [name of Company A])
 in the presence of:)
)
)
)
 [Name])
 [Occupation])
 [Address])

[Signature of the sole proprietor]¹

L.S.

Or

(b)* SIGNED, SEALED and DELIVERED by)
 [name of partner] and)
 [name of partner]³)
 being the partners of [name of Company A])
 in the presence of:)
)
)
)
 [Name])
 [Occupation])
 [Address])

[Signature of the individual partner]¹

L.S.

[Signature of the individual partner]¹

L.S.

Or

(c)* Executed and delivered)
 as a deed and the COMMON SEAL)
 of [name of Company A])
 was affixed in the presence of)
 [] its [director(s) or)
 director and secretary or person(s))
 authorized to sign the contract by its)
 board of directors]²)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])

[Signature of the director(s) etc]¹

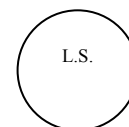
Common
Seal

Or

(d)* Executed and delivered)
as a deed)
by [name of Company A])
acting through)
[] (its sole director)) *[Signature of the*
or) *director(s) etc]¹*
[] and [] (its directors))
or)
[] (its director) and)
[] (its company secretary)²)
))
in the presence of a witness:)
))
.....)
[Name])
[Occupation])
[Address])
))

Or

(e)* SIGNED, SEALED and DELIVERED by)
[name of Company A] by [])
his/her/its² attorney under power of attorney)
dated [])
))
in the presence of:) *[Signature of the*
) *attorney]¹*
))
.....)
[Name])
[Occupation])
[Address])



Notes (for the preparation of but not inclusion in the engrossment of this Agreement)

- ^ The department concerned should consider the need for this indemnity clause in cases of novation where there is doubt on the financial position of the outgoing contractor but winding up has yet to commence. The Government normally does not have much details or knowledge of the deal between the outgoing contractor and the new contractor behind the novation transaction, and there is a possibility of avoidance of transaction under section 266 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) if the novation is made within 6 months before the commencement of the outgoing contractor's winding up or under section(s) 49 and/or 50 of the Bankruptcy Ordinance.

- # Choose the appropriate one, depending on whether the Contractor and the New Contractor are individuals or companies.
- * Repeat the appropriate form for execution by the New Contractor.
- (a) For use where the contractor is a sole proprietor.
- (b) For use where the contractor is a partnership.
- (c) For use where the contractor is a company incorporated in Hong Kong and executes the deed with a Common Seal.
- (d) For use where the contractor is a company incorporated in Hong Kong and executes the deed without a Common Seal.
- (e) For use where the contractor executes the deed under a power of attorney.
- 1 The italic parts are not part of the execution clause. They are for guidance or information only.
- 2 Select the correct expression for use. If none is applicable, insert an appropriate expression.
- 3 The deed shall be executed by all the partners. Add more names if required.

APPENDIX 6D Novation Agreement For Unincorporated Joint Venture

THIS AGREEMENT is made on the _____ day of (month and year)

BETWEEN

(1) THE GOVERNMENT OF THE HONG KONG SPECIAL ADMINISTRATIVE REGION
(hereinafter called the "Employer")

of the first part, and

(2) [Insert name of Company A] whose registered office is at
[] and

[Repeat the names and registered offices of the other participants of the unincorporated joint venture] (together trading as [insert the name of the unincorporated joint venture] and hereinafter called the "Contractor") of the second part, and

(3) [Insert name of Company B] whose registered office is at
[] and

[Repeat the names and registered offices of the other participants of the new unincorporated joint venture] (together trading as [insert name of the new unincorporated joint venture] and hereinafter called the "New Contractor") of the third part.

WHEREAS: -

- (a) The Employer and the Contractor have entered into (an) agreement(s) including any supplementary agreement(s) thereto if any (hereinafter called the "Contract(s)") for the execution of certain works described and known as

[GIVE DETAILS OF EACH CONTRACT TO BE NOVATED, GIVING CONTRACT NUMBER, DATE AND TITLE]

upon the terms, conditions and covenants therein specified.

- (b) The Contractor wishes to be released and discharged from the Contract(s) and the Employer has agreed to release and discharge the Contractor upon the terms of the New Contractor's agreement to perform the Contract(s) and to be bound by the terms of the Contract(s) in place of the Contractor.

NOW IT IS HEREBY AGREED AS FOLLOWS: -

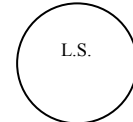
1. The Contractor hereby agrees to transfer absolutely to the New Contractor the Contract(s) and the full benefit thereof and all remedies for enforcing the same and the New Contractor hereby accepts the transfer and undertakes to be bound by and observe and perform the terms, conditions and covenants of the Contract(s) on the part of the Contractor to be observed, performed and satisfied in every way as if the New Contractor were named a party to the Contract(s) in substitution for the Contractor and the New Contractor expressly undertakes to assume all liabilities of the Contractor and to satisfy all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future.
2. The Employer hereby releases and discharges the Contractor, and the Contractor hereby releases and discharges the Employer, from the Contract(s) and from all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future. The Employer accepts the liability of the New Contractor to perform the Contract(s) in lieu of the liability of the Contractor.
3. The New Contractor hereby covenants with the Employer to fulfil and discharge the terms, conditions and covenants of the Contract(s) on the part of the Contractor in every way as if the New Contractor were named a party to the Contract(s) in substitution for the Contractor and to assume all liabilities of the Contractor and to satisfy all claims and demands whatsoever arising out of or in respect of the Contract(s) past, present and future and the Employer hereby covenants with the New Contractor to be bound to the New Contractor to observe and perform the terms, conditions and covenants of the Contract(s) on the part of the Employer to be observed and performed and hereby acknowledges that the New Contractor is entitled to the full benefit of the Contract(s).
4. Each of [_____, _____ and _____] + agrees to be jointly and severally bound by the terms of this Agreement.
5. Each of [_____, _____ and _____] ++ agrees to be jointly and severally bound by the terms of this Agreement and by the terms of the Contract(s) as novated by this Agreement.
- 6.^ The Contractor and the New Contractor shall, and each participant of the Contractor and the New Contractor as the case may be, jointly and severally, indemnify and keep indemnified the Employer against all losses, damages, costs, expenses, claims or liabilities etc. and any legal or other professional costs (on a full indemnity basis) incurred or suffered (whether direct or indirect) arising out of or in connection with any challenge or meeting any challenge to this novation transaction, in particular under [section 266 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32)] [section(s) 49 and/or 50 of the Bankruptcy Ordinance Cap. 6] [section 266 of the Companies (Winding UP and Miscellaneous Provisions) Ordinance (Cap. 32) and section(s) 49 and/or 50 of the Bankruptcy Ordinance Cap. 6 as appropriate]#.

IN WITNESS whereof this Agreement has been executed as a deed on the date first above written.

SIGNED, SEALED and DELIVERED by)
 the Employer by)
 [insert name and appointment of officer])
 in the presence of:)

.....)
 [Name])
 [Occupation])
 [Address])

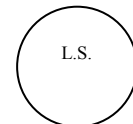
*[Signature of the
 officer]¹*



(a)* SIGNED, SEALED and DELIVERED)
 by [name of sole proprietor])
 trading as [name of Company A])
 in the presence of:)

.....)
 [Name])
 [Occupation])
 [Address])

*[Signature of the
 sole proprietor]¹*

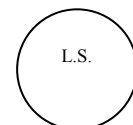


Or

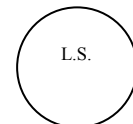
(b)* SIGNED, SEALED and DELIVERED by)
 [name of partner] and)
 [name of partner]³)
 being the partners of [name of Company A])
 in the presence of:)

.....)
 [Name])
 [Occupation])
 [Address])

*[Signature of the
 individual
 partner]¹*



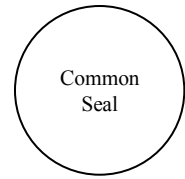
*[Signature of the
 individual
 partner]¹*



Or

(c)* Executed and delivered)
 as a deed and the COMMON SEAL)
 of [name of Company A])
 was affixed in the presence of)
 [] its [director(s) or)
 director and secretary or person(s))
 authorized to sign the contract by its)
 board of directors]²)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])

*[Signature of the
director(s) etc]¹*



Or

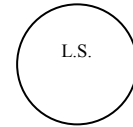
(d)* Executed and delivered)
 as a deed)
 by [name of Company A])
 acting through)
 [] (its sole director))
 or)
 [] and [] (its directors))
 or)
 [] (its director) and)
 [] (its company secretary)²)
)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])
)

*[Signature of the
director(s) etc]¹*

Or

(e)* SIGNED, SEALED and DELIVERED by)
 [name of Company A] by [])
 his/her/its² attorney under power of attorney)
 dated [])
)
 in the presence of:)
)
)
 [Name])
 [Occupation])
 [Address])

[Signature of the
attorney]¹



Notes (for the preparation of but not inclusion in the engrossment of this Agreement)

- + Insert the names of the participants comprising the Contractor.
- ++ Insert the names of the participants comprising the New Contractor
- ^ The department concerned should consider the need for this indemnity clause in cases of novation where there is doubt on the financial position of the outgoing contractor but winding up has yet to commence. The Government normally does not have much details or knowledge of the deal between the outgoing contractor and the new contractor behind the novation transaction, and there is a possibility of avoidance of transaction under section 266 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) if the novation is made within 6 months before the commencement of the outgoing contractor's winding up or under section(s) 49 and/or 50 of the Bankruptcy Ordinance.
- # Choose the appropriate one, depending on whether the Contractor and the New Contractor are individuals or companies.
- * Repeat the appropriate form for execution by each participant of the Contractor and the New Contractor.
- (a) For use where the joint venture participant is a sole proprietor.
- (b) For use where the joint venture participant is a partnership.
- (c) For use where the joint venture participant is a company incorporated in Hong Kong and executes the deed with a Common Seal.
- (d) For use where the joint venture participant is a company incorporated in Hong Kong and executes the deed without a Common Seal.

- (e) For use where the joint venture participant executes the deed under a power of attorney.
 - 1 The italic parts are not part of the execution clause. They are for guidance or information only.
 - 2 Select the correct expression for use. If none is applicable, insert an appropriate expression.
 - 3 The deed shall be executed by all the partners. Add more names if required.

APPENDIX 6E Supplementary Agreement

THE GOVERNMENT OF THE HONG KONG SPECIAL ADMINISTRATIVE REGION

[Contract Title and Number]

SUPPLEMENTARY AGREEMENT NO. []

THIS AGREEMENT is made and entered into this _____ day of _____ (month & year)

BETWEEN THE GOVERNMENT OF THE HONG KONG SPECIAL ADMINISTRATIVE REGION (hereinafter referred to as “the Employer”)

of the one part, and

[insert name of new contractor] whose registered office is at []
(hereinafter referred to as “the Contractor”) of the other part

and is supplemental to a contract known as [contract title and number] (hereinafter referred to as “the Main Contract”) made on [] between the Government of the Hong Kong Special Administrative Region and [insert name of original contractor] (hereinafter referred to as “the Original Contractor”).

WHEREAS

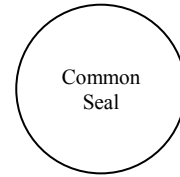
- (A) By a novation agreement made on [] (hereinafter referred to as “the Novation Agreement”) among the Employer, the Contractor and the Original Contractor, the Original Contractor’s rights and obligations under the Main Contract have been novated from the Original Contractor to the Contractor.
- (B) The Employer and the Contractor are desirous of clarifying the parties’ rights and obligations under the Main Contract (as novated in accordance with the Novation Agreement) as regards provision of the requisite duly executed [insert guarantee, performance bond etc where appropriate] in accordance with General Conditions of Contract Clause 12 and Special Conditions of Contract Clause [] for the due performance of the Main Contract by the Contractor.

NOW IT IS HEREBY AGREED BETWEEN THE EMPLOYER AND THE CONTRACTOR AS FOLLOWS:-

1. This Agreement is supplemental to the Main Contract and the provisions of the Main Contract shall apply to this Agreement except as provided to the contrary herein. Except as otherwise altered by this Agreement, the terms of the Main Contract shall remain unchanged in every respect. In the event of any inconsistency between the terms of the Main Contract and the terms of this Agreement, the latter shall take precedence. Subject to Clause 2 below, words and phrases appearing in this Agreement and defined in the Main Contract shall have the same meaning for the purposes of this Agreement as they have for the purposes of the Main Contract.
2. All references to “Contract” in the Main Contract and this Agreement shall mean the Main Contract and this Supplementary Agreement No. [].
3. The Contractor acknowledges and accepts that it has an obligation to provide to the Employer a duly executed [insert guarantee, performance bond etc where appropriate] in the form set out in the Appendix hereto and that it has not provided to the Employer the requisite duly executed [insert guarantee, performance bond etc where appropriate] as at the date of the Novation Agreement.
4. It is hereby agreed that submission by the Contractor of the requisite duly executed [insert guarantee, performance bond etc where appropriate] as referred to in Clause 3 above is a condition precedent to the Contractor’s entitlement to any payment or any further payment as the case may be under the Contract and the Employer shall forthwith be entitled to withhold any payment or any further payment as the case may be to the Contractor under the Contract up to the amount of [specify the amount of the Bonded Sum] until the Contractor shall have provided to the Employer the requisite duly executed [insert guarantee, performance bond etc where appropriate] as referred to in Clause 3 above.
5. It is hereby further agreed that failure by the Contractor to provide the requisite duly executed [insert guarantee, performance bond etc where appropriate] as referred to in Clause 3 above within 45 days of this Agreement shall entitle the Employer either to suspend the Works or to terminate the Contract forthwith by notice in writing to that effect, notwithstanding that the Contractor may have been permitted to proceed with the Works, and the Contractor shall not be entitled to any compensation as a consequence of such suspension or termination.
6. Within 30 days of the provision by the Contractor to the Employer of the requisite duly executed [insert guarantee, performance bond etc where appropriate] as referred to in Clause 3 above, the Employer shall pay the Contractor the sum withheld in accordance with Clause 4 above.
- 7¹. Sub-clauses [], [] and [] of Clause [] of the Special Conditions of Contract are hereby deleted.

(c)* Executed and delivered)
 as a deed and the COMMON SEAL)
 of [name of Company A])
 was affixed in the presence of)
 [] its [director(s) or)
 director and secretary or person(s))
 authorized to sign the contract by its)
 board of directors]²)
 in the presence of a witness:)
)

*[Signature of the
 director(s) etc]¹*



.....)
 [Name])
 [Occupation])
 [Address])

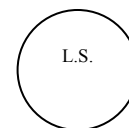
Or

(d)* Executed and delivered)
 as a deed)
 by [name of Company A])
 acting through)
 [] (its sole director))
 or)
 [] and [] (its directors))
 or)
 [] (its director) and)
 [] (its company secretary)²)
)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])
)

*[Signature of the
 director(s) etc]¹*

Or

(e)* SIGNED, SEALED and DELIVERED by)
 [name of Company A] by [])
 his/her/its² attorney under power of attorney)
 dated [])
)
 in the presence of:) *[Signature of the*
) *attorney]*¹
)
)
 [Name])
 [Occupation])
 [Address])



Notes (for the preparation of but not inclusion in the engrossment of this Agreement)

^ Delete this Clause if not applicable.

(a) For use where the contractor is a sole proprietor.

(b) For use where the contractor is a partnership.

(c) For use where the contractor is a company incorporated in Hong Kong and executes the deed with a Common Seal.

(d) For use where the contractor is a company incorporated in Hong Kong and executes the deed without a Common Seal.

(e) For use where the contractor executes the deed under a power of attorney.

1 The italic parts are not part of the execution clause. They are for guidance or information only.

2 Select the correct expression for use. If none is applicable, insert an appropriate expression.

3 The deed shall be executed by all the partners. Add more names if required.

APPENDIX**FORM OF [GUARANTEE, PERFORMANCE BOND etc][#]**

CONTRACT NO. _____

BY THIS BOND dated the _____ day of [_____]

We [Insert name of Contractor] whose registered office is at [_____] (“the Contractor”) and [_____] whose registered office/principal business is at [_____] (“the Surety”) are held and firmly bound to the Government of the Hong Kong Special Administrative Region (together with its successors and assigns, “the Employer”) in the sum of [_____] (“the Bonded Sum”) for payment of which sum the Contractor and Surety bind themselves their successors and assigns jointly and severally in accordance with the provisions of this Bond.

WHEREAS

- (A) By a contract dated [_____] and known as Contract No. [_____] (“the Contract”) made between the Employer and [Insert name of original contractor] (“the Original Contractor”), the Original Contractor has agreed to execute and complete certain works as defined in the Contract (“the Works”) upon the terms and conditions contained in the Contract.
- (B) By a novation agreement made on [_____] (“the Novation Agreement”) among the Employer, the Contractor and the Original Contractor, the Original Contractor's rights and obligations under the Contract were novated from the Original Contractor to the Contractor.
- (C) By Supplementary Agreement No. [_____] to the Contract made on [_____] between the Employer and the Contractor, the Employer and the Contractor clarified the parties' rights and obligations under the Contract (as novated in accordance with the Novation Agreement) as regards the provision the [insert guarantee, performance bond etc where appropriate] referred to in recital (D) below.
- (D) Pursuant to the terms of the Contract (as amended by the Supplementary Agreement No. [_____] referred to in recital (C) above), the Contractor agreed to obtain the [insert guarantee, performance bond etc where appropriate] of a surety to be bound unto the Employer for the due performance of the Contract by the Contractor.

1. Where applicable, words and expressions used in this Bond shall have the meaning assigned to them in the Contract.
2. In the event of default by the Contractor in respect of any of its obligations under the Contract the Surety shall satisfy and discharge any damages, losses, charges, costs or expenses sustained by the Employer thereby up to the amount of the Bonded Sum.
3. The liability of the Surety under this Bond shall remain in full force and effect and shall not be affected or discharged in any way by and the Surety hereby waives notice of:-
 - (a) any suspension of the Works, variation to or amendment of the Contract (including without limitation extension of time for performance) or any concession or waiver by the Employer in respect of the Contractor's obligations under the Contract;
 - (b) the termination of the Contract or of the employment of the Contractor under the Contract solely as a result of default by the Contractor under the Contract;
 - (c) any forbearance or waiver of any right of action or remedy the Employer may have against the Contractor or negligence by the Employer in enforcing any such right of action or remedy;
 - (d) any other bond, security or guarantee held or obtained by the Employer for any of the obligations of the Contractor under the Contract or any release or waiver thereof;
 - (e) any act or omission of the Contractor pursuant to any other arrangement with the Surety;
 - (f) the issue of any certificate of completion in respect of part of the Works;
 - (g) ^ the issue of any certificate of achievement of any Stage.
4. The liability of the Surety under this Bond shall cease on whichever of the following events first occurs: -
 - (a) payment by the Surety of the Bonded Sum in full to the Employer; or
 - (b) expiry of the Maintenance Period or, where there is more than one Maintenance Period, expiry of the last Maintenance Period.
5. The Employer shall be entitled to assign the benefit of this Bond at any time without the consent of the Surety or the Contractor being required.
6. All documents arising out of or in connection with this Bond shall be served:
 - (a) upon the Employer, at [], marked for the attention of [];

- (b) upon the Surety, at [] Hong Kong⁺.
7. The Employer and the Surety may change their respective nominated addresses for service of documents to another address in Hong Kong but only by prior written notice to each other. All demands and notices must be in writing.
8. This Bond shall be governed by and construed according to the laws for the time being in force in Hong Kong and the Surety agrees to submit to the non-exclusive jurisdiction of the courts of Hong Kong.
9. In this Bond, "Hong Kong" means the Hong Kong Special Administrative Region.

IN WITNESS whereof this Bond has been executed as a deed on the date first above written.

(a)* SIGNED, SEALED and DELIVERED)
 by [name of sole proprietor])
 trading as [name of Company A])
 in the presence of:)
)
)
)
 [Name])
 [Occupation])
 [Address])

[Signature of the sole proprietor]¹

L.S.

Or

(b)* SIGNED, SEALED and DELIVERED by)
 [name of partner] and)
 [name of partner]³)
 being the partners of [name of Company A])
 in the presence of:)
)
)
)
 [Name])
 [Occupation])
 [Address])

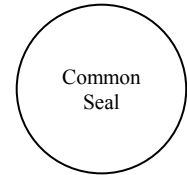
L.S.

L.S.

Or

(c)* Executed and delivered)
 as a deed and the COMMON SEAL)
 of [name of Company A])
 was affixed in the presence of)
 [] its [director(s) or)
 director and secretary or person(s))
 authorized to sign the contract by its)
 board of directors]²)
 in the presence of a witness:)
)

*[Signature of the
 director(s) etc]¹*



.....)
 [Name])
 [Occupation])
 [Address])

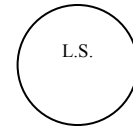
Or

(d)* Executed and delivered)
 as a deed)
 by [name of Company A])
 acting through)
 [] (its sole director))
 or)
 [] and [] (its directors))
 or)
 [] (its director) and)
 [] (its company secretary)²)
)
 in the presence of a witness:)
)
)
 [Name])
 [Occupation])
 [Address])
)

*[Signature of the
 director(s) etc]¹*

Or

(e)* SIGNED, SEALED and DELIVERED by)
 [name of Company A] by [])
 his/her/its² attorney under power of attorney)
 dated [])
)
 in the presence of:) *[Signature of the*
) *attorney]*¹
)
)
 [Name])
 [Occupation])
 [Address])



Notes: (for preparation of but not inclusion in the engrossment of this [guarantee, performance bond etc where appropriate])

The Contractor must execute the bond as well as the Surety.

^ Delete if not applicable. Amend ";" at end of Clause 3(f) to "." accordingly if there is a deletion

+ The address for service shall be in Hong Kong.

* Repeat the appropriate form for execution by the Surety.

(a) For use where the contractor is a sole proprietor.

(b) For use where the contractor is a partnership.

(c) For use where the contractor is a company incorporated in Hong Kong and executes the deed with a Common Seal.

(d) For use where the contractor is a company incorporated in Hong Kong and executes the deed without a Common Seal.

(e) For use where the contractor executes the deed under a power of attorney.

1 The italic parts are not part of the execution clause. They are for guidance or information only.

2 Select the correct expression for use. If none is applicable, insert an appropriate expression.

3 The deed shall be executed by all the partners. Add more names if required.

Appendix 7 Example on Selection of Tender Combination based on Least Cost to Government Approach

Tenderer A is a probationary Group C contractor in the “Roads and Drainage” category. His tenders for two Group C contracts in this category have attained the highest combined scores. The award of these two contracts is to be considered in the same meeting by the Central Tender Board. However, Tenderer A is only eligible for award of one more Group C contract of value not exceeding \$100M.

Two tender combinations are possible in considering award of one contract to Tenderer A and the other contract to the tenderer with the second highest combined score. Based on the least cost to Government approach, Combination 1 will be selected and Contracts I and II will be awarded to Tenderers A and C respectively as shown below:

	Contract I	Contract II	Total Tendered Prices
Combination 1 Successful Tender (Tendered Price) <Combined Score>	A (\$80M) <96.0>	C (\$105M) <95.0>	\$185M
Combination 2 Successful Tender (Tendered Price) <Combined Score>	B (\$95M) <92.0>	A (\$95M) <100.0>	\$190M

Note: Tenders from Tenderers B and C have attained the second highest combined score in Contracts I and II respectively.