Development Bureau
The Government of the Hong Kong Special Administrative Region
of the People's Republic of China

Contractor Management Handbook

First Issue Date: March 2001
Revision Date: October 2025

REVISION SHEET

First Issue Date: March 2001

Amendment History (after Revision No. 21)

Revision No.	Revision Date	Amendments
22	November 2022	- Revision of Section 5 to incorporate a new requirement that a tender will not be considered or accepted if the tenderer concerned is under suspension from tendering due to misconduct, suspected misconduct, poor site safety record, serious incident or conviction of site safety offences at any point of time between close of tender and the tender award date (both dates inclusive). Similar revisions are made for tender exercise adopting prequalification - Revision of Section 7 and addition of Appendix 8 to incorporate the checking procedures on the status of contractors in relation to suspension - General updating of Sections 3, 4, 7, Appendix 1, Appendix 2A and Appendix 3C
23	March 2023	- Revision of standard proforma and guidance notes for the assessment of contractor's performance (Appendix 4A and Appendix 4B) in performance aspects related to landscaping works/ tree works, subcontracting and building information modelling - Deletion of "Class 1 – Guniting" under "Specialized Operations for Highway Structures" category of the Specialist List - General updating of Sections 2, 3, 4, 5 and 7, Appendix 1, Appendix 2A, Appendix 3A and Appendix 3C
24	August 2023	- General updating of Sections 4, 5 and 7, Appendix 1, Appendix 2A and Appendix 3C

Revision No.	Revision Date	Amendments
25	December 2023	- Revision of Sections 2, 5 and Appendix 2A to incorporate the revised experience requirements for admission, confirmation and promotion on the List of Approved Contractors for Public Works, including: (i) recognising non-local contract experience for direct entry to Group C (confirmed) status; (ii) recognising local non-Government contract experience through "one Government contract plus one non-Government contract" arrangement for promotion route, confirmation route and direct entry to Group C (confirmed) status; and (iii) rationalising the minimum values of past contracts required in all routes for admission, confirmation and promotion to facilitate upward mobility and to remove previous inconsistencies.
26	January 2024	- Revision of standard proforma and guidance notes for the assessment of contractor's performance (Appendix 4A and Appendix 4B) to include a new item in relation to compliance with the labour importation requirements.
27	April 2025	- Revision of Appendix 3C to include a new admission and retention requirement on "Registration on Registered Plumbing Contractor (Provisional)" under "Plumbing Installation" category. - General updating of Section 7.
28	October 2025	- Revision of Appendix 2A and Appendix 3C to incorporate the revised threshold on convictions of site safety offences under the criteria "Performance in compliance with safety legislations" specified for admission/confirmation/promotion in the Approved List and Specialist List - Revision of the Sample Integrity Management Policy - Deletion of "Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)" and "Survey of Government Land Steam Boilers" categories of the Specialist List

Amendment History (Revision No. 21 in January 2021)

Section / Appendix	Amendments
1	- Editorial change: • provision of a brief introduction of public works procurement, 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") • re-organisation of general provisions applicable to both the List and the Specialist List in Sections 2 & 3 to Section 1 • other general updating
2 Appendices 2A & 2B	- Revisions in tender limits, financial criteria and admission/ confirmation/ promotion/ retention requirements for contractors on the List - Revision of the procedures of admission - Introduction of the process of regular verification and updating of Contractor Profile for retention - Editorial change: • re-organisation of provisions relevant to tendering to new Section 7 • combination of original Appendices 2A to 2C into a new Appendix 2A and renaming Appendix 2D to Appendix 2B • other general updating
3 Appendices 3A to 3C	- Revisions in tender limits, financial criteria and admission/ confirmation/ promotion/ retention requirements for contractors on the Specialist List - Revision of the procedures of admission - Introduction of the process of regular verification and updating of Contractor Profile for retention - Deletion of four categories[1] - Editorial change: • re-organisation of provisions relevant to tendering to new Section 7 • other general updating
4 Appendices 4A to 4D	- Editorial change: • clarification of the procedures of maintaining records and recommending regulating action of domestic sub-contractors and minor works contractors due to poor performance in paragraph 4.5.1 and Appendix 4B • updating the guidance notes for individual aspects of performance in Items 6.6, 6.10, 7.5 & 7.7 in Appendix 4B • other general updating

[1] Repair of Motors, Transformers and Switchgear Category; Fabrication of Steel Pipe Specials Category; Motor Vehicle Body-building and Painting Category; and Space Frame System Category.

Section / Appendix	Amendments
5	- Editorial change: • clarification of the policy intent and procedures of regulating actions • clarification of the circumstances under which contractors, who have been suspended from tendering for all/some categories of public works or removed from the List and/or the Specialist List, may act as sub-contractors on a public works projects • other general updating
6 Appendices 6A to 6E	- Editorial change • re-organisation of provisions in Sections 2 and 3 relevant to change of company structure in this Section • other general updating
7 Appendix 7A	- Editorial change • re-organisation of provisions in Sections 2 and 3 relevant to tendering and related parties in this Section. • other general updating

Amendment History (up to Revision B-15 dated 20 July 2018)

Revision No.	Revision	Date	TC No.	Amendment
0	0	10/03/2001	5/2001	-
1	A	21/06/2002	25/2002	As shown in the Annex to WBTC No. 25/2002.
2	B	16/06/2005	9/2005	As shown in paragraph 7 of ETWB TCW No. 9/2005.
3	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.
4	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.
5	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.
6	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.

Revision No.	Revision	Date	TC No.	Amendment
7	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.
8	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.
9	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.
10	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.
11	B-6	1/9/2011		Change in eligibility of Award of Contracts to Probationary Contractors – Sections 2 & 3.
12	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.

Revision No.	Revision	Date	TC No.	Amendment
13	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.
14	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.
15	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.
16	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.

Revision No.	Revision	Date	TC No.	Amendment
17	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.
18	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;

Revision No.	Revision	Date	TC No.	Amendment
				(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.

Revision No.	Revision	Date	TC No.	Amendment
19	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.
20	B-15	20/7/2018		Clarification of some terms in Section 2. Update value of contract normally required financial vetting in paragraph 3.9.2. Revise “Deputy Secretary for Development (Works)2” to “Deputy Secretary for Development (Works)” in paragraph 5.2.1.

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SECTION 1 INTRODUCTION

1.1 General

1.1.1 The Development Bureau ("DEVB") aims to deliver quality public works projects in a safe, timely and cost-effective manner. While maintaining the openness, fairness and competitiveness of the tendering process, the procurement system as a whole should be efficient and effective to facilitate selection of suitable and capable contractors in a smooth manner to meet the fast pace of public works programme. A suite of administrative and regulatory framework covering the entire procurement process has been developed. The policy objectives and procedures are detailed in handbooks, circulars and circular memoranda available at the websites of DEVB and works departments.

1.1.2 In view of the vast volume of public works contracts to be delivered, DEVB has established 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**") to achieve procurement efficacy and facilitate quality assurance. Public works tenders are usually invited from contractors on the List and/or the Specialist List.

1.1.3 By nature of works, the List comprises five categories: Buildings, Port Works, Roads and Drainage, Site Formation, and Waterworks; and the Specialist List comprises over 40 categories as at the date of the current version of the Contractor Management Handbook (the "**Handbook**").

1.1.4 To support the procurement of public works contracts, DEVB, with the assistance of the Managing Departments, administers the List and the Specialist List through the following processes:

(a) assessing a contractor's technical and financial capabilities at the time of application for admission to the List / Specialist List;

(b) further financial vetting before recommending the award of a contract to a contractor;

(c) monitoring the contractor's performance and, as appropriate, financial capabilities periodically;

(d) taking regulating actions against the contractor as necessary;

(e) reviewing the contractor's technical and/or financial capabilities when there are any significant changes to the contractor's company which may affect the contractor's listing status; and

(f) confirming the suitability of retaining the contractor on the List / Specialist List on a triennial basis.

1.1.5 The guidelines and procedures pertaining to administration and monitoring of the performance of contractors and suppliers on the List and the Specialist List are consolidated into the Handbook. DEVB reserves the right to amend the provisions stipulated in the Handbook and any criteria pertaining to the administration of the List and the Specialist List without prior consultation with contractors on the List and the Specialist List and any such amendments will be published by DEVB in the appropriate manner.

1.1.6 By making an application for admission to the List and/or the Specialist List under any category, the contractor unconditionally accepts the provisions stipulated in the Handbook and any future amendments or additions thereto. Failure or refusal to observe the provisions stipulated in the Handbook may lead to refusal of the application for admission to the List and/or the Specialist List under the category being applied for, or removal from all categories of the List and/or the Specialist List in which the contractor is listed.

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

1.1.8 A contractor on the List and/or the Specialist List shall be responsible for the good behaviour of his employees, agents and subcontractors in relation to any public works contract under his control. The contractor shall advise his employees, agents or subcontractors that they are not allowed to offer or give any advantage or excessive entertainment to any of the Government employees or members of their families, or to solicit or accept any advantage or excessive entertainment from other employees, agents or subcontractors in relation to the works under any public works contract. The contractor may be subject to regulating actions as stated in Section 5 if the contractor, his employees, agents or subcontractors have committed an offence under the Prevention of Bribery Ordinance (Cap. 201) in relation to any public works

contract. 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 subcontractors have solicited, accepted or been given advantage as defined in the Prevention of Bribery Ordinance (Cap. 201) in relation to any public works contract.

1.2 Effective Date

1.2.1 This Handbook was first promulgated via Works Bureau Technical Circular (WBTC) No. 5/2001 – Contractor Management Handbook in 2001 and thereafter is updated as and when needed. The current version of this Handbook took effect from **8 October 2025**. When there is any update in the future, the revision date will be stated at the top right corner of the relevant page.

1.3 Effect on Existing Technical Circulars

1.3.1 The relevant Technical Circulars which have been superseded or subsumed by this Handbook or shall be read in conjunction with this Handbook are listed in **Appendix 1**. The prevailing Technical Circulars are available at DEVB's website: https://www.devb.gov.hk/en/publications_and_press_releases/technical_circulars/index.html.

1.4 Amendments in Revision No. 21 in January 2021

1.4.1 The major amendments made in Revision 21 of the Handbook are listed below for ease of reference:

	Brief Description	Reference
(a)	General updating and restructuring	All Sections and appendices except Annexes 3 to 5, 10, 12, 22, 23, 25, 28, 34 to Appendix 3C, Annex to Appendix 4B and Appendix 5A
(b)	Adjustment of Group Tender Limits, Probationary Limits and Financial Criteria	Section 2, Section 3, Appendices 2A (Annex 2), 3B and 3C

	Brief Description	Reference
(c)	Revamping of admission and retention requirements	Section 2, Section 3, Appendices 2A, 3A and 3C

1.4.2 The revised admission/ confirmation/ promotion/ retention management and technical requirements for the contractors on the List and the Specialist List in Section 2 and Section 3, Appendices 2A and 3C took effect from **1 March 2021**. Existing contractors on the List and the Specialist List have been given a transitional period after which they are required to fully comply with these revised requirements by **31 December 2024**. Notwithstanding this transition period, contractors shall meet these revised requirements when tendering for a new contract with tender invitation date falling on or after the effective date, viz. **1 March 2022**.

1.5 Amendments in this Revision

1.5.1 Changes incorporated in the previous revisions of this Handbook are listed in the Revision Sheet and the details of amendments are available at DEVB's website: https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html.

1.5.2 The major amendments made in October 2025 version of this Handbook are listed below for easy reference:

	Brief Description	Reference
(a)	Revision of the threshold on convictions of site safety offences under the criteria "Performance in compliance with safety legislations" specified for admission/confirmation/ promotion in the Approved List and Specialist List	Appendix 2A Appendix 3C
(b)	Revision of the Sample Integrity Management Policy	Annex 3 to Appendix 2A;

	Brief Description	Reference
(c)	Deletion of "Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)" and "Survey of Government Land Steam Boilers" categories of the Specialist List.	Section 3, Appendices 3A, 3C and 4C

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"**) comprises contractors who are approved for carrying out public works in one or more of the categories listed below.

Category	Managing Department
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/or value of contracts for which they are eligible to tender and to be awarded in accordance with the rules set out in Sub-section 7.5 below.

2.2 Group Tender Limits

2.2.1 The value upon which contracts are grouped is based on the value of the tendered sum[1] 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 $150 million.

Group B - contracts of value up to $400 million.

Group C - contracts of any values exceeding $400 million.

2.3 Admission

2.3.1 The suitability of a contractor for admission in one or more of the categories and in a particular group on the List is assessed on the basis of both the contractor's global business activity and his activity in Hong Kong. Generally, a contractor will be assessed under six core elements (viz. safety, experience, management, staff employment, financial capability and integrity), as well as other technical requirements as detailed at **Appendix 2A**. A contractor will normally be admitted initially on probation to the appropriate category and group. If a contractor can demonstrate that he has satisfactorily completed relevant contracts[2] with value and scope meeting the experience requirements as stated at Appendix 2A, he may be admitted directly to the confirmed status of that particular category and group (viz. via the "direct entry" route), provided that he can also meet all other relevant requirements.

2.3.2 Application details and other relevant information (including the updated List) can be found in the website of DEVB via the following link:

https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html.

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[1] For New Engineering Contract (NEC), the tendered sum shall be the forecast total of the Prices.

[2] Specifically, if a contractor applies for admission to Group C at confirmed status directly based on **non-local contract(s)**, he is required to demonstrate to the satisfaction of DEVB that the contract(s) is/are on par with the standards of public works contracts in Hong Kong by providing necessary supporting documents with its application (see Remark 2.13 at Appendix 2A for details). If his application is successful, a two-year observation period (starting from the date of commencement of the first public works contract awarded to him) will be imposed. If he receives a total of two Adverse reports in any public works contract(s) under the same category during the observation period, he will be downgraded on a mandatory basis to Group C at probationary status in that category (see paragraphs 5.4.6 and 5.4.7 for details).

2.3.3 Applications from contractors for admission to the List can be submitted at any time, and should be addressed to "Professional Services Unit, Development Bureau, 15/F, West Wing, Central Government Offices, 2 Tim Mei Avenue, Tamar, Hong Kong". An application submission shall include a duly completed, signed and dated application form together with other supporting documents as specified in the guidance notes of the application form.

2.3.4 Upon receipt of an application by DEVB, the following procedures apply:

(a) The Finance Section of DEVB will investigate whether the applicant meets the financial criteria as set out in **Annex 2 to Appendix 2A**. If the financial vetting cannot be proceeded with due to incomplete or insufficient information from the applicant, DEVB may request the applicant to provide supplementary information and/or clarification. If the applicant fails to provide the required information and/or clarification within 6 weeks of the request, its application may be rejected.

(b) (i) The Managing Department will investigate whether the applicant has met the criteria in respect of safety, experience, management, staff employment, integrity and other technical requirements for each category and group applied for as stipulated in **Appendix 2A**.

(ii) For the avoidance of doubt, if an applicant applies for more than one category, only one Managing Department, usually the one responsible for the highest group applied, will conduct the vetting of safety, management and integrity requirements. For cases where the groups applied are the same, DEVB will assign one department for the vetting of these requirements on a rotation basis. The vetting of other technical requirements will continue to be conducted by the Managing Department of each category applied for.

(iii) Upon receipt of all necessary supporting information and documents for the application(s), the Managing Department should submit a recommendation to DEVB normally within two calendar months from the date of referral to the Managing Department. All recommendations shall be personally endorsed by the Deputy Director or an equivalent D3 officer or above of the Managing Department. In any event, the Managing Department's recommendation should reach DEVB within six calendar months from the date of referral. If the recommendation could not be provided within such a time, the Deputy Director or an equivalent D3 officer or above should give

explanations and propose a reply date to DEVB for consideration.

(iv) If the Managing Department considers that the applicant has not provided sufficient information to support his application or if the Managing Department has any doubt on the information provided by the applicant, the Managing Department may request the applicant to provide supplementary information and/or clarifications. If the applicant fails to address the Managing Department's request within one calendar month, an officer at D1 rank or above from the Managing Department of the category being applied for may write to the applicant to reject his application with reasons leading to such a decision. The rejection letter should be copied to DEVB.

(v) Should the applicant disagree with the Managing Department's rejection decision referred to in sub-paragraph (b)(iv), he may write to the Managing Department, within two weeks of receiving the rejection letter, to request for reconsideration of his case with reasons and supporting documents. The Deputy Director or an equivalent D3 officer of the Managing Department should review the case and make a decision within two calendar months of the receipt of the applicant's request. If the applicant is still not satisfied with the decision, he may further lodge an appeal to DEVB within two weeks of the receipt of the reply from the Managing Department and the decision of DEVB shall be final and binding.

(c) 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 admission in the List. For the avoidance of doubt, an applicant satisfying all applicable criteria in **Appendix 2A** may nonetheless be considered unsuitable for admission if there exist any matters which in the DEVB's view may affect the applicant's capabilities in undertaking public works.

2.3.5 If an application is successful, admission to the List will be notified in writing to the applicant by DEVB. The letter of notification will specify the category or categories to which the applicant has been admitted, his group and status as either probationary or confirmed and other conditions/requirements that the contractor shall follow regarding the admission to the List. For an unsuccessful application, the 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 two weeks from the date of notification. The non-admission is confirmed if no representations from the applicant are submitted within the specified period.

2.4 Re-Admission

2.4.1 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-admission in that 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-admission in that category for a period of two years from the date of removal. Any application for re-admission, including an application for re-admission 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. For the avoidance of doubt, a contractor who has been removed from the List for any reason other than financial reasons or failure to submit a tender within a period of three years will not be re-admitted directly to confirmed status pursuant to paragraph 2.3.1 above.

2.4.2 A contractor who has been removed from the List due to misconduct should submit with its re-admission application proof of successful completion of integrity training course[3], 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 2B**. Such proof should be substantiated by a statement of compliance issued by an independent auditor recognised by DEVB, after his completion of the integrity audit exercise.

2.4.3 A contractor re-admitted under paragraph 2.4.2 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 conducting the integrity audit exercise on a yearly basis. Failure to satisfy this requirement shall result in regulating action being taken against the contractor in accordance with Sub-section 5.2 below.

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 7.5.2 to 7.5.6, where applicable, as follows (the rules in this paragraph 2.5.1 shall be read together with paragraph 7.5.1):

[3] DEVB, 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-admission in the List after the removal due to misconduct.

(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 $150 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 $400 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 $1,500 million.

2.6 Confirmation

2.6.1 A probationary contractor may apply for confirmation in writing to DEVB when he has satisfactorily completed or executed works relevant to his probationary status in accordance with the criteria for confirmation in **Appendix 2A**. Upon receipt of all necessary supporting information and documents for the application(s), the Managing Department shall normally submit a recommendation to DEVB 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 2.3.4 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 DEVB. Upon receipt of all necessary supporting information and documents for the application(s), the Managing Department shall normally submit a recommendation to DEVB 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 2.3.4 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 Retention

2.8.1 For the purpose of retention on the List and without prejudice to other provisions in this Handbook, the contractor is reminded to submit the following information:

(a) all company information required under paragraph 1.1.7 and Section 6;

(b) all information required for verifying and updating the Contractor Profile as detailed in paragraph 2.8.2 below; and

(c) annual audited financial statements or half-yearly management accounts as required in paragraph 2.9.1 below.

2.8.2 All contractors on the List are required to verify and update the Contractor Profile at a 3-year interval upon notification from DEVB. Within one month upon receipt of such notification, a contractor shall submit a duly signed declaration form confirming his compliance with the retention requirements for the respective category(ies) and group(s) as set out in **Appendix 2A** and provide updated company information. If considered necessary, the Managing Department will request a contractor to provide supporting documents for review.

Failure to meet the prevailing retention requirements, failure to submit the declaration or the supporting documents, or provision of incorrect or false declaration and/or information may lead to regulating action in accordance with Section 5. The guideline for the process, a specimen of the Contractor Profile and standard forms for updating company information can be downloaded from the website of DEVB via the following link:

https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html.

2.9 Submission of Accounts

2.9.1 All contractors shall submit a copy of their unconsolidated audited financial statements annually to DEVB. In addition, in order to enable the Finance Section of DEVB to make a more up-to-date financial appraisal, all Group C contractors shall submit half-yearly management 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.

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

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"**) comprises contractors who are approved for carrying out public works in one or more of the categories. The categories, classes and groups and the corresponding Managing Departments are listed in **Appendix 3A**. Some Works Departments also administer their own contractor/supplier/acceptable material lists and the concerned information can be found via the links in the website of DEVB.

3.1.2 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.

3.1.3 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 or number of contracts for which they are normally eligible to tender. For categories with probationary status, a contractor's status will be either probationary or confirmed. Probationary contractors are limited in the number and/or value of contracts for which they are eligible to tender and to be awarded in accordance with the rules set out in Sub-section 7.5 below.

3.2 Group Tender Limits

3.2.1 Group Tender Limits are applicable to 9 categories of works in the Specialist List. They are periodically adjusted and are currently set as shown in **Appendix 3A**.

3.3 Admission

3.3.1 The suitability of a contractor for admission to one or more of the categories and in a particular group on the Specialist List is assessed on the basis of both the contractor's global business activity and his activity in Hong Kong. A contractor will be assessed mainly

under six core elements, (namely safety, experience, management, staff employment, financial capability and integrity), as well as other technical requirements as detailed at **Appendices 3B and 3C**. For categories with probationary status, a contractor will normally be admitted initially on probation to the appropriate category, class and/or group.

3.3.2 Application details and other relevant information (including the updated Specialist List) can be found in the website of DEVB via the following link:

https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html.

3.3.3 Applications from contractors for admission to the Specialist List can be submitted at any time, and should be addressed to "Professional Services Unit, Development Bureau, 15/F, West Wing, Central Government Offices, 2 Tim Mei Avenue, Tamar, Hong Kong". An application submission shall include a duly completed, signed and dated application form together with other supporting documents as specified in the guidance notes of the application form.

3.3.4 For the admission to those categories[1] on the Specialist List requiring a long period of trial installation, plant trial, site demonstration and/or factory visit, Managing Departments are required to establish a "pre-application vetting mechanism". Under this mechanism, applicants are allowed to lodge a vetting request to the Managing Department so that those relatively time-consuming checking processes (e.g. factory visit, site demonstration, plant trial) could be done/completed to the satisfaction of the Managing Department before the applicant formally submits his application. For details of the mechanism and other submission requirements, applicants should refer to the website of the Managing Department.

3.3.5 Upon receipt of an application by DEVB, the following procedures apply:

(a) Except those applications for categories for which financial checking are not required (see paragraph 3.3.6 below), the Finance Section of DEVB will investigate whether the applicant meets the financial criteria as set out in **Appendix 3B**. If the financial vetting cannot be proceeded with due to

[1] "Pre-application vetting mechanism" would only be applicable to the following categories:-
- Prestressed Concrete Works for Highway Structures (Classes I and II)
- Road Marking
- Specialized Operations for Highway Structures (Classes I to V)
- Structural Steelwork
- Supply and Installation of Bearings for Highway Structures (Classes I and II)
- Supply and Installation of Expansion Joints for Highway Structures
- Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing

incomplete or insufficient information from the applicant, DEVB may request the applicant to provide supplementary information and/or clarification. If the applicant fails to provide the required information and/or clarification within 6 weeks of the request, its application may be rejected.

(b) (i) The Managing Department will investigate whether the applicant has met criteria in respect of safety, experience, management, staff employment, integrity and other technical requirements for each particular category, group and class applied for as stipulated in **Appendix 3C**.

(ii) For the avoidance of doubt, if an applicant applies for more than one category, only one Managing Department, usually the one responsible for the highest group applied, will conduct the vetting of safety, management and integrity requirements. For cases where the groups applied are the same, DEVB will assign one department for the vetting of these requirements on a rotation basis. The vetting of other technical requirements will continue to be conducted by the Managing Department of each category applied for.

(iii) Upon receipt of all necessary supporting information and documents for the application(s), the Managing Department should submit a recommendation to DEVB normally within three calendar months from the date of referral to the Managing Department. All recommendations shall be personally endorsed by the Assistant Director or an equivalent D2 officer or above of the Managing Department. In any event, the Managing Department's recommendation should reach DEVB within six calendar months from the date of referral. If the recommendation could not be provided within such a time, the Deputy Director or an equivalent D3 officer or above should give explanations and propose a reply date to DEVB for consideration.

(iv) If the Managing Department considers that the applicant has not provided sufficient information to support its application or if the Managing Department has any doubt on the information provided by the applicant, the Managing Department may request the applicant to provide supplementary information and/or clarifications. If the applicant fails to address the Managing Department's request within one calendar month, an officer at rank D1 or above from the Managing Department of the category being applied for may write to the applicant to reject his application with reasons leading to such a decision. The rejection letter should be copied to DEVB.

(v) Should the applicant disagree with the Managing Department's rejection decision referred to in the sub-paragraph (b)(iv), he may write to the Managing Department within two weeks of receiving the rejection letter, to request for reconsideration of his application. The Deputy Director or an equivalent D3 officer of the Managing Department should make a decision within two calendar months of the receipt of applicant's request. If the applicant is still not satisfied with the decision, he may further lodge an appeal to DEVB within two weeks of the receipt of the reply from the Managing Department and the decision of DEVB shall be final and binding.

(c) 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 admission in the Specialist List. For the avoidance of doubt, an applicant satisfying all applicable criteria in **Appendix 3C** may nonetheless be considered unsuitable for admission if there exist any matters which in the DEVB's view may affect the applicant's capabilities in undertaking public works.

3.3.6 Financial checking is not required for applicants of the following 10 categories but shall be subject to review from time to time (see also paragraph 7.7.2):

(a) Broadcast Reception Installation

(b) Catering Equipment Installation

(c) Fabrication of Unfired Pressure Vessels

(d) Land, Engineering and Hydrographic Survey Services

(e) Liquefied Petroleum Gas Installation

(f) Radio Electronics Installation

(g) Repair and Restoration of Historic Buildings

(h) Soil and Rock Testing

(i) Survey of Lifting Appliances and Lifting Gear

(j) Uninterruptible Power Supply Installation

3.3.7 If an application is successful, admission to the Specialist List will be notified in writing to the applicant by DEVB. The letter of notification will specify the category or categories to which the applicant has been admitted, his group, class and status as either probationary or confirmed and any other additional conditions/ requirements that the contractor shall follow regarding the admission to the Specialist List. For unsuccessful application, the 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 two weeks from the date of notification. The non-admission is confirmed if no representations from the applicant are submitted within the specified period.

3.4 Re-Admission

3.4.1 A contractor who has been removed from any category under the Specialist 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-admission in that category at any time after removal. However, subject to other provisions in this Handbook, a contractor who has been removed from any category under the Specialist List for any other reasons is not eligible for re-admission in that category for a period of two years from the date of removal. Any application for re-admission, including an application for re-admission 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. For the avoidance of doubt, where direct admission is permissible in a category under the Specialist List, a contractor who has been removed from such category for any reason other than financial reasons or failure to submit a tender within a period of three years will not be re-admitted directly to confirmed status in such category under the Specialist List.

3.4.2 A contractor who has been removed from the Specialist List due to misconduct should submit with its re-admission application proof of successful completion of integrity training course[2], 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

[2] DEVB, 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-admission in the Specialist List after the removal due to misconduct.

Integrity Management System" provided in **Appendix 2B**. Such proof should be substantiated by a statement of compliance issued by an independent auditor recognised by DEVB, after his completion of the integrity audit exercise.

3.4.3 A contractor re-admitted under paragraph 3.4.2 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 or the three-year period starting from the date of re-admission if the category does not have a probationary status through conducting the integrity audit exercise on a yearly basis. Failure to satisfy this requirement shall result in regulating action being taken against the contractor in accordance with Sub-section 5.2 below.

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, where applicable, paragraphs 7.5.2 to 7.5.6 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 paragraph 3.5.1 shall be read together with paragraph 7.5.1.

3.6 Confirmation

3.6.1 A probationary contractor may apply for confirmation in writing to DEVB when he has satisfactorily completed or executed works appropriate to his probationary status in accordance with the criteria for confirmation in **Appendix 3C**. The timeframe and procedures of submitting a recommendation are the same as those given in paragraph 3.3.5 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.

3.7 Promotion

3.7.1 A confirmed contractor wishing to be promoted to the next higher group in a particular category and class may apply in writing to DEVB. The timeframe and procedures of submitting a recommendation are the same as those given in paragraph 3.3.5 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.

3.8 Retention

3.8.1 For the purpose of retention on the List, and without prejudice to other provisions in this Handbook, the contractor is reminded to submit the following information:

(a) all company information required under paragraph 1.1.7 and Section 6;

(b) all information required for verifying and updating the Contractor Profile as detailed in paragraph 3.8.2 below; and

(c) annual audited financial statements or half-yearly management accounts as required in paragraph 3.9.1 below.

3.8.2 All contractors on the Specialist List are required to verify and update the Contractor Profile at a 3-year interval upon notification from DEVB. Within one month upon receipt of such notification, a contractor shall submit a duly signed declaration form confirming his compliance with the retention requirements for the respective category(ies), group(s) and/or class(es) and provide updated company information as set out in **Appendix 3C**. If considered necessary, the Managing Department will request a contractor to provide supporting documents for review. Failure to meet the prevailing retention requirements, failure to submit the declaration or the supporting documents, provision of incorrect or false declaration and/or information may lead to regulating action in accordance with Section 5. The guideline for the process, a specimen of Contractor Profile and standard forms for updating company information can be downloaded from the website of DEVB via the following link:

https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html.

3.9 Submission of Accounts

3.9.1 All contractors, except those under the 12 categories of works as listed in paragraph 3.3.6 above, shall submit a copy of their unconsolidated audited financial statements annually to DEVB. In respect of the contractors who are also Group C contractors on the List, they shall also submit half-yearly management 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.

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

SECTION 4 REPORT ON CONTRACTOR'S 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 System

4.2.1 A computerised Central Record System (i.e. Contractor Management Information System ("**CMIS**")) is maintained by DEVB to monitor the workload, performance, listing and financial status of contractors entering into contracts with the Government for capital works including specialist works, term and maintenance contracts and specialist suppliers. This Central Record System is maintained by SEO(PS), DEVB and is based on the reports on contractor's performance compiled by and information received from bureaux/departments on all current contracts.

4.2.2 Reports that have been held by DEVB for more than 5 years will be destroyed provided that 10 subsequent reports are held on the contractors for the same category. Copies of reports held by a department may be retained as long as it is deemed necessary by that department. However, departments should note that for audit purposes, copies of the reports must be retained for at least 7 years.

4.2.3 The Central Record System so established provides readily available information for contractor management and tender assessment purposes. It is imperative to keep updated information in the system.

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 (including the Adverse reports) on a particular contractor in the category, the Managing Department has a reason to doubt the assessment in 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), DEVB for inclusion in the Central Record System.

4.4.3 Where the Reporting Department does not assume the role of 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 all Adverse 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 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-contracts and minor works will not be included in the performance reporting system of DEVB, but departments may maintain their own records of sub-contractors' and minor works contractors' performance. For the avoidance of doubt, departments must properly maintain records of poor performance of these sub-contractors and minor works contractors, who are on the List and/or the Specialist List. Departments should promptly give the corresponding Managing Department(s) recommendations, together with reports concerned, on the necessary actions to be taken against these sub-contractors and minor works contractors with consistent poor performance (e.g. consecutive reports on poor performance). All recommendations and reports concerned should also be copied to DEVB

for information. Upon the receipt of recommendations, reports and other relevant information from departments, Managing Department(s) should conduct a review on all recommendations and make a recommendation to DEVB on the follow-up action(s) required.

4.5.2 Subject to paragraphs 4.5.3, 4.5.5 and 4.5.6 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.

4.5.3 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 end of such a 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. 5/2023, 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.

4.5.4 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[1].

4.5.5 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 contractor's performance should be made upon issue of the final payment certificate (which will cover the resolution of claims).

4.5.6 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

[1] In case when there are no outstanding works and repair/rectification of defects are completed, Reporting Department may evaluate the need for preparing a quarterly report on contractor's performance. Subject to agreement of the relevant Managing Department, Reporting Department may not be required to prepare a quarterly report within the maintenance or defects liability period. In such case, SEO(PS), DEVB should be informed accordingly.

than 7 working days before the next reporting date. The contractor will also be informed when the intervening reports are no longer required.

4.5.7 The reports should be prepared by the Supervising Officer's/Engineer's/Architect's/Surveyor's Representative [2] and be agreed by the Supervising Officer/Engineer/Architect/Surveyor[2]. Where a consultant is named as the Supervising Officer/Engineer/Architect/Surveyor[2] for the contract, the report should be endorsed by the appropriate officer (D1 or above) of the Reporting Department.

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

4.6 Review of Reports on Contractors' Performance

4.6.1 General

(a) Two levels of Contractors' Performance Review Committees, namely Reporting Review Committee ("**RRC**") and Managing Review Committee ("**MRC**") are established 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.

(b) The RRC shall be established within the Reporting Department to review the performance of all the contractors undertaking works for the department. It will endorse/amend the Supervising Officer/Engineer/Maintenance Surveyor's assessment and forward the reports together with recommendations when appropriate, to the secretary of the relevant MRC. The MRC shall be established within the Managing Department to 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

[2] For the purposes of completing reports on contractors' performance, the terminologies of "Project Manager/ Supervisor/Service Manager" and their delegates in NEC are equivalent to "Supervising Officer/ Engineer/Architect/Surveyor" and "Supervising Officer's/Engineer's/Architect's/Surveyor's Representative" in GCC respectively. The Project Manager, the Supervisor, the Service Manager and their delegates should coordinate among themselves to complete the reports.

Committee must meet at the time for MRCs (see later) so that Reporting Departments have time to forward copies of their reports.

(d) Where a department establishes RRCs for one or more of its Offices, rather than a departmental RRC, the Office Reporting Review Committees shall send copies of the report and recommendations direct to the relevant MRC. Reports with recommendations may be routed through departmental headquarter 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 RRC 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 RRC should, however, review and endorse/amend at least all Adverse and borderline reports. These shall be brought to the RRC's attention by the secretary. The Chairman may authorise the secretary to endorse all other reports on his behalf.

(ii) The Supervising Officer/Engineer/Maintenance Surveyor may be in attendance as the RRC requires and should normally be so when an Adverse report has been given. In addition, when the Supervising Officer's/ Engineer's/Maintenance Surveyor'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 RRC shall decide which reports are to be confirmed as Adverse reports and endorsed accordingly by the Chairman. The reasons for amending the Supervising Officer's/Engineer's/Maintenance Surveyor's assessment must, when applicable, be recorded on the report. In case the RRC does not accept the Supervising Officer/Engineer/Maintenance Surveyor's assessment, the remarks by the Supervising Officer/Engineer/Maintenance Surveyor, or his representative, will still be stored in the computerised Central Record System in DEVB.

(iv) With respect to Adverse reports, the RRC shall decide, in consultation with the Supervising Officer/Engineer/Maintenance Surveyor 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), DEVB and to the secretaries of the appropriate MRC 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 removal. In addition, the secretary will provide the name of the member of the RRC the relevant MRC may contact with respect to each Adverse report. Where downgrading or removal is being recommended, the member of the RRC named should attend the meeting of the relevant MRC 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 MRC 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' performance in the relevant categories and lists.

(ii) The MRC 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 RRC(s), the MRC shall decide what action it considers appropriate and recommend accordingly.

(iii) For mandatory suspension, downgrading or removal, the Director or the Deputy Director of the Managing Department, or the Chairman of the MRC should interview the contractor prior to a recommendation being made to DEVB. The Supervising Officer/Engineer/Maintenance Surveyor, together with others considered necessary by the Director of the Managing Department, should attend the interview. Where a consultant is the Supervising Officer/Engineer/ Maintenance Surveyor, the officer from the Reporting Department who endorsed the report should also attend the interview.

(iv) For voluntary suspension, the Chairman of the relevant RRC 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 relevant bureaux/departments, Housing Authority and DEVB.

(v) As soon as the MRC has considered the reports, the secretary shall forward to DEVB the minutes of the MRC's consideration of Adverse reports.

4.6.4 Timetable for Reporting on Contractors' Performance

(a) Subject to paragraphs 4.5.5 and 4.5.6 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 RRC 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 Supervising Officer/Engineer/Maintenance Surveyor or endorsement by an officer at D1 rank or above 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 RRC. Where the report is subsequently amended by the Chairman of the RRC, the contractor shall be notified accordingly.

(d) In the event of disagreement with the grading in the performance report, the contractor should notify the RRC on or before the 6th working day after the reporting date (Saturdays not being counted as working days) and submit written representations to the RRC 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 RRC 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 RRC 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 MRC, with copies to DEVB (Attention: 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 DEVB (Attention: SEO(PS)) with all details of the contract number, the contractor's 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 DEVB.

(f) Subsequent to notifying the RRC of his disagreement with the grading in the performance report in accordance with sub-paragraph (d) above, the contractor should submit written representations to the RRC 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 RRC shall inform the contractor in writing as soon as a decision has been made.

(g) If the RRC 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 RRC on or before the sixteenth working day (Saturdays not being counted as working days) and submit written representations to the RRC 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 RRC 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 RRC 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 MRC, with copies to DEVB (Attention: 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 DEVB (Attention: SEO(PS)) with all details of the contract number, the contractor's 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 DEVB. The RRC shall inform the contractor in writing as soon as a decision has been made.

(i) On receipt of the reviewed Adverse reports from the RRC, the MRC shall conduct further review on such reports, the actions being taken and the recommendations made by the RRC. The minutes of the MRC meeting and copies of the reports (where applicable) shall then be prepared and dispatched to DEVB (Attention: SEO(PS)) on or before the thirty-fifth working day after the reporting date (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 4.5.6 even if the review result of the MRC is not yet available.

(k) When reports are being made for periods with reporting dates different to the normal quarterly reporting dates, the Supervising Officer/Engineer/ Maintenance Surveyor 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 MRCs should fix the dates of their normal review meetings at least twelve months in advance and advise all RRCs such that all appropriate representatives will be made available to attend MRC meetings if required.

(m) The above timetable is illustrated in **Appendix 4D.** To facilitate timely generation of performance rating, the Reporting Department shall complete all actions including those involving disagreement with proposed alterations and upload all the performance reports to the CMIS within the time limit specified above.

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, quality 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 category/class of contracts, it is appropriate that he is not allowed to tender for any new works until he can demonstrate that he can meet the required standards.

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. Save for those circumstances stipulated in paragraphs 5.2.3(c)(ii), (c)(iii) and (d)(i) and Sub-sections 5.4 to 5.14 below which will be dealt with in accordance with the procedures provided therein, before deciding on any regulating action, a contractor will be given adequate warning of and reasons for the action proposed, and the opportunity to present his views on the matter with supporting information and documents where applicable.

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;

(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 provisions in this Handbook 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 arise 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 he/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 DEVB and be signed by the Deputy Secretary for Development (Works).

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 DEVB 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 DEVB, his tender for that particular category or for all categories, as the case may be, will not be considered.

5.2.2A In addition to paragraph 5.2.2 above, if a 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:

(a) under suspension from tendering for public works in all categories pursuant to paragraphs 5.2.3(c)(i) or 5.2.3(c)(vi) below; or

(b) under suspension from tendering for public works in a particular category arising from "poor site safety record in a category" specified in paragraph 5.2.3(d)(ii) or the occurrence of serious incident or conviction of site safety offences specified in DEVB Technical Circular (Works) No. 5/2023,

and if the aforesaid suspension is in force at any point of time between (i) the date set for the close of tender or if this has been extended, the extended date, and (ii) the date on which the contract is awarded (both dates inclusive), its tender will not be considered or accepted.

5.2.2B Where prequalification stage is involved in a tender exercise, if the applicant or prequalified contractor is under suspension from tendering in a particular category or in all

categories due to the circumstances mentioned in paragraph 5.2.2A (a) or 5.2.2A (b) above, and if the aforesaid suspension is in force at any point of time between (i) the date set for the close of prequalification or if this has been extended, the extended date and (ii) the date on which the contract is awarded (both dates inclusive), its prequalification application or tender will not be considered or accepted.

5.2.3 As a general requirement, when a case arises in a public works contract which warrants taking of regulating action against a contractor/supplier on the List and/or Specialist List, the department ("**the department concerned**") which administers the works contract directly or indirectly through entrustment to another party should be responsible for initiating the process of taking regulating actions against the contractor/supplier concerned in accordance with the guidelines below. Prompt action shall be taken by the head of the department concerned to decide whether the contractor/supplier concerned should be removed, suspended, downgraded or demoted, and recommend the proposed regulating action to the Managing Department of the categories concerned. The department concerned should also copy its correspondences with the Managing Department to DEVB. In considering the recommendation made by the department concerned, the Managing Department may consult other departments which may be affected by the case. The Managing Department shall make a recommendation to DEVB for consideration within a reasonable period of time (preferably not more than six weeks after the receipt of the recommendation of the department concerned). Such a recommendation should be personally endorsed by an officer at D3 rank or above of the Managing Department. In drawing up its recommendation to DEVB, the Managing Department should make reference to the following guidelines which indicate the normal sanction to be imposed in given circumstances. It is open to the department concerned and the Managing Department to recommend a more severe or less stringent action if particular circumstances warrant it. When a case arises in a non-Government construction contract which warrants taking of regulating action against a contractor/supplier on the List and/or Specialist List, the Managing Department may initiate a recommendation on its own in the absence of a recommendation from the department concerned, if it thinks fit. In any case, DEVB has its right to initiate any regulating actions that it considers necessary.

(a) <u>Circumstances warranting removal from all categories in which the contractor is listed</u>

(i) Serious misconduct.

(ii) Complicity in the serious 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 DEVB 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, DEVB 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. 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[1] 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 DEVB at least six months but not more than one year before the expiry of the three-year period, to any contractors who appear

[1] For NEC, tender price shall be the forecast total of the Prices submitted.

likely to fall into this situation. If, at the expiry of the period, no tenders have been submitted or there are submissions of non-conforming tenders on three or more occasions, a further letter seeking explanation shall be sent. The Managing Departments should take all explanations into account before recommending removal. Nevertheless, if the circumstances of the cases warrant, the Managing Departments may recommend DEVB to take other regulating actions (such as suspension, downgrading to probationary status or demotion to a lower group) against the contractor concerned. 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.

(c) Circumstances warranting mandatory suspension from tendering in all categories ***(Unless otherwise directed by DEVB, a review should be carried out by the Managing Department at appropriate timing prior to the expiry of suspension period.)***

(i) Misconduct or 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 ***(Unless otherwise directed by DEVB, a review should be carried out by the Managing Department at appropriate timing prior to the expiry of suspension period.)***

(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 DEVB 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 employment of sub-contractors registered under the Specialist Trade Contractors Registration Scheme of the Construction Industry Council 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.

(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.

(iii) Receipt of the second Adverse report during the observation period stipulated in paragraphs 5.4.6 and 5.4.7 for a contractor who is admitted to Group C at confirmed status via the direct entry route based on non-local contract experience.

5.2.3A Further to the above paragraph 5.2.3, removal or suspension from the List and/or the Specialist List or from a particular category thereof **will normally prohibit** a contractor from acting as a sub-contractor on a public works project, **unless**:

(a) the contractor concerned has been awarded the sub-contract at a time prior to the effective date of his removal or suspension from the List and/or the Specialist List; or

(b) the removal or suspension of the contractor concerned from the List and/or the Specialist List was due to reasons in accordance with Sub-section 5.5 or 5.6 below; or

(c) the works to be undertaken by the contractor as a sub-contractor is NOT specified in a public works contract to be supplied or carried out by contractor on the List and/or the Specialist List.

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

(a) a director of a contractor (if the contractor is a company) or a partner in a contractor (if the contractor is a partnership) or a participant/shareholder of a joint venture contractor; or

(b) any person who, under the immediate authority of the board of directors of the contractor, exercises managerial functions; or

(c) any employee, agent or sub-contractor of the contractor (other than the persons referred to in (a) or (b) above), if the contractor has knowledge (actual or implied) or ought to have known or is being reckless as to the serious misconduct, misconduct or suspected misconduct of the employee(s), agent(s) or sub-contractor(s) concerned,

shall be deemed to be the acts or omissions of the contractor.

5.2.5 (a) For the purpose of paragraphs 5.1.3(v), 5.2.3(a)(i), 5.2.3(a)(ii), 5.2.3(c)(i) and 5.2.4, "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. In determining whether there is "serious misconduct", all relevant factors including but not limited to (i) the facts and circumstances giving rise to the misconduct concerned, (ii) the ranking, the involvement and role of the contractor's employee, agent and sub-contractor who has been involved in the misconduct concerned, (iii) the contractor's immediate response to the misconduct concerned, (iv) the contractor's benefit that could have arisen or has arisen out of the misconduct concerned, and (v) the consequences brought about by the misconduct concerned, shall be considered.

(b) For the purpose of paragraph 5.2.4(c), "reckless" means "heedless of the risks of misconduct where the person can foresee, or should reasonably have foreseen, some probable or possible harmful consequence of risks but nevertheless decides to continue with those actions or omissions with an indifference to, or conscious disregard of, the consequences of risks". The nature of the risk is to be assessed by reference to whether it is obvious to an ordinary prudent person that the act or omission of the contractor is capable of causing misconduct which gives rise to the consideration of regulating action(s).

(c) For the avoidance of doubt, "sub-contractor" referred to in paragraphs 5.1.3(xiii), 5.2.3(a)(ii) and 5.2.4, and this paragraph includes all tiers of sub-contractors, and employees and agents of all tiers of sub-contractors.

5.2.6 Pursuant to paragraphs 2.4.3 and 3.4.3, 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 DEVB 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;

(e) Contravention of the Competition Ordinance (Cap. 619).

5.2.8 Notwithstanding paragraph 5.2.3 above, the department concerned and/or the Managing Department should take note of the following requirements to facilitate the timely action to be taken by DEVB: -

(a) Departments concerned should report immediately to DEVB (Attention: Principal Assistant Secretary (Works)4) cases of prosecution and/or conviction of integrity-related offences involving contractor(s) in relation to contracts under their purview when such cases come to their knowledge.

(b) For any cases involving more than one department concerned and/or Managing Departments, DEVB may assign a department to take a leading role in following up the case.

(c) For any cases involving serious or suspected serious poor performance of the contractor, or other serious causes in respect of any non-Government construction contracts, DEVB may assign an appropriate department to conduct an investigation and make a recommendation to DEVB.

(d) For the purpose of recommending an appropriate regulating action(s) (e.g. the period of suspension commensurate with the severity of the case) to DEVB in accordance with paragraph 5.2.3, the following factors should be considered: -

(i) the facts and circumstances giving rise to the case which warrants the consideration of taking regulating action;

(ii) the ranking, involvement and role of the contractor's staff who has been involved in the case concerned;

(iii) the contractor's immediate response to the case concerned;

(iv) the contractor's remedial/preventative measures taken before and after the occurrence of case concerned;

(v) records of the contractor's past performance and regulating action(s) taken against it;

(vi) the consequences brought about by the case concerned (e.g. the losses to the Government if the cases were NOT revealed and whether the losses are irrecoverable);

(vii) the contractor's benefit that has arisen or could have arisen by the case concerned;

(viii) whether the contractor is a repeated offender for the case(s) of similar nature;

(ix) whether the contractor is genuinely contrite or remorseful about the occurrence of the case concerned; and

(x) any special consideration warranting a more severe or less stringent action.

5.2.9 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 Suspension

5.3.1 Except those voluntary suspensions mentioned in Sub-section 5.4 below and those suspensions mentioned in Sub-sections 5.7 to 5.14 below, which will be dealt with in accordance with the procedures provided therein, as a general requirement, contractors suspended by DEVB for whatever reason are required to meet the normal entry criteria including submission of the latest audited financial statements and/or management accounts where appropriate for a financial check, and other additional requirements imposed by DEVB before consideration can be given to their reinstatement on the List and/or the Specialist List. Failure to meet these requirements may result in extension of the suspension period, 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 works 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 The Government must act fairly when taking regulating actions. Contractors must, therefore, be provided with the gist of the 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 (which should be issued promptly), the Chairman of the RRC will then interview the contractor (normally within 2 weeks after obtaining the approval from the Managing Department) 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. At the same time, 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 within 1 week after the interview date. The contractor should be warned that failure to agree to voluntary suspension within 1 week after the interview date could lead to mandatory suspension which will result in publication of the suspension by DEVB through appropriate means including DEVB's webpage, press release, gazette, etc. as DEVB thinks fit. The Chairman of the RRC 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. The contractor should also be informed at the interview 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 DEVB under restricted cover. The start date of the voluntary suspension shall be the date the 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[2] where certificates of substantial completion/satisfactory completion have not been issued), whichever is the later. If voluntary suspension was made during the maintenance period or defects liability period, uplifting of the voluntary

[2] For re-entered contracts, the de facto completion would be taken as at the time when all remaining works left by defaulting contractor and other necessary works (including rectification or remedial works) arising out of re-entry have been completed by others.

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 DEVB 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 for the same period and subject to the same follow-up action as if the contractor agreed to voluntary suspension. If the Managing Department agrees to the RRC's recommendation, a proposal for mandatory suspension of the contractor shall be made to DEVB and copied to the RRC. In general, 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. Notwithstanding the above, if the case warrants, DEVB may request the Managing Department to review the justification(s) of the RRC's recommendation and to interview the contractor further to ensure that the RRC's recommendation is fair and reasonable. The Chairman of the Managing Review Committee ("**MRC**") shall write under restricted cover to all the Works Departments, the Housing Authority and DEVB advising why the recommendation for mandatory suspension of the contractor has not been supported. Mandatory suspension of a contractor will be actioned by DEVB and published through appropriate means as DEVB thinks fit.

(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[2] 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. To ensure fair and proper conduct of the end-of-contract reviews and consistent practices adopted for these reviews by different RRCs, the RRCs should make reference to the internal guidelines[3] issued by the relevant Managing Departments when conducting the end-of-contract reviews.

(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 DEVB for a decision.

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[3] Departments can obtain the internal guidelines from the relevant Managing Departments.

5.4.6 For a contractor who has been admitted directly to Group C at confirmed status based on non-local contract experience, he shall be subject to a two-year observation period starting from the date of commencement of the first public works contract awarded to him ("observation period"). If he receives a total of two Adverse reports in any public works contract(s) under the same category during the observation period, he shall be downgraded to probationary status in that category on a mandatory basis. For the avoidance of doubt, a contractor is regarded as having received an Adverse report during the observation period if the reporting quarter for such Adverse report is fully or partly within the observation period.

5.4.7 Once an Adverse report is issued to a contractor as mentioned in paragraph 5.4.6, the RRC shall inform the MRC immediately. The Managing Department shall then closely monitor the performance of that contractor and make a recommendation to downgrade him to probationary status if he receives a total of two Adverse reports in any public works contract(s) under the same category during the observation period. For the avoidance of doubt, the downgrade on mandatory basis will be imposed in addition to and without limiting to the regulating action as stipulated in paragraph 5.4.5(b) above or other parts of this Handbook.

5.4.8 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 works. 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 DEVB.

5.4.9 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(b) above.

5.4.10 As a general principle, 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. Nevertheless, if the case warrants, DEVB may take different regulating actions against 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 annual audited financial statements/ half-yearly management accounts within the following time limits shall be suspended automatically from tendering. Regarding the submission of annual audited financial statements, if the auditor has issued a disclaimer of opinion or adverse opinion on the annual audited financial statements, the contractor shall be deemed as failing to submit the required annual audited financial statements, unless or until the contractor submits another audited financial statements for the same accounting year or for a subsequent period with the auditor's opinion that the financial statements fairly present the financial position of the contractor. Contractors deemed as failing to submit the annual audited financial statements shall be suspended automatically from tendering.

Submission	Contractors	Time Limit
Annual Audited Financial Statements	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 annual audited financial statements/ half-yearly management 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 annual audited financial statements/ half-yearly management accounts. The reinstatement shall only be considered after the contractor has submitted all his omitted annual audited financial statements/ half-yearly management accounts and has proved to the satisfaction of DEVB that his financial position meets all the criteria appropriate to his group and status.

5.5.5 If a contractor fails 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 (or be deemed to fail) to submit two consecutive audited financial statements 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 to provide (a) the annual audited financial statements and/or half-yearly management accounts, the outstanding answer(s), or information, which gave rise to the aforesaid suspension, and (b) other documents/information required by DEVB as specified in the letter of suspension, he shall be removed automatically from the List and/or the Specialist List.

5.5.7 These procedures will be applied by DEVB. 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 DEVB 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 fails to make good the shortfall in share capital, employed capital and/or working capital within the time period as specified by DEVB for retention purpose, he shall be suspended automatically from tendering for a minimum period of six months starting from the commencement of the suspension notified by DEVB in the letter of suspension or until the shortfall is rectified, whichever is later.

5.6.3 Should the contractor fail to meet any financial criteria (including, but not limited to, to make good the shortfall in capital(s)) within one year from the commencement of the suspension shown in the letter of 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 DEVB (copied to SEO(PS), DEVB and all the Works Departments) reminding the contractor that should the average loss rate exceed 30% based on the audited financial statements 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 financial statements 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 financial statements 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 audited financial statements show that the average loss rate exceeds 30%, the contractor can inject capital to strengthen the shareholder' 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 DEVB. 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 DEVB. 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 website of DEVB, 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 DEVB. 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 DEVB, 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 TC(W) No. 5/2023 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 Engagement of Sub-contractors Registered under Registered Specialist Trade Contractors Scheme

5.11.1 Please refer to Chapter 7 of the PAH, available in the website of CEDD, 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 contractor shall exercise reasonable care in preparing his tender. A contractor 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 share capital, employed capital and 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 DEVB on whether legal action is recommended.

5.13.4 The Government may take legal action against a contractor to recover damages where there has been a breach of an implied contract by the contractor. In any event, withdrawal of a tender by the contractor 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 contractor shall result in regulating action being taken against the contractor unless the contractor can offer an acceptable explanation for such conduct.

5.13.5 Where it is established that a contractor 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 MRC within one week enclosing copies of the relevant correspondence with a copy to DEVB (Attn: Principal Assistant Secretary (Works)4) advising him of the name of the defaulting contractor, 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 contractor preferably within two weeks from the date of receipt of the notification from the procuring department, seeking an explanation from the contractor as to the reasons for the inappropriate conduct (using the standard letter at **Appendix 5B**).

(ii) If the MRC Chairman is satisfied with the contractor's explanation, the contractor 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 contractor has failed to respond or if the MRC Chairman is not satisfied

with the contractor's explanation and considers that the inappropriate conduct could have been reasonably avoided, the contractor 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 contractor can offer an acceptable explanation for such conduct.

(b) If the notification is the second one in respect of the same category of works 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 contractor has failed to respond or despite the contractor's explanation, the MRC Chairman is satisfied that the inappropriate conduct gives rise to reasonable suspicions as to the capability or integrity of the contractor, he should recommend to DEVB to remove the contractor from that particular category. DEVB will give a further opportunity to the contractor to present his case before determining whether to take regulating action against him as recommended by the MRC Chairman.

(c) If the notification is the second one in respect of the same category of works in a rolling 36-month period, the following actions should be taken.

(i) The MRC Chairman should follow the same procedures laid down in sub-paragraphs (a)(i) and (a)(ii) above.

(ii) If the contractor has failed to respond or despite the contractor's explanation the MRC Chairman is satisfied that the inappropriate conduct gives rise to reasonable suspicions as to the capability or integrity of the contractor, the MRC Chairman should recommend to DEVB to suspend the contractor from tendering for public works contracts in that category for six months. DEVB 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 DEVB decides to take regulating action against a contractor in accordance with this Sub-section 5.13 and where the contractor 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.

5.14 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.

SECTION 6 CHANGE OF COMPANY NAME AND COMPANY STRUCTURE, 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 DEVB in writing of the change of 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) 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 the company does not affect any rights or obligations of the company, or render defective any legal proceedings by or against him, and any legal proceedings that could have been commenced or continued against him by his former name may be commenced or continued against him by his 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 the contractor has entered into with the Government; and

(d) documents on change of bank accounts, if any.

6.2 Actions to be Taken by DEVB

6.2.1 Subject to and upon the receipt of the above documents from the contractor, DEVB will 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 financial statements after the aforesaid change; and

(b) answer all reasonable enquiries from DEVB

to ascertain that the financial criteria and requirements for both retention and tendering purposes are met. Alternatively, a contractor's audited financial statements immediately before the change and his most up-to-date management accounts after the change would be accepted in lieu of the latest audited financial statements after the change if the contractor's auditors can confirm to DEVB 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 DEVB, 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 DEVB whether there should be any change in the contractor's status within one calendar month from the date of referral by DEVB. The procedures of submitting a recommendation are the same as those given in paragraph 2.3.4 or paragraph 3.3.5 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 contractor has been suspended from tendering or removed from the List or the Specialist List.

6.3.2 The Managing Departments should note that a change of name per se, or in the case of a non-Hong Kong company as confirmed by the legal opinion referred to in paragraph 6.1.1(b)(ii), 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 Relevant Bureaux/Departments

6.4.1 DEVB will inform all relevant bureaux/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 Changes in Company Structure

6.5.1 As provided in paragraph 1.1.7, it is the duty of the contractor to immediately inform DEVB 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 DEVB in accordance with the guidance notes of the application form. Upon receipt of the contractor's notice or update, DEVB will carry out vetting and, where necessary, ascertain the contractor's capability for retention on the List and/or the Specialist List. 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/or the Specialist List and shall inform the contractor in writing as soon as a decision has been made.

6.5.2 Changes of a limited company involving a change in his legal entity are not allowed. It will be classified and dealt with as substitution under Sub-section 6.6.

6.5.3 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 **Annex 2 to Appendix 2A and Criteria 3 and 4 of Appendix 2A or Appendices 3B and 3C as appropriate**. When DEVB is informed of the change, the contractor shall confirm in writing whether there are any changes to the firm such as 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 except as set out in Sub-section 6.6 below.

6.5.4 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 **Annex 2 to Appendix 2A and Criteria 3-5 of Appendix 2A or Appendices 3B and 3C as appropriate**. Financial assessment will be conducted to ascertain if the new composition of partnership still meets the retention requirements in the List and/or the Specialist List. When DEVB is informed of the change, the contractor shall confirm in writing whether there are any changes to the firm such as management and technical personnel of the contractor and, if so, specify the details of the change.

6.5.5 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 **Appendix 2A or Appendices 3B and 3C**. For the purpose of assessing the technical and management capabilities under **Appendix 2A or Appendix 3C**, 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.

6.5.6 Changes from sole-proprietorship or partnership to a limited company are not allowed, unless such changes are allowed under Sub-Section 6.6.

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

6.6 Substitution

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

6.6.2 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 6.6.3 to 6.6.6 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"**).

6.6.3 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.

6.6.4 Upon receipt of an application for substitution, SEO(PS), DEVB 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 relevant bureaux/departments will be required to check whether the outgoing company has any outstanding contracts with them and confirm to SEO(PS), DEVB 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 Supervising Officers / Engineers / Maintenance Surveyors but disputed by the contractor**. Relevant bureaux/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 DEVB if any particular contracts have to be included in or excluded from the novation list. Upon confirmation by the relevant bureaux/departments of the full list of contracts to be novated, SEO(PS) will forward the list together with the application for substitution to the Finance Section of DEVB for financial vetting. The new company will be assessed financially on whether he is eligible for admission and for taking up the outstanding contracts surrendered by the outgoing company.

6.6.5 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 DEVB, which may conduct a re-assessment on the new company's financial capability if required. Separately, SEO(PS) will coordinate the returns from relevant bureaux/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 bureaux/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). DEVB will issue a letter to the new company approving his 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 bureau/department are involved in the novation process, SEO(PS) will facilitate as a central coordinator between the relevant bureaux/departments and the outgoing and new companies. The bureau/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.

6.6.6 In processing an application for substitution, 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.

6.7 Transfer of Benefits and Obligations of Contracts – Novation

6.7.1 Apart from the substitution process as mentioned in Sub-section 6.6 above, a contractor may apply to transfer his benefits and obligations under a contract with the Government to a third party/new contractor **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 original 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/new contractor must be an approved contractor under the relevant category/categories 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.

6.8 A Novation Agreement

6.8.1 For public works contracts, a novation agreement is a tripartite agreement entered into by the Employer (Government), the original contractor and a third party/new contractor, whereby the original contractor is released from and the third party/new contractor 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.

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

6.8.3 The bureaux/departments concerned must check to ensure that the third party/new contractor taking over the contract has the technical, management and financial capability and is a fit substitute for the original contractor. In the event that the original contractor has assigned the financial benefit of his contract with the Government to a financial institution, the original 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 6.9 herein below).

6.8.4 Before a novation agreement is executed, bureaux/departments concerned should first confirm the financial capability of the third party/new contractor with the Finance Section of DEVB. They should apply to DEVB (Attn: PAS(W)4), with a copy of confirmation memo from the Finance Section of DEVB, 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. DEVB will monitor the progress of the arrangement.

6.8.5 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 an unincorporated joint venture contractor, all participants of the unincorporated joint venture contractor shall also join in the execution of the agreement. Copies of the executed novation agreement shall be sent to DEVB (Attn: PAS(W)4) and the Financial Services and the Treasury Bureau within 3 working days from the date of execution.

6.9 Performance Bond, Joint Venture Guarantee and/or Insurance

6.9.1 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/new contractor, in the contractually required form, prior to the execution of the novation agreement. The original contractor 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 original contractor must provide documentary proof that any insurance policy required under the contract also covers the new contractor to the same extent as that for the original contractor. 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 Subcontract, the original contractor, the new contractor and the relevant Nominated Subcontractor should novate the Nominated Subcontract. The original and a copy of the novated Nominated Subcontract should be produced to the relevant bureau/department for inspection and, if found acceptable to the relevant bureau/department, the original novated Nominated Subcontract will be returned to the applicant and the copy thereof shall be retained for record. The novated Nominated Subcontract should have a clause to the effect that the novated Nominated Subcontract shall take effect only on the date when the novation agreement in respect of main contract is executed.

(c) The original contractor must provide documentary proof that any Professional Indemnity Insurance required for the contract also covers the new contractor to the same extent as that for the original contractor. If the original insurance policy(ies) includes other parties in joint names, the new policy(ies) should cover these parties as well.

(d) The original contractor must provide documentary proof that any bond(s) and surety(ies) required for the contract also covers the new contractor to the same extent as that for the original contractor. 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 original contractor 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 original contractor must provide other documents as specified and required by DEVB.

6.9.2 Where the third party/new contractor 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.

SECTION 7 TENDERING

7.1 General

7.1.1 Tenders for public works contracts are normally invited from contractors on the List and the Specialist List. In this connection, contractors which are not on the List and/or the Specialist List may take part in these tendering exercises by either becoming an approved contractor on the List and/or the Specialist List before tender closing date[1] or participating as a member of joint venture tenderer. In addition, the contractors are required to satisfy other tender conditions stipulated in the tender invitation documents.

7.2 Tendering

7.2.1 Invitations of tenders for public works contracts will be published in the Government Gazette normally for contracts with estimated value exceeding a certain limit[2]. Tender invitations for public works contracts under that limit may only be published on the website of the Financial Services and the Treasury Bureau (**"FSTB"**) and/or the websites of the relevant bureaux / departments.

7.2.2 Invitations to contractors to tender will normally be limited to the particular group appropriate to the value of the contract. However, when the works involved are of simple or repetitive nature, the span of groups invited to tender may be broadened to the lower groups at the discretion of the head of the department responsible for the contract, without immediate regard to the value of the contract. This rule can be extended to probationary contractors in Group A and Group B of the List.

7.2.3 Normally, Group C contractors will not be allowed to tender for Groups A and B contracts unless the procuring department considers that there may be an inadequate number of tenderers. In such cases, prior approval must be obtained from a D2 or higher rank officer of the procuring department concerned and notification of the intention to invite tenders from Group C contractors for lower group contracts given to the Managing Department. If there are other reasons for inviting Group C contractors to tender for lower group contracts, the procuring department shall seek prior consent from DEVB and sufficient

[1] "Tender closing date" refers to the date set for the close of tender in the tender documents, or if this has been extended, the extended date.

[2] Please also refer to the Stores and Procurement Regulations Clause 340 (d) available at the website of FSTB : https://www.fstb.gov.hk/tb/en/government-procurement-policy-procedures.htm.

time should be given to DEVB for deliberating the case.

7.2.4 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.

7.2.5 A probationary contractor's eligibility to tender and for the award of contracts is more particularly set out in paragraphs 2.5.1, 3.5.1 and Sub-section 7.5. For the avoidance of doubt, probationary contractors should normally be invited to tender for contracts in the respective group. In case the procuring department considers it necessary to invite tenders from contractors of confirmed status only, prior consent from DEVB shall be obtained, except for the cases where the estimated values of the contracts exceed the tendering limits set for probationary contractors in (i) Group C contracts as given in paragraph 2.5.1(c) or (ii) contracts with tenders to be invited from contractors under the Specialist List as given in paragraph 3.5.1. A probationary contractor who is considered to have exceeded the tendering limits as set out in paragraphs 2.5.1 and 3.5.1 at the time of tender invitation will still be permitted to collect 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 tender closing date. Where the tender submitted by a probationary contractor is not considered because he has exceeded the limits given in paragraphs 2.5.1 and 3.5.1 at the tender closing date, 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.

7.2.6 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 collect 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 tender closing date.

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

7.3 Eligibility to Tender for Term Contracts

7.3.1 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 Specialist List in which case tenders shall be invited from contractors in the specialist category. For the purpose of defining eligibility to tender, the value of a term contract shall be taken to mean the total estimated expenditure[3] under the contract.

7.3.2 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 Group Tender Limit for Group B 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 held by a Group B contractor should not exceed the Group C probationary limit given in paragraph 2.5.1(c) or paragraph 7.5.4 below.

7.4 Holding Companies, Subsidiaries and Related Parties

7.4.1 A holding company, his subsidiaries and related parties shall be permitted to be included in the List and/or the Specialist List, either in the same or different categories, classes or groups. However, the holding company, all his subsidiaries and related parties who are included in the List and/or the Specialist List shall each give an undertaking that only one company will submit a tender for a particular contract. A tender submitted by a joint venture of a holding company, his subsidiaries and/or related parties will be regarded as a tender from one and the same tenderer. But if two or more shareholders or participants in the same joint venture tenderer have a holding-subsidiary relationship or they are related, they shall not be regarded as having submitted more than one tender. 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). The definition of a "related party" is set out in the guidance notes of the application form available at the website of DEVB via the link:

https://www.devb.gov.hk/en/construction_sector_matters/contractors/applications_as_public_works/index.html.

7.5 Eligibility checking of Probationary Contractors

7.5.1 For the purpose of checking probationary contractors' eligibility to tender, and for the award of contracts:

[3] i.e. the Total Value for Tender Assessment (TVTA).

(a) "contract being procured" means the contract being procured under a particular procurement exercise in which the probationary contractor's eligibility is checked;

(b) all probationary contractors' eligibility to tender as at the tender closing date for the contract being procured will be checked to screen out those that are ineligible to tender;

(c) 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 (the "**tender report date**") for submission to the relevant authority for determination of contract award and any new contracts awarded to the probationary contractor after the tender closing date up to and including the tender report date will be taken into account. The tender report should contain a statement confirming that such re-checking has been done at the tender report date in recommending acceptance of the tender from the probationary contractor concerned. If the re-checking reveals that the contract limits of this probationary contractor are exceeded and he is no longer eligible for award of the contract, the tender recommendation should be revised accordingly;

(d) whether a contract is classified as a particular Group's 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 tender closing date for the contract being procured shall be counted;

(f) notwithstanding (d) above, in counting the number of contract(s) that a probationary contractor already holds in a certain Group in the Specialist List, only contract(s) in that Group with a contract value falling within the Group tender limit current at the tender closing date for the contract being procured, 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 current at the tender closing date for the contract being procured shall be counted.

7.5.2 For the purpose of checking the contracts which a probationary contractor already holds under the rule in paragraphs 2.5.1, 3.5.1 and 7.5.1, 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).

7.5.3 Unless otherwise specified, 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.

7.5.4 Paragraphs 2.5.1(c) and paragraph 7.5.3 do not apply to probationary Group C contractors tendering for Group C contract in the "Buildings" category with the Architectural Services Department, who have as at the tender closing date for the contract being procured active Housing Authority contract(s) each of an original contract value exceeding Group Tender Limit for Group B in the corresponding category. If the total outstanding value of such Housing Authority contract(s) exceeds Group C probationary limit, 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 Group C probationary limit in the total value of works. The term "active Housing Authority contract(s)" shall mean those Housing Authority contracts which are not completed within the meaning as provided in the second sentence of paragraph 7.5.2 above.

7.5.5 The total value of works in the relevant group, class and category of contracts that a probationary contractor already holds as described in the rule in paragraphs 2.5.1, 3.5.1 and 7.5.4 should be referred to as the total outstanding value of the existing contract(s) held by probationary contractors in the same group, class and category. The outstanding value of an existing contract shall be the difference between the original contract sum[4] and the aggregate of all payments certified under the contract up to and including the tender closing 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 7.5.1(c), the same outstanding value

[4] For New Engineering Contract ("**NEC**"), the original contract sum in counting the outstanding value of a contract shall be the corrected forecast total of the Prices.

of the existing contract(s) determined as aforesaid shall be added to the total outstanding value of new contracts in the relevant group / class and category of contracts awarded after the tender closing date in checking compliance with the contract limits for probationary contractors.

7.5.6 Where –

(g) a probationary contractor has submitted tenders and attained the highest combined scores for more than one contract in the same category, class and group; and

(h) 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, class and group stipulated in paragraph 2.5.1 or 3.5.1,

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**.

7.6 Checking Status of Contractors in Relation to Suspension

7.6.1 For the purpose of checking whether contractors are suspended from tendering for public works under paragraphs 5.2.2 and 5.2.2A, the department responsible for the tender exercise should observe the following procedures:

(a) On the tender closing date for the contract being procured, all tenderers shall be checked on whether they are being suspended from tendering;

(b) On the date the tender report is completed and signed for submission to the relevant tender board or authority (the "**tender report date**"), all conforming tenderers shall be re-checked on whether they are being suspended or have been suspended from tendering arising from any of the circumstances specified in paragraphs 5.2.3(c)(i), 5.2.3(c)(vi), 5.2.3(d)(ii) or occurrence of serious incident or conviction of site safety offences specified in DEVB TC(W) No. 5/2023 at any point of time between the tender closing date and the tender report date (both dates inclusive);

(c) The tender report should contain a statement confirming that the checking mentioned in sub-paragraph (a) and the re-checking mentioned in sub-paragraph (b) have been duly performed.

(d) If the re-checking in sub-paragraph (b) above reveals that a conforming tenderer is being suspended / has been suspended from tendering, his tender will not be further considered. The tender report including the tender recommendation should be revised as appropriate; and

(e) On the contract award date, departments should re-check whether the tenderer to be awarded the contract as accepted by the relevant tender board or authority is being suspended / has been suspended from tendering arising from any of the circumstances mentioned in sub-paragraph (b) above at any point of time between the tender report date to the contract award date (both dates inclusive). If the re-checking is affirmative, such tenderer will not be eligible for award of the contract, and the responsible department should revise the tender report as appropriate for re-submission to the relevant tender board or authority for approval.

7.6.2 For the purpose of checking whether applicants or prequalified contractors are suspended from tendering for public works under paragraph 5.2.2B for tenders adopting prequalification, similar checking should be carried out on the following dates: (a) the date set for close of prequalification; (b) the date on which the recommended list of prequalified contractors is submitted for approval; (c) the tender closing date; (d) the tender report date; and (e) the contract award date.

7.6.3 For operational details of the above checking procedures, please refer to **Appendix 8**.

7.7 Award of a Contract

7.7.1 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.

7.7.2 In checking the financial capability of the tenderers, the department responsible for the contract is required to consult the Finance Section of DEVB:

(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 DEVB for financial checking. Financial checking is also required on tenderers for contracts under categories listed in paragraph 3.3.6 if the contract is of a value exceeding $15,000,000.

7.7.3 A contractor must meet the financial requirements for acceptance of tenders established by DEVB and included in **Annex 2 to Appendix 2A or Appendix 3B** 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 in capital(s), or if the contractor's average 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.

APPENDIX 1 List of Relevant Technical Circulars

Technical Circulars[1] superseded by this Handbook

Circular No.	Title
Superseded by the first edition of this Handbook promulgated via Circular No. 5/2001	
2/86	Rules for the Administration of the Category "Landscaping"
16/87	Central Record and Review of Contractors' Performance
9/93 & 9/93A	Regulating Actions on Contractors Convicted of Employing Illegal Immigrants or of Having Illegal Immigrants on Sites under their Control
7/96 & 7/96A	Change of Company Name of a Contractor and Transfer of Benefits and Obligations of Contracts by Contractors (Novation)
12/96	Report on Contractors' Performance Guidance Notes for the Completion of Reports
13/96	Guidance Notes for the Administration of Approved Contractors for Public Works and Regulating Actions for Poor Performance
8/97	Regulating Actions on Contractors Convicted of Contravention of the Employment Ordinance
9/97	Rules for the Administration of the List of Approved Contractors for Public Works
2/98	Automatic Suspension for Non-Submission of Accounts
Superseded by Revision A of this Handbook promulgated via Circular No. 25/2002	
2/99	The Appendices in relation to convictions under the Immigration Ordinance (Cap. 115) and Employment Ordinance (Cap. 57) in WBTC No. 2/99 – Tenderer's Eligibility for the Award of Works Contracts
5/2001	Contractor Management Handbook
44/2002	Regulating Actions for Contractors Convicted of Employing Illegal Workers or of Having Illegal Workers on Sites under their Control
Superseded by Revision B of this Handbook since its promulgation via Circular No. 9/2005	
25/2002	Contractor Management Handbook – Revision A
44/2002A	Regulating Actions for Contractors Convicted of Employing Illegal Workers or of Having Illegal Workers on Sites under their Control
18/2003	Substitution of Listing Status and Transfer of Benefits and Obligations of Contracts
Superseded by the current version of this Handbook	
9/2005	Contractor Management Handbook – Revision B

[1] "Land and Works Branch Technical Circular", "Works Branch Technical Circular", "Works Bureau Technical Circular", "Environmental, Transport and Works Bureau Technical Circular" and "Development Bureau Technical Circular (Works)" are collectively called "Technical Circular" in this Appendix.

Technical Circulars subsumed under this Handbook

Circular No.	Title
Partly subsumed under Revision B of this Handbook	
13/2001A	Quality Management System Certification of Consultants and Contractors for Public Works Administered by the Works Group of Departments
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 at the website of the Civil Engineering and Development Department (CEDD), and Section 5 of Appendix 4B of the Handbook]
12/2003	Employment of Technician Apprentices and Building & Civil Engineering Graduates by Contractors of Public Works Contracts
10/2004	Tenderer's Eligibility for the Award of Works Contracts
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 at the website of CEDD]
31/2004 & 6/2010	Trip Ticket System for Disposal of Construction & Demolition Materials
3/2009	Regulating Action against Contractors for Occurrence of a Serious Incident or Conviction for Site Safety or Environmental Offences
8/2010	Enhanced Specification for Site Cleanliness and Tidiness
Subsumed under the current version of this Handbook	
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

Technical Circulars and subsequent revisions to be read in conjunction with this Handbook

Circular No.	Title
17/96	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing [subsumed under Chapter 5 of PAH which is available at the website of CEDD]
13/2001 & 13/2001A	Quality Management System Certification of Consultants and Contractors for Public Works Administered by the Works Group of Departments
25/2001 and 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
50/2002	Contractors' Joint Ventures
12/2003	Employment of Technician Apprentices and Building & Civil Engineering Graduates by Contractors of Public Works Contracts
22/2003 & 22/2003A	Additional Measures to Improve Site Cleanliness and Control Mosquito Breeding on Construction Sites
19/2005	Environmental Management on Construction Sites (and Pay for Safety Performance Merit Scheme)
3/2007 & 3/2007A	Contractors' Performance Index System
6/2010	Trip Ticket System for Disposal of Construction & Demolition Materials
8/2010	Enhanced Specification for Site Cleanliness and Tidiness
7/2014	Guidance on Execution of Public Works Contracts as a Deed
4/2017	Employment of Skilled Workers in Public Works Contracts
6/2019	Implementation of Mandatory Construction Industry Collaborative Training Schemes in Public Works Contracts
1/2020	Score Card for Assessment of Site Safety Performance
4/2020	Tree Preservation
5/2020	Registration and Preservation of Old and Valuable Trees
6/2021	Security of Payment Provisions in Public Works Contracts
5/2023	Regulating Action against Contractors for Occurrence of a Serious Incident or Conviction for Site Safety or Environmental Offences

APPENDIX 2A Minimum financial, technical and management requirements for the List of Approved Contractors for Public Works

The suitability of a contractor for admission, confirmation and promotion to a category and group in the List is assessed mainly under six core elements, (namely experience, management, staff employment, safety, integrity and financial capability), as well as other specific technical requirements. A contractor on the List shall ensure his continuous compliance with the retention requirements. Subject to other provisions in the Handbook, the applicability of the criteria in this Appendix to admission, confirmation, promotion and retention are summarized in the table below.

	For admission, confirmation and promotion	For retention
Criterion 1 : Safety		
1.1 Qualified personnel	✓	✓
1.2 Performance in compliance with safety legislations	✓	✗[1]
Criterion 2: Experience	✓	✗
Criterion 3: Management – Top Management		
3.1 Minimum number and qualifications	✓	✓
3.2 Continuous Capability Building	✗	✓
Criterion 4: Staff Employment – Technical Staff		
4.1 Minimum number and qualifications	✓	✓
4.2 Continuous Capability Building	✗	✓
Criterion 5: Financial Capability	✓	✓
Criterion 6: Integrity		
6.1 Integrity Management Policy	✓	✓
6.2 Integrity Training	✗	✓
Other Criteria: Business Registration Certificate, Statutory Registration and ISO 9001 Certification	✓	✓

[1] The policy and procedure for imposition of regulating action against contractors on the List for occurrence of a serious incident or conviction for site safety offences are set out in DEVB TC (W) No. 5/2023 and handled under that Technical Circular separately.

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 1: Safety					
Group A					
1.1 Qualified personnel	Admission on Probation / Confirmation / Retention - 1 no. of safety supervisor (see Remark 1.1)				
1.2 Performance in compliance with safety legislations #	Admission on Probation / Confirmation - < 4 safety offences in each of the rolling 6-month period in the past 12 months (see Remark 1.2)				
Group B					
1.1 Qualified personnel	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention - 1 no. of safety supervisor (see Remark 1.1)				
1.2 Performance in compliance with safety legislations #	Admission on Probation (Direct Entry or By Promotion) / Confirmation - < 4 safety offences in each of the rolling 6-month period in the past 12 months (see Remark 1.2)				
Group C					
1.1 Qualified personnel	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention - 1 no. of safety manager (see Remark 1.1)				
1.2 Performance in compliance with safety legislations #	Admission on Probation (Direct Entry or By Promotion) / Confirmation - < 4 safety offences in each of the rolling 6-month period in the past 12 months (see Remark 1.2)				

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group A (Probation) *(Not applicable for "Port Works" and "Site Formation" categories)*					
2.1 Required Contract Experience	Direct Entry - Satisfactory completion of one contract (as main contractor or subcontractor) within the past 5 years				
2.2 Minimum Contract Value	Direct Entry - over 50% of the applicable prevailing Group A limit				
2.3 Specific Contract Coverage Requirement	Direct Entry - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A		---		Direct Entry - Mainlaying works

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group A (Confirmed) *(Not applicable for "Port Works" and "Site Formation" categories)*					
2.1 Required Contract Experience	Direct Entry - Satisfactory completion as the main contractor of one Government contract within the past 5 years By Confirmation from Group A (Probation) - After inclusion in Group A on probation, **Method (1)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one Government contract; or **Method (2)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one non-Government contract^; or **Method (3)**: Satisfactory completion within the past 7 years or satisfactory execution for a period of two consecutive years within the past 7 years, as the main contractor, of one Government contract **plus** one non-Government contract. [*Note ^: only contract that is comparable to Government contract will be counted. In this connection, please refer to Remark 2.11 for details*.]				
2.2 Minimum Contract Value	Direct Entry - over 50% of the applicable prevailing Group A limit By Confirmation from Group A (Probation) - **Method (1)**: over 50% of the applicable prevailing Group A limit; or - **Method (2)**: over 50% of the applicable prevailing Group A limit; or - **Method (3)**: (i) Government contract - over 30% of the applicable prevailing Group A limit; and (ii) non-Government contract - over 50% of the applicable prevailing Group A limit.				
2.3 Specific Contract Coverage Requirement	Direct Entry and By Confirmation from Group A (Probation) - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A		Direct Entry and By Confirmation from Group A (Probation) - Experience in (i) construction of concrete carriageway and (ii) laying of pre-cast concrete pipes of various diameters		Direct Entry and By Confirmation from Group A (Probation) - Mainlaying works

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group B (Probation)					
2.1 Required Contract Experience	Direct Entry - Satisfactory completion as the main contractor or subcontractor of one contract within the past 5 years By Promotion from Group A (Confirmed) *(Not applicable for "Port Works" and "Site Formation" categories)* - After confirmation in Group A, satisfactory completion as the main contractor of: **Method (1)**: one Government contract within the past 5 years; or **Method (2)**: one Government contract **plus** one non-Government contract within the past 7 years.				
2.2 Minimum Contract Value	Direct Entry - over 50% of the applicable prevailing Group B limit By Promotion from Group A (Confirmed) (*Not applicable for "Port Works" and "Site Formation" categories*) - **Method (1)**: over 70% of the applicable prevailing Group A limit; or - **Method (2)**: (i) Government contract - over 50% of the applicable prevailing Group A limit; and (ii) non-Government contract - over 70% of the applicable prevailing Group A limit.				
2.3 Specific Contract Coverage Requirement	Direct Entry and By Promotion from Group A (Confirmed) - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A	---	---	Direct Entry - Earthworks quantity (excluding quarrying and maintenance of spoil dumps) not less than 50,000 m^3	Direct Entry and By Promotion from Group A (Confirmed) - Mainlaying works

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group B (Confirmed)					
2.1 Required Contract Experience	Direct Entry - Satisfactory completion as the main contractor of one Government contract within the past 5 years By Confirmation from Group B (Probation) - After inclusion in Group B on probation, **Method (1)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one Government contract; or **Method (2)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one non-Government contract^; or **Method (3)**: Satisfactory completion within the past 7 years or satisfactory execution for a period of two consecutive years within the past 7 years, as the main contractor, of one Government contract **plus** one non-Government contract. [*Note ^: only contract that is comparable to Government contract will be counted. In this connection, please refer to Remark 2.11 for details*.]				
2.2 Minimum Contract Value	Direct Entry - over 70% of the applicable prevailing Group B limit By Confirmation from Group B (Probation) - **Method (1)**: over 50% of the applicable prevailing Group B limit; or - **Method (2)**: over 50% of the applicable prevailing Group B limit; or - **Method (3)**: (i) Government contract - over the applicable prevailing Group A limit; and (ii) non-Government contract - over 50% of the applicable prevailing Group B limit.				
2.3 Specific Contract Coverage Requirement	Direct Entry and By Confirmation from Group B (Probation) - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A	---	Direct Entry and By Confirmation from Group B (Probation) - Experience in (i) construction of concrete carriageway, (ii) laying of pre-cast concrete pipes of various diameters and (iii) construction of highways structures for pedestrian use or vehicular use	---	Direct Entry and By Confirmation from Group B (Probation) - Mainlaying works

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group C (Probation)					
2.1 Required Contract Experience	Direct Entry - Satisfactory completion, within the past 7 years, as the main contractor, of a maximum of two contracts By Promotion from Group B (Confirmed) - After confirmation in Group B, satisfactory completion as the main contractor of: **Method (1)**: one Government contract within the past 5 years; or **Method (2)**: one Government contract **plus** one non-Government contract within the past 7 years.				
2.2 Minimum Contract Value	Direct Entry - the contract value/the total contract value of the relevant/two relevant contract(s) shall be: (a) if tenders for the relevant contract/two relevant contracts were invited "on or after 1 March 2021": ➢ over 50% of the Group C (Probationary) limit applicable "on or after 1 March 2021" (b) if tenders for the relevant contract/two relevant contracts were "before 1 March 2021 but on or after 15 February 2017": ➢ over the Group C (Probationary) limit applicable for the period "before 1 March 2021 but on or after 15 February 2017" (c) if tenders for the relevant contract/two relevant contracts were invited "before 15 February 2017": ➢ over the Group C (Probationary) limit applicable "before 15 February 2017" (d) if tenders for one of the relevant contracts were invited "before 1 March 2021 but on or after 15 February 2017" and tenders for the other relevant contract were invited "before 15 February 2017": ➢ over the average of the applicable prevailing Group C (Probationary) limits of these two periods (e) if tenders for one of the relevant contracts were invited "on or after 1 March 2021" and tenders for the other relevant contract were invited before 1 March 2021: ➢ over the sum of (I) 50% of the Group C (Probationary) limit applicable before 1 March 2021; and (II) 25% of the Group C (Probationary) limit applicable "on or after 1 March 2021" - if there are two relevant contracts, at least one of the relevant contract shall have a contract value over the applicable prevailing Group B limit.				

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
2.2 Minimum Contract Value (Cont'd)	<u>By Promotion from Group B (Confirmed)</u> - **Method (1)**: over 70% of the applicable prevailing Group B limit; or - **Method (2)**: (i) Government contract - over 50% of the applicable prevailing Group B limit; and (ii) non-Government contract - over 70% of the applicable prevailing Group B limit.				
2.3 Specific Contract Coverage Requirement	<u>Direct Entry and</u> <u>By Promotion from Group B (Confirmed)</u> - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A	---	---	---	---

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group C (Confirmed)					
2.1 Required contract Experience	Direct Entry - Satisfactory completion as the main contractor of: **Method (1)**: one Government contract within the past 5 years; or **Method (2)**: one Government contract **plus** one non-Government contract within the past 7 years; or **Method (3)**: a maximum of two non-local contracts[@] within the past 7 years. *[Note [@]: only contract that is comparable to Government contract will be counted. In this connection, please refer to Remark 2.13 for details.]* By Confirmation from Group C (Probation) - After inclusion in Group C on probation: **Method (1)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one Government contract; or **Method (2)**: Satisfactory completion within the past 5 years or satisfactory execution for a period of two consecutive years within the past 5 years, as the main contractor, of one non-Government contract^; or **Method (3)**: Satisfactory completion within the past 7 years or satisfactory execution for a period of two consecutive years within the past 7 years, as the main contractor, of one Government contract **plus** one non-Government contract. *[Note ^: only contract that is comparable to Government contract will be counted. In this connection, please refer to Remark 2.11 for details.]*				
2.2 Minimum Contract Value	Direct Entry - **Method (1)**: (a) if tenders for the contract were invited on or after 1 March 2021, over 150% of the applicable prevailing Group B limit. (b) if tenders for the contract were invited before 1 March 2021, over 70% of the applicable prevailing Group C (Probationary) limit. - **Method (2)**: (a) the value of the Government contract shall be over the prevailing applicable Group B limit; and (b) the total value of the Government contract and the non-Government contract shall be over: (i) $2,000 million (if tenders for both contracts were invited on or after 1 March 2021) (ii) $1,750 million (if tenders for both contracts were invited before 1 March 2021) (iii) $1,875 million (if tenders for one of the contracts were invited on or after 1 March 2021 and tenders for the other contract were invited before 1 March 2021)				

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 2: Experience (for admission, confirmation and promotion) #					
Group C (Confirmed) (Cont'd)					
2.2 Minimum Contract Value (Cont'd)	- **Method (3)**: (a) if there is only one relevant non-local contract, the contract value shall be over: (i) $2,000 million (if tenders for the contract were invited on or after 1 March 2021) (ii) $1,750 million (if tenders for the contract were invited before 1 March 2021) (b) if there are two relevant non-local contracts, their total value shall be over: (i) $2,000 million (if tenders for both contracts were invited on or after 1 March 2021) (ii) $1,750 million (if tenders for both contracts were invited before 1 March 2021) (iii) $1,875 million (if tenders for one of the contracts were invited on or after 1 March 2021 and tenders for the other contract were invited before 1 March 2021) <u>By Confirmation from Group C (Probation)</u> - **Method (1)**: (a) if tenders for the Government contract were invited on or after 1 March 2021, over 150% of Group B limit (b) if tenders for the Government contract were invited before 1 March 2021, over 70% of the applicable prevailing Group C (Probationary) limit - **Method (2)**: (a) if tenders for the non-Government contract were invited on or after 1 March 2021, over 150% of Group B limit (b) if tenders for the non-Government contract were invited on or before 1 March 2021, over 70% of the applicable prevailing Group C (Probationary) limit - **Method (3)**: (a) Government contract - the contract value shall be over the prevailing applicable Group B limit; and (b) Non-Government contract - the contract value shall be: (i) over 150% of the applicable prevailing Group B limit (if tenders for the contract were invited on or after 1 March 2021) (ii) over 70% of the applicable prevailing Group C (Probationary) limit (if tenders for the contract were invited before 1 March 2021)				
2.3 Specific Contract Coverage Requirement	<u>Direct Entry and By Confirmation from Group C (Probation)</u> - The scope of the contract shall comply with the relevant requirements specified in Annex 1 to Appendix 2A	---	<u>Direct Entry and By Confirmation from Group C (Probation)</u> - Experience in (i) construction of concrete carriageway, (ii) laying of pre-cast concrete pipes of various diameters and (iii) construction of highways structures for vehicular use	---	---

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 3: Management – Top Management					
Group A					
3.1 Minimum Number and qualifications	Admission on Probation (Direct Entry) / Confirmation / Retention - 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				
3.2 Continuous Capability Building*	Retention - The named member(s) of the top management is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				
Group B					
3.1 Minimum Number and qualifications	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention - 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				
3.2 Continuous Capability Building*	Retention - The named member(s) of the top management is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				
Group C					
3.1 Minimum Number and qualifications	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention - 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				
3.2 Continuous Capability Building*	Retention - The named member(s) of the top management is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 4: Staff Employment – Technical Staff					
Group A (not applicable for Port Works Category and Site Formation Category)					
4.1 Minimum Number and Qualifications	Admission on Probation (Direct Entry) / Confirmation / Retention At least one person with one or more of the following qualifications: - Higher Certificate in a discipline relevant to the category of works 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 - Ordinary Certificate in a discipline relevant to the category of works 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 - at least ten years local working experience in the relevant category of works				
4.2 Continuous Capability Building*	Retention - The named member(s) of the technical staff is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				
Group B					
4.1 Minimum Number and Qualifications	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention At least one person with one or more of the following qualifications: - Higher Certificate in a discipline relevant to the category of works 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 - Ordinary Certificate in a discipline relevant to the category of works 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; or - at least eleven years local working experience in the relevant category of works				
4.2 Continuous Capability Building*	Retention - The named member(s) of the technical staff is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				
Group C					
4.1 Minimum Number and Qualifications	Admission on Probation (Direct Entry or By Promotion) / Confirmation / Retention At least two person 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				
4.2 Continuous Capability Building*	Retention - The named members of the technical staff are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related events and 1 hour integrity-related events, within the 3-year interval for updating the Contractor Profile as required in paragraph 2.8.2 of Section 2.				

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Criterion 5: Financial Capability (Please also refer to Annex 2 for details)					
Group A, Group B and Group C: Admission on Probation (Direct Entry or by Promotion) / Confirmation / Retention					
5.1 Paid-up Share Capital	<u>Probationary</u> Group A : min. $2.4 million Group B: min. $5.8 million Group C min. $17.4 million		<u>Confirmed</u> min.: $4.8 million min.: $11.9 million min. $22.2 million		
5.2 Employed capital	<u>Probationary</u> Group A : min. $2.4 million ; max: $4.7 million Group B: min. $5.8 million ; max: $12.1 million Group C min. $17.4 million plus specified % of annualized outstanding works (A.O.W.)		<u>Confirmed</u> min.: $4.8 million ; max.: $9.0 million min.: $11.9 million ; max.: $25.1 million min. $22.2 million plus specified % of A.O.W.		
5.3 Working capital	<u>Probationary</u> Group A : higher of $2.4 million or 15% of A.O.W. Group B: higher of $5.8 million or 10% of A.O.W. Group C higher of $17.4 million or 8-10% of A.O.W.		<u>Confirmed</u> higher of $4.8 million or 15% of A.O.W. higher of $11.9 million or 10% of A.O.W. higher of $22.2 million or 8-10% of A.O.W.		
5.4 Profitability Trend Analysis	- Average loss rate ≤ 30%				
Criterion 6: Integrity					
Group A, Group B and Group C					
6.1 Integrity Management Policy	<u>Admission on Probation (Direct Entry or by Promotion) / Confirmation / Retention</u> - Possess an integrity management policy covering at least the contents set out in the Sample Integrity Management Policy at Annex 3				
6.2 Integrity Training*	<u>Retention</u> - See sub-criteria 3.2 and 4.2 above				
Other criteria					
Group A, Group B and Group C: Admission on Probation (Direct Entry or by Promotion) / Confirmation / Retention					
7.1 Place of Business	- Possess or set up in Hong Kong a place of business as defined in Section 2 of the Business Registration Ordinance				
7.2 Statutory Registration	- Registration with the Building Authority's Register of General Building Contractors	---	---	---	---

	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Group B and Group C: Admission on Probation (Direct Entry or by Promotion) / Confirmation / Retention					
7.3 Quality Management	Group B and Group C - Obtain ISO 9001:2015 Certification; or - If the contractor does not have suitable works contracts in hand for certification auditing, a confirmation from a certification body accredited by the Hong Kong Certification Body Accreditation Scheme to issue the certification or considered to be equivalent by 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. Please refer to WBTC No. 13/2001 & ETWB TC(W) No. 13/2001A and subsequent updates.				

Remarks

General

1. The assessment criteria / sub-criteria denoted with asterisk (*) are retention requirements only.
2. The assessment criteria / sub-criteria denoted with hashtag (#) are admission, confirmation or promotion requirements only.
3. Except for those assessment criteria / sub-criteria denoted with asterisk (*) and hashtag (#), the remaining ones are applicable to admission, confirmation, promotion and retention.
4. There are no Group A contractors for the Port Works and Site Formation categories.
5. In general, the contract experience claimed for the purpose of admission/confirmation/promotion to/in a category shall have the same nature of works corresponding to that category being applied for by a contractor. Nevertheless, DEVB/Managing Departments shall have the discretion to decide whether the contract experience so claimed by the contractor is acceptable or not for each case.

Criterion 1: Safety

1.1 Qualified Personnel

Group A and Group B

- The contractor shall employ at least one person who is qualified to be a safety supervisor in accordance with Chapter 3, Appendix III, paragraph 6(4) of the Construction Site Safety Manual.
- The duties of safety supervisor shall include providing assistance to the contractor in promoting the safety and health of its employees. Provided that the duties of the safety supervisor can be properly discharged, the safety supervisor may work on part-time basis or take up other tasks.

Group C

- The contractor shall employ at least one person as a safety manager who shall possess below qualifications :

	Academic qualification	Experience	Professional
Requirements	Degree or equivalent qualification in engineering, construction-related or occupational safety and health discipline	At least five years of construction site safety experience at managerial level after registration as Safety Officer under the Factories and Industrial Undertakings (Safety Officers and Safety Supervisors) Regulations	Registered Safety Auditor under the Factories and Industrial Undertakings (Safety Management) Regulation
Alternative Requirements	---	At least ten years of construction site safety experience at managerial level after registration as Safety Officer under the Factories and Industrial Undertakings (Safety Officers and Safety Supervisors) Regulations	Registered Safety Auditor under the Factories and Industrial Undertakings (Safety Management) Regulation

- The duties of the safety manager shall include providing assistance to the contractor in overseeing the safety and health of its employees and the company's safety performance in construction sites. Provided that the duties of the safety manager can be properly discharged, the safety manager may work on part-time basis or take up other tasks.

- For admission, confirmation, promotion or retention in more than one categories in the List and/or the Specialist List, the contractor is required to employ one qualified safety personnel with requirements appropriate to the highest Group of the List only instead of one for each category.

Remarks

1.2 Performance in compliance with safety legislations#

- The applicant shall not be convicted of 4 or more site safety offences counted by the date of commission and not by the date of conviction, each arising out of separate incidents in any 6-month period in the past 12 months counting from the submission of the application. For example, if an applicant submitted its application on 1 January 2021, the applicant shall not be convicted of 4 or more site safety offences in each of the rolling 6-month period below:

Rolling 6-month Period	1 Jan 20 to 30 Jun 20	1 Feb 20 to 31 Jul 20	1 Mar 20 to 31 Aug 20	1 Apr 20 to 30 Sep 20	1 May 20 to 31 Oct 20	1 Jun 20 to 30 Nov 20	1 Jul 20 to 31 Dec 20

- A site safety offence means a conviction for any offence set out in the ordinances and their subsidiary legislations stipulated in paragraph 8(h) of DEVB TC (W) No. 5/2023 or subsequent updates. For applicants who do not have site experience in the HKSAR, a site safety offence means a conviction for any offence set out in the relevant occupational health and safety acts, regulations and their subsidiary legislations in its place of incorporation or place of major business. The applicants shall provide details of such site safety offence to DEVB and Managing Department(s) for assessment.

- The applicant shall declare his compliance with this assessment sub-criteria in the application form, and shall provide supporting documents upon request. In the event that an applicant's number of convictions exceeds the above limit, the applicant shall be regarded as having satisfied this requirement if the applicant already holds a certificate of compliance with ISO 45001 (or equivalent) and has completed a safety audit by external safety auditor recognised by DEVB to demonstrate its capability to deliver a relevant contract with satisfactory safety performance after the last conviction and within one year from its application.

Remarks

Criterion 2: Company Experience#

2.1 For the purpose of application for admission/confirmation/promotion to/in a category, a contractor can make use of his experience gained from Government, non-Government and/or non-local contract(s) as detailed in this Appendix. Unless otherwise specified, "contract" shall mean Government, non-Government or non-local contract in this Appendix.

2.2 In this Appendix:

(i) "**Government contract**" means works contract where the Employer is the "**HKSAR Government**" and includes "deemed Government contract", which typically covers public housing contracts and "Schedule I hospital project" contracts as well as other contracts that satisfy the conditions as stated in point (iv) below.

(ii) "**non-Government contract**" means works contract executed in HKSAR other than "**Government contract**".

(iii) "**non-local contract**" means works contract executed outside HKSAR.

(iv) For the purpose of assessing contract experience requirements for admission, confirmation and promotion, the Managing Department may, but is not bound to, deem a non-Government contract as a Government contract if the following conditions are satisfied:

(a) the majority of its works (i.e. more than 50% of work value) under that non-Government contract are construction works entrusted by the Government;

(b) the provisions in that non-Government contract follow the requirements and standards of works in relevant category of the Government works contracts;

(c) the procurement and contract administration of the party to whom the Government construction works are entrusted follows the standard procedures of Government works contracts; and

(d) the contractor could provide evidence to the satisfaction of the Managing Department demonstrating that conditions (a) to (c) above are met. To facilitate assessment, the Managing Department may seek confirmation on the authenticity of the proof provided by the contractor and/or seek further references from relevant parties, including the bureau/department which has entrusted the works to the non-Government client.

2.3 The applicable limits for assessing the minimum contract value requirement in this Appendix are as follows:

Tender invitation date of the relevant contract	Group A	Group B	Group C (Probationary)
On or after 1 March 2021	$150 million	$400 million	$1,500 million
Before 1 March 2021 but on or after 15 February 2017	$100 million	$300 million	$700 million
before 15 February 2017	$75 million	$185 million	$400 million

2.4 A contractor may apply for direct entry to confirmed status for Groups A, B and C if it can demonstrate that it has satisfactorily completed the relevant contracts as specified in paragraph 2.3.1 of Section 2 and this Appendix.

2.5 For direct entry to Group A (Probation) or Group B (Probation), 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 contractor applicant and the main contractor). The sub-contract works shall have the same nature as the works under the category the contractor applicant is applying for. For the avoidance of doubt, the experience claimed from one sub-contract, if accepted by the Managing Department, can only be counted once for any application(s) made by the contractor applicant under this Appendix. The contractor applicant shall provide sufficient evidence to support his experience claimed from the completed sub-contracts concerned.

Remarks

2.6 Despite anything to the contrary in this Appendix, the following rules shall apply to applications under the "**Waterworks"** category:

(a) For (i) the confirmation route from probationary to confirmed status for Group A or Group B and (ii) the promotion route from Group A (Confirmed) to Group B (Probation), the value of waterworks in a contract which is not a waterworks contract in nature may be counted, provided that the contractor carried out the waterworks himself and was the main contractor for that contract.

(b) For direct entry to Group A (Probation) or Group B (Probation), a contractor's waterworks experience as a second-tier sub-contractor in a Government or non-Government main contract which is not a waterworks contract in nature may be counted, provided that (i) the scope of works of the main contract includes waterworks entrusted by the Water Supplies Department of the HKSAR to another department or quasi-Government / non-Government organisation who is the employer / client of the main contract, and (ii) such waterworks were required to be carried out by the main contractor or first-tier subcontractor listed under the "Waterworks" category.

2.7 For contracts undertaken by the contractor applicant as a participant or shareholder of a joint venture, only the part of the works undertaken by the contractor applicant under the contract shall be assessed and the calculation shall be based on his share of the works by percentage participation. The part of the works completed or executed by the contractor applicant shall be relevant to the works under the Category he is applying for. He shall provide sufficient evidence to support the experience claimed from his completed or executed part of the works, as appropriate, in the joint venture contracts. For application under the direct entry to confirmed status route for any groups / categories, only contract(s), in which the contractor applicant's percentage participation in the joint venture is 30% or more, will be counted.

2.8 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).

2.9 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 or DEVB to demonstrate compliance with this Appendix. The Managing Department or DEVB may seek further information from relevant authorities/clients/consultants/authorized persons/architects/engineers or other relevant person/parties to ensure that the contract complies with this Appendix. The contractor, by submitting his application for admission/promotion/confirmation, hereby consents to the above-mentioned parties from releasing any relevant information for the purpose of assisting the Managing Department or DEVB in assessing whether the contractor's application is in compliance with this Appendix.

2.10 For the purpose of assessing the minimum contract value,

(a) for completed contracts - the value of the completed contract as certified or estimated by the Architect/Engineer/Project Manager.
(b) for contract that has not been completed - the value of the completed works under the contract as certified or estimated by the Architect/Engineer/Project Manager.

2.11 For the purpose of Method 2, viz. the confirmation route for each category, the contract based on which the relevant experience is claimed will only be assessed provided that it is a main contract and is comparable to Government contract in terms of management and site practices, including among others safety and environmental performance.

2.12 If a contractor applicant uses experience claimed from non-local contract(s) to apply for direct entry to Group C (Confirmed), he is required to submit an "Information Form on Contractor's Non-local Contract Experience", which can be obtained from DEVB's website (https://www.devb.gov.hk/en/construction_sector_matters/contractors/index.html).

Remarks

2.13 The non-local contract(s) mentioned in 2.12 above shall be on par with the standard of Government contracts in terms of legal framework governing the construction works, contract management system and works supervision system, as substantiated with proof by the contractor applicant in his application. Moreover, the experience claimed from the non-local contract(s) concerned shall be authenticated by the Government, consul or trade commissioner of the region/country where the non-local contract(s) was/were carried out, or by other appropriate authority accepted by DEVB.

2.14 For the purpose of "Direct Entry" to any group, "within the past "x" year" means the period of "x" year counting back from but exclusive of, the date of submission of the relevant application form.

2.15 For the purpose of the "Confirmation" or "Promotion" route, "within the past "x" year" means:

(a) For Government contract – (i) the period counting back from but exclusive of, the date of submission of the relevant application form if the contractor has been on the immediately lower group/status for "x" years or above or (ii) the period the contractor has been on the immediately lower group/status for all other cases. For the avoidance of doubt, the period under limb (ii) may be less than "x" years.
(b) For non-Government contract – the period counting back from but exclusive of, the date of submission of the relevant application form.

2.16 If foreign currencies are involved in assessing the value of contracts completed/satisfactorily executed, the exchange rate for conversion to Hong Kong currency shall be the average between the buy and sell TT rates based on the historical data from the website of the Hong Kong Association of Banks (HKAB) on the date of application. For contracts using ex-European currencies, such ex-European currencies shall be converted to the Euro Currency using the exchange rate on 1 January 1999, before conversion to Hong Kong currency. If the exchange rate for a particular currency is not available from the website of HKAB on the date of application, the Managing Department should determine the exchange rate as appropriate based on the exchange rate from the monetary authority of that currency.

Criterion 3: Management and Criterion 4: Staff Employment

3.1 The contractor shall employ in Hong Kong, the minimum number of full time management and technical personnel with relevant experience in engineering and project management as specified in sub-criteria 3.1 and 4.1 at the time of admission and while he is on the List shall keep DEVB 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.

3.2 Top management shall be the President, Chairman, Director, Managing Director, Executive Director, or General Manager etc.

3.3 The top management and the technical staff appointed by a contractor must be two individual persons.

Remarks

3.4 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.

3.5 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.

3.6 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.

3.7 For the avoidance of doubt, a person already appointed by a contractor on the Approved List or a supplier/specialist on the Specialist List as its full-time Top Management/Technical Staff should NOT be appointed simultaneously as Top Management/Technical Staff of another contractor/supplier/specialist on the Approved List or the Specialist List.

3.8 For requirements set out in sub-criteria 3.2, 4.2 and 6.2 in this Appendix, capability building events may be in the form of conferences, seminars, workshops, forums, training courses, etc. The contractor shall declare its compliance with these sub-criteria during renewal and submit documentary proof if requested.

Other Criteria

4.1 Contractors shall possess or set up in Hong Kong a place of business as defined in Section 2 of the Business Registration Ordinance (Cap. 310).

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

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

Table A

Group	Application	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 in terms of % of min. contract value (excluding Prelim. and piling) Involve new construction of Reinforced Concrete or Structure Steelworks	**Building Services Works Involved** 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≥700m^2 in one construction site	5 out of 8	20%	20%
	By Confirmation from Probation	At least 2 storeys or CFA≥700m^2 in one construction site	5 out of 8	20%	20%
Group B	**By Promotion**	At least 2 storeys or CFA≥1100m^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≥2600m^2 in one construction site	7 out of 8	15%	15%
Group C	**By Promotion**	At least 3 storeys and CFA≥2800m^2 in one construction site	All 8	15%	15%
	Direct Entry to Probation	At least 3 storeys and total CFA ≥21000m^2 in max. two construction site	All 8	total 12%	total 12%
	By Confirmation from Probation	At least 3 storeys and CFA≥10500m^2 in one construction site	All 8	12%	12%

Remarks:

1. 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.

ANNEX 2 Financial Criteria for Administration of the List and Requirements for Acceptance of a Tender

Introduction

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

(i) submit the original or a certified true copy of their latest audited financial statements and in case the contractor is a Group C contractor on the List, 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 DEVB

to enable DEVB to ascertain that the applicable financial criteria and requirements are met.

2. In accordance with the Rules for Administration of the List in Section 2 of the Handbook, a contractor applying for admission, confirmation or promotion must meet and maintain the financial criteria applicable to his appropriate group and status. For retention on the List, a contractor is also required to meet such financial criteria.

3. The financial information required to be submitted by the contractors for financial assessment is set out in **Notes to Annex 2 to Appendix 2A & Appendix 3B**.

Financial Criteria for Administration of the List

4. A contractor is required to maintain minimum levels of paid-up share capital, employed capital and working capital applicable to the appropriate group and status. The minimum levels of paid-up share capital, employed capital and working capital will be periodically adjusted and are currently set as follows:

		Minimum Paid-up Share Capital (Note 3) HK$	Minimum Employed Capital HK$	Minimum Working Capital HK$
(i)	For Group A			
	(a) Probationary	$2.4 million (M)	$2.4M plus $1.2M for every $20M of annualized outstanding works or part thereof above $50M, subject to a maximum of $4.7M	$2.4M or 15% on annualized outstanding works, whichever is higher

		Minimum Paid-up Share Capital (Note 3) HK$	Minimum Employed Capital HK$	Minimum Working Capital HK$
(i)	For Group A (Cont'd)			
	(b) Confirmed	$4.8M	$4.8M plus $2.1M for every $40M of annualized outstanding works or part thereof above $100M, subject to a maximum of $9.0M	$4.8M or 15% on annualized outstanding works, whichever is higher
(ii)	For Group B			
	(a) Probationary	$5.8M	$5.8M plus $2.1M for every $40M of annualized outstanding works or part thereof above $120M, subject to a maximum of $12.1M	$5.8M or 10% on annualized outstanding works, whichever is higher
	(b) Confirmed	$11.9M	$11.9M plus $4.4M for every $80M of annualized outstanding works or part thereof above $250M, subject to a maximum of $25.1M	$11.9M or 10% on annualized outstanding works, whichever is higher
(iii)	For Group C			
	(a) Probationary	$17.4M	$17.4M plus $2M for every $100M of annualized outstanding works or part thereof above $1,120 M	$17.4M or 8% on the first $1,120M of annualized outstanding works and 10% on remainder, whichever is higher
	(b) Confirmed	$22.2M	$22.2M plus $2M for every $100M of annualized outstanding works or part thereof above $1,120 M	$22.2M or 8% on the first $1,120M of annualized outstanding works and 10% on remainder, whichever is higher

Note : (1) The above revised financial criteria shall take effect on **1 March 2021**. 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 financial statements with accounting periods ending on or after **1 March 2022** 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 **1 March 2021**. Applications made prior to **1 March 2021** 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 **1 March 2021**.

(3) The paid-up share capital requirement is not applicable in case of partnership and sole proprietorship.

5. Where a contractor is listed in more than one works category, he must maintain the minimum levels of share capital, employed capital and working capital applicable to his highest group and status.

6. The annualized outstanding works 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.

7. Public works contracts include all construction-related contracts and works-related maintenance contracts where Government of HKSAR is the employer.

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

(i) increase in share capital/partners' funds/proprietor's funds to be paid up in cash; or

(ii) drawdown 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 or similar facility can be a method to rectify the shortfall in working capital only for shortfall relating to outstanding workload. Notwithstanding the above, other rectification methods may be accepted subject to the satisfaction of DEVB.

9. If a contractor reported loss in the latest audited financial statements, he shall be subject to an assessment on Profitability Trend Analysis, which is an analysis of the financial performance of a contractor with reference to his profit or loss over the past three consecutive years. In this regard, the average loss rate of the contractor shall not be greater than 30%.

10. The average profit/loss rate is defined as the weighted average of the net profit/loss as a percentage of the opening balance of the shareholders' funds or net worth over the past three years with weights of 3:2:1 (higher weight to be assigned to the more recent year). The net profit/loss and the opening balance of the shareholders' funds or net worth will be extracted from the audited financial statements. 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.

11. For a newly formed company with only two years' operations, the average profit/loss rate is defined as the weighted average of the net profit/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 (higher weight to be assigned to the more recent year).

12. For a newly formed company with only one or less than 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.

13. Contractors are required to provide additional financial information as and when required to enable DEVB to carry out ad hoc financial assessment.

14. DEVB will take into account the financial information submitted by the contractor and any other relevant information available to DEVB to form an opinion on his financial capability. In the event that special circumstances of a contractor arise which cast doubts on his financial capability, DEVB reserves the rights to determine that the contractor fails to satisfy the financial requirements.

Financial Requirements for Acceptance of a Tender

15. In order to be recommended for the award of a contract of whatever value in any category of work, a contractor's share capital, employed capital and working capital, as assessed from the accounts, should amount to at least the levels required for administration of the List. In this regard, the employed capital and working capital requirements would be based on the latest statement of outstanding workload and would take into account the annual value of the tender. The financial information required to be submitted in the tendering exercise by the contractors is set out in **Notes to Annex 2 to Appendix 2A & Appendix 3B**.

16. In the case of a joint venture, each participant (irrespective whether on the List, the Specialist List or not) shall be assessed on his own financial capability in taking up his share of the tender. In order to be recommended for the award of a contract, all participants must meet the required capital levels. However, if any of the participants cannot meet the required capital level(s) for undertaking his share but the other participant(s) of the joint venture has met the financial criteria for undertaking such share(s) and agrees to undertake such share(s) by signing an undertaking in the form prescribed by DEVB, the joint venture may still be regarded as satisfying the financial requirements collectively.

17. If a contractor is subject to the assessment on the Profitability Trend Analysis and his average loss rate is greater than 30% (or his revised loss rate taking into account subsequent capital injection is still greater than 30%, if applicable), he will not be recommended for award of contracts in his prevailing group. In the case of a joint venture, if any participant is subject to the assessment on the Profitability Trend Analysis and his average loss rate is greater than 30% (or his revised loss rate taking into account subsequent capital injection is still greater than 30%, if applicable), the joint venture will not be recommended for award of contracts.

18. Rectification in shortfall for share capital, employed capital and working capital for tendering purpose follows the same methods adopted for the purpose of administration of the List.

19. A contractor must satisfy DEVB that he is financially capable in undertaking the contract. In this regard, DEVB will take into account the financial information submitted by the contractor and any other relevant information available to DEVB to form an opinion on his financial capability. In the event

that special circumstances of a contractor arise which cast doubts on his financial capability, DEVB reserves the rights to determine that the contractor fails to satisfy the financial requirements.

Certified Statements of Outstanding Workload

20. Each contractor submitting audited financial statements 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 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).

NOTES TO ANNEX 2 TO APPENDIX 2A AND APPENDIX 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 DEVB before:

(a) the original or copies of annual financial statements for the last three accounting years audited and certified by certified public accountants;

(b) management accounts covering the period between the latest audited financial statements up to a date not earlier than three months before the date of submission;

(c) a statement of gains/(losses) arising from fair value adjustments for the latest audited financial statements;

(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 company's financial position;

(e) a statement giving details of subsequent settlement of current assets after the year end date of the latest audited financial statements;

(f) a statement giving details of any off-balance sheet liabilities, including contingent liabilities, if not covered in the latest audited financial statements;

(g) 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;

(h) bank letters or agreements on existing banking facilities such as term loans and overdraft; and

(i) any other additional financial information if considered necessary.

Copies of audited financial statements submitted under paragraph (a) shall be certified true by the directors of the company and all documents under paragraphs (b) to (i) above shall be certified true and correct by independent auditors or directors of the company. The sample statement format for paragraphs (c), (d), (e) and (g) above can be downloaded from the website of DEVB.

(2) All statements submitted should be prepared in English or Chinese.

(3) The financial statements and the management accounts shall reflect the financial position of the company only (i.e. the accounts must not be consolidated accounts).

(4) Audited financial statements include auditor's report, statement of financial position, statement of comprehensive income, statement of changes in equity and statement of cash flows, and notes comprising significant accounting policies and other explanatory information.

(5) The latest audited financial statements must be for a period ending no more than 18 months before the submission date.

(6) For the latest audited financial statements, if the auditor has issued a disclaimer or adverse audit opinion in the auditor's report, the company shall be deemed as failing to submit the required financial statements.

(7) The management accounts include at a minimum statement of financial position (or balance sheet)

and statement of comprehensive income (or profit and loss accounts) and must be in the same layout of the audited financial statements.

(8) In the case of a joint venture, financial and supplementary statements as mentioned under paragraph (1) above for each participant must be submitted.

IMPORTANT

Contractors are reminded that willfully and knowingly making a false statement, misrepresentation or concealment of any information in their submissions may lead to regulating actions by DEVB and may be considered as a criminal offence liable to prosecution by relevant authority.

ANNEX 3 Sample Integrity Management Policy

Points to Note:

(a) Contractors on the List and Specialist List shall maintain an integrity management policy ("the Policy") to state a construction company's commitment to integrity and anti-corruption practices, as well as their policy in respect of key integrity issues (including solicitation, acceptance and offer of advantages, managing conflict of interest, etc.). The Policy shall be endorsed and signed by the top management of a contractor.

(b) The sample Policy provided at this annex is for reference. The elements in the sample shall form the basis for contractors to devise their company rules / guidelines on integrity such as by way of issuing a Code of Conduct. While it may not be necessary for a contractor to use the exact wording in the sample, the standard and requirements adopted by the contractor shall be on par with, or not inferior to that of the sample.

(c) A contractor shall ensure that the Policy is made known to all their company personnel, as well as business counterparts (e.g. clients, main contractors, subcontractors, suppliers and consultants, etc.) by various means such as by publicising the Policy on the company's website, issuing letters, or incorporating the requirements in the employment contracts, consultancy agreements or construction / supplier contracts. A contractor shall render full assistance to law enforcement agencies in the investigation of criminal offences.

Sample Integrity Management Policy

(name of Contractor) ("Company") prohibits all forms of bribery and corruption and is committed to integrity, honesty and anti-corruption practices in doing business. All sole proprietor / partners / directors* and staff (hereafter referred as "personnel") must abide by this integrity policy and the associated company rules / guidelines / code of conduct*.

- Our Company and all personnel have to observe the Prevention of Bribery Ordinance (Cap. 201) and Competition Ordinance (Cap. 619) and other integrity-related laws in Hong Kong Special Administrative Region.
- Our Company does not allow our personnel to solicit or accept any advantages[1] from any individuals or organizations having business dealings with our Company unless permission is granted for the acceptance, and such permission shall be in line with anti-corruption and integrity principles.
- Our Company prohibits all personnel from offering advantages to any staff or member of a government department or public body while having dealings of any kind with them. We also prohibit all personnel from offering advantages to any individual of organizations, whether directly or indirectly, for influencing them in any dealing, when conducting business with our Company.
- Our Company's personnel are required to avoid accepting lavish or frequent entertainment from others having business dealings with our Company.
- Our Company requires all personnel to avoid any conflict of interest situation, or the perception of such. If unavoidable, the personnel concerned should make a declaration to the approving authority who should decide on actions for mitigating the conflict.
- Our Company prohibits all personnel from disclosing any classified information without authorization, and misusing any information of our Company or clients.
- Our Company has an internal reporting mechanism for our personnel to enquire matters relating to integrity and report possible breaches of integrity requirements. Our Company handles these reports promptly, prudently and in strict confidence.
- Our Company strictly forbids retaliation against any personnel who, in good faith, reports possible breaches of integrity requirements or who participates in the inquiry / investigation of the allegation.
- Any personnel in breach of integrity requirements will be subject to internal disciplinary action, including termination of appointment and / or referral to relevant law enforcement agencies. Our Company will render full assistance to law enforcement agencies in the investigation of criminal offences.
- Our Company is committed to partner with ethical business counterparts / entities / organisations who share the same value and commit to the same integrity standard.

(Company Chop)

Signature(s): _____

Name of Signatory: _____

Post Title of Signatory: _____

[1] Advantage is defined under the Prevention of Bribery Ordinance (Cap. 201) covering any gift, loan, fee, reward, commission, office, employment contract, discharge from obligation/liability/loan, service and favour, exercise or forbearance from exercise of right/power/duty, etc.

* delete as appropriate

Sample Integrity Management Policy
(Chinese Version)
誠信管理政策範本

_____(*承建商名稱*)_____ (公司) 禁止一切形式的賄賂及貪污行為，秉持廉潔守正、誠實正直的精神經營業務，嚴禁貪污。所有獨資經營者／合伙人／董事*及員工(下稱「人員」)必須遵守本誠信政策及相關的公司規則／指引／行為守則*。

- 本公司及公司所有人員必須遵守《防止賄賂條例》(第 201 章)及《競爭條例》(第 619 章)，及香港特別行政區其他與誠信相關的法例。
- 本公司不容許人員向與本公司有業務往來的人士或機構索取利益 [1] 或接受由該等人士或機構提供的利益。假如事先獲得批准接受有關利益，則作別論，而此類批准應符合反貪污及誠信原則。
- 本公司禁止所有人員在與政府部門或公共機構進行任何事務往來時，向其職員或成員提供利益，以及禁止所有人員向任何機構的成員提供利益(不論是直接或經第三者間接進行)，意圖影響他們與本公司進行業務往來時的決定。
- 本公司屬下人員必須避免接受與本公司有業務往來的單位所提供的奢華或頻密款待。
- 本公司要求所有人員避免陷入利益衝突的情況，或被視為有利益衝突的情況。假如無法避免，有關人員須向審批人員申報，由其決定應採取什麼行動緩解情況。
- 本公司禁止所有人員在未經授權下披露任何機密資料，或不當使用公司或客戶資料。
- 本公司設有內部通報機制，供人員查詢有關誠信的事宜，並舉報可能違反誠信規定的個案。本公司接獲舉報後會從速及謹慎地處理，而且絕對保密。
- 本公司嚴禁向真誠地舉報可能違反誠信規定個案的人員，或參與有關指控的研訊／調查人員報復。
- 任何違反誠信規定的人員將面對內部紀律處分，包括終止聘用及／或轉交相關執法機關處理。本公司會於刑事犯罪調查時向執法機關提供全面協助。
- 本公司致力與價值觀相同、秉持同等誠信標準和重視商業道德的伙伴/ 企業 / 機構合作。

(公司蓋章)

簽署: _____

簽署人員姓名: _____

簽署人員職銜: _____

[1] 根據《防止賄賂條例》(第 201 章)，利益的定義涵蓋任何饋贈、貸款、費用、報酬、佣金、職位、僱傭合約；解除義務／法律責任／貸款；服務及優待；行使或不行使權利／權力／職責等。

* 刪去不適用的部分。

APPENDIX 2B 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 related issues.

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 IMS. 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 IMS.

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 IMS, 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 IMS audits, in order to:

6.1.1 Determine whether or not the IMS is implemented and maintained properly, and is effective in meeting the requirements for the IMS.

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[1] 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

1.1.1 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 of Appendix 2B.)

1.2 Solicitation & Acceptance of Advantage

It is the Company's policy that unless special permission from the approving authority is given, directors and staff (hereafter referred as "personnel" should not solicit or accept any advantage for themselves or others, from any person, company or organization having business dealings with the Company; or from their subordinates; or when the advantage will lead to a conflict of interest of the personnel in discharging his/her official duties. However, they may accept (but not solicit) the following advantages when offered by these offerors on a voluntary basis:

(a) Gifts or souvenirs of nominal value for advertising or promotional purpose, or given on festive or special occasions, subject to a maximum limit[2] of $_____ in value; or

(b) discounts or other special offers given to them as customers, on terms and conditions equally applicable to other customers in general; or

1.2.1 Gifts or souvenirs presented to personnel in official functions, by others having business dealings with the Company, are deemed as offers to the Company which retention requires special permission given by the approving authority.

1.2.2 A special permission mentioned paragraph 1.2.1 and 1.2.2 must be obtained using Form A (at Annex 2 of Appendix 2B) within 14 days upon the acceptance of gifts or souvenir or other advantages, beyond which such permission is deemed as invalid.

1.2.3 However, all personnel 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.

1.2.4 If the personnel are required to act on behalf of a client when conducting the Company's business,

[1] For sole proprietor and partnership, please amend accordingly.
[2] As a general guide, the recommended maximum limit is HK$ $250

they should also comply with any additional restrictions on acceptance of advantage that may be required by the client. For example, contractors' employees, agents and subcontractors conducting business in connection with public works contracts are prohibited from acceptance of advantages in the work context.

1.3 Offer of Advantage

1.3.1 All personnel 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

1.4.1 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, all personnel 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.

1.4.2 All personnel are also not allowed to offer frequent or excessive entertainment to government officers.

1.5 Records, Accounts and other Documents

1.5.1 All personnel 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

2.1 All personnel 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

3.1 All personnel 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. Private interest covers both pecuniary and non-pecuniary interest. 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 personnel should make a declaration to the approving authority using Form B (Annex 3 of Appendix 2B).

3.2 Some common examples[3] of conflict of interest are described below but they are by no means exhaustive:

(a) Personnel 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) Personnel involved in supervising the works of a subcontractor is the director of the subcontractor under his supervision.

(c) 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 personnel involved in the process.

(d) A director of the Company has financial interest in a company whose quotation or tender is under consideration by the Board of directors.

(e) 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

4.1 Personnel 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

5.1 All personnel 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 take security measures to 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

6.1 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.

[3] To assist the personnel in judging whether or not a conflict of interest exists, contractors are encouraged to provide examples of conflict of interest which are very likely to happen in their daily operation. The examples listed here are for reference by contractors, the contractor is required to add, delete or modify the examples to suit the operational needs.

7.0 Relationship with Suppliers, Contractors and Customers

7.1 Gambling

7.1.1 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

7.2.1 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.

8.0 Reporting Mechanism

8.1 Any enquiries about the Company's integrity policy / requirements, and any reports of possible breaches of that or other company policies/rules should be made to _____ _____ (please specify the name & post). All these reports shall be handled promptly in strict confidence.

8.2 In cases of suspected corruption or other criminal offences, a report should be made to the ICAC or the appropriate law enforcement agency / authority promptly.

8.3 It is the Company's policy that retaliation against any personnel who, in good faith, makes the above reports or who participates in the inquiry / investigation of the allegation is strictly forbidden.

9.0 Compliance

9.1 It is the responsibility of all personnel to understand and comply with these integrity requirements. Supervisors should ensure that their subordinates understand and comply with this. Any personnel in breach of these requirements will be subject to internal disciplinary action as appropriate, including termination of appointment.

[The Company may wish to include other guidelines on the conduct required of personnel 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 conjunction 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 the top management to demonstrate their determination. A sample is provided at **Annex 3 of Appendix 2A**.

(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 contacts 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 those ICAC Practical Guides/Pamphlets which can be downloaded from the ICAC's website:

http://www.hkbedc.icac.hk/english/publications/practical_guides.php

(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
    - Background information
    - Objectives
    - Assumptions and limitations

- Assessment Methodology
    - Assessment approach
    - Assessment checklist
- Assessment Process
    - 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

Application for Permission to Accept Gifts, Souvenirs and other Advantages

Part A – To be completed by Receiving Staff^

To : (Approving Authority)[1] via (supervisor of the Requesting Staff)

I wish to apply for permission to accept the following gifts / souvenirs / advantage that are offered to me on _____ (date of acceptance).

(Please specify the gifts/souvenirs/other Advantages and the estimated value(s))

_____

_____

Description of Offeror *:*

Name & Title of Offeror : _____

Company : _____

Relationship : _____

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

_____ _____

(Date) (Name of Requesting Staff)
(Title / Department)

^ All application must be made within 14 days upon acceptance.

Part B – To be completed by Approving Authority

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

Please be informed that your application is: *(Please tick as appropriate)*

□ **approved** Justification : _____

□ **Not approved**, and you should take the follow-up action as below

Follow-up Action	**Remark**
( ) 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 Approving Authority)
(Title)

[1] The contractor is required to set a schedule of approving authority commensurate to the requesting staff, e.g. Department Head, Division Head.

Declaration and Management of Conflict of Interest

Form B

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

To : (Approving Authority) [1] via (supervisor of the Declaring Staff)

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

Persons/companies with whom/which I have official dealings and/or private interest
My relationship with the persons/organisation(s) (e.g. relative)
My contact with the person(s)/organisation(s) *(Please state the frequency of contact and the usual occasions of contact, etc.)*
Relationship of the person(s)/organisation(s) with our Company **(e.g. supplier, subcontractor, consultant)**
Brief description of my duties which involved the person(s)/organisation(s) (e.g. handling of tender exercise)
File reference, if any, of the mentioned duties

(Date)

(Name of Declaring Staff)
(Title / Department)

* *Delete as appropriate.*

[1] The contractor is required to set out a schedule of approving authority commensurate to the requesting staff, e.g. Department Head, Division Head.

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

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

Part B(i) – In respect of the declaration in Part A of this form, it has been decided that:

(Please tick as appropriate)

□ The declaration as described in Part A is noted. You are allowed to continue handling the work as described in Part A, provided that there is no change in the information declared above.

□ You may continue to handle the work as described in Part A, but an independent officer would be recruited / appointed* to participate in, oversee or review part or all of the decision making process (e.g. task another officer with the required expertise to provide objective assessment on the matter).
Details: _____

□ You are relieved of your duty as described in Part A entirely or partially* (e.g. prohibit from handling the specific part/duty that you have conflict, withdraw from discussion / meeting / decision-making on a specific issue/cause, restrict from accessing to the relevant information, redeploy to handle other tasks while the duty described in Part A will be taken up by another staff)
Details: _____

□ Others (please specify) : _____
_____
_____

Part B(ii) – The justification(s) for the measure(s) as described in Part B(i) above is/are:

(Factors of consideration including the materiality of the conflict, link between the conflict and the matter in question, and any possible negative public perception over the conflict/incident.)

_____

_____

In all cases, please be reminded that you should not disclose any privileged information of the subject matter to the person(s)/organisation(s) concerned and should further report if there are changes in circumstances necessitating reporting. If you are allowed to continue to perform the duty, you are reminded to exercise your duty in a fair and impartial manner.

_____ _____
(Date) (Name of Approving Authority)
(Title)

Part C – **Keeping of Records** *(To be completed by the Declaring Staff)*

To : (Designated Staff for keeping the completed form) via (Approving Authority)

I noted the decision in Part B. The completed form is for your retention please.

_____ _____
(Date) (Name of Declaring Staff)
(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 $9.2 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 for Highway Structures		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 $4.6 million Group II – Contracts/Sub-contracts up to $11.4 million Group III – Contracts/Sub-contracts of unlimited value		X	Arch SD
10	Electronic Timing and Display Installation		X	Arch SD
11	Fabrication of Unfired Pressure Vessels		X	WSD

	Categories	Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
12	Fire Service Installation Group I – Contracts/Sub-contracts up to $4.6 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
13	Fountain Installation		X	Arch SD
14	Ground Investigation Field Work Group I – Contracts/Sub-contracts up to $3.7 million Group II – Contracts/Sub-contracts of unlimited value		X	CEDD
15	Industrial Type Electrical Installation		X	Arch SD
16	Land Piling Group I – Contracts/Sub-contracts up to $5.5 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
17	Land, Engineering and Hydrographic Survey Services		X	Lands D
18	Landscaping Class I - General Landscape Work Class II - Hydroseeding Group I – Contracts/Sub-contracts up to $3.8 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
19	Landslip Preventive/Remedial Works to Slopes/Retaining Walls		X	CEDD
20	Lift, Escalator and Passenger Conveyor Installation		X	Arch SD
21	Liquefied Petroleum Gas Installation		X	Arch SD
22	Low Voltage Cubicle Switchboard Installation		X	Arch SD

Categories		Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
23	Mechanical Handling and Lifting Installation		X	Arch SD
24	Mechanical Plant and Equipment Installation Group I – Contracts/Sub-contracts up to $1.8 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
25	Plumbing Installation Group I – Contracts/Sub-contracts up to $4.6 million Group II – Contracts/Sub-contracts of unlimited value		X	Arch SD
26	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
27	Radio Electronics Installation		X	Arch SD
28	Repair and Restoration of Historic Buildings		X	Arch SD
29	Road Marking		X	Hy D
30	Soil and Rock Testing		X	CEDD
31	Specialized Operations for Highway Structures Class I – Not used 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

	Categories	Suppliers of Materials	Specialist Contractors	Managing Departments (Note)
32	Steam and Compressed Air Installation		X	Arch SD
33	Structural Steelwork		X	Hy D
34	Supply and Installation of Bearings for Highway Structures Class I – Mechanical Bearings Class II – Elastomeric Bearings		X	Hy D
35	Supply and Installation of Expansion Joints for Highway Structures		X	Hy D
36	Supply and Installation of Pumpsets and Associated Pipework		X	WSD
37	Supply and Installation of Water Treatment Plant		X	WSD
38	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing	X	X	Hy D
39	Survey of Lifting Appliances and Lifting Gear		X	Arch SD
40	Swimming Pool Water Treatment Installation		X	Arch SD
41	Transparent Panels for Noise Barriers on Highways	X		Hy D
42	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
43	Uninterruptible Power Supply Installation		X	Arch SD
44	Video Electronics Installation		X	Arch SD

Note:

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

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

Introduction

1. The financial criteria for administration of 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 DEVB. Contractors are required to:

(i) submit the original or a certified true copy of their latest audited financial statements and in case the contractor is also a Group C contractor on the List, the latest half-yearly management accounts;

(ii) submit certified statements of outstanding workload;

(iii) provide supplementary information; and

(iv) answer all reasonable enquiries from DEVB

to enable DEVB to ascertain that the applicable financial criteria and requirements are met.

2. In accordance with the Rules for Administration of the Specialist List in Section 3 of the Handbook, a contractor applying for admission, confirmation or promotion must meet and maintain the financial criteria applicable to his appropriate category and group. For retention on the List, a contractor is also required to meet such financial criteria.

3. The financial information required to be submitted by the contractors for financial assessment is set out in **Notes to Annex 2 to Appendix 2A & Appendix 3B**.

Financial Criteria for Administration of the Specialist List

4. A contractor should generally possess at least a positive capital value. In addition, a contractor is required to maintain minimum levels of paid-up share capital, employed capital and working capital applicable to the appropriate category and group. The minimum levels of paid-up share capital, employed capital and working capital will be periodically adjusted and are currently set as follows:

	Category	Group	Minimum Capital (Note (3)) HK$
(i)	Air-conditioning Installation	I	920,000
		II	5,500,000
(ii)	Electrical and Mechanical Installation for Sewage Treatment and Screening Plant	-	5,500,000

	Category	Group	Minimum Capital (Note (3)) HK$
(iii)	Electrical Installation	I	920,000
		II	920,000
		III	5,500,000
(iv)	Ground Investigation Field Work	I	920,000
		II	5,500,000
(v)	Land Piling	I	920,000
		II	13,900,000
(vi)	Landslip Preventive/Remedial Works to Slopes/Retaining Walls	-	13,900,000
(vii)	Prestressed Concrete Works for Highway Structures	-	1,800,000
(viii)	Road Marking	-	1,800,000
(ix)	Specialized Operations for Highway Structures	-	1,800,000
(x)	Structural Steelwork	-	1,800,000
(xi)	Supply and Installation of Bearings for Highway Structures	-	1,800,000
(xii)	Supply and Installation of Expansion Joints for Highway Structures	-	1,800,000
(xiii)	Supply and Installation of Pumpsets and Associated Pipework	-	5,500,000
(xiv)	Supply and Installation of Water Treatment Plant	-	5,500,000
(xv)	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing	-	5,500,000

	Category	Group	Minimum Capital (Note (3)) HK$
(xvi)	Swimming Pool Water Treatment Installation	-	5,500,000
(xvii)	Turn-key Interior Design and Fitting-out Works (Note*)	I/II	23,900,000
(xviii)	Categories other than those listed above and under paragraph 3.3.6 in Section 3	Any	920,000

Note*: The contractor under this category and group is also required to have a minimum annual turnover of HK$80 million in each of the immediate past three years.

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

	Condition	Level of Working Capital required
(i)	Contractor has either employed or working capital under HK$5.8 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 4 above, whichever is higher
(ii)	Contractor has both employed and working capital not less than HK$5.8 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 4 above, whichever is higher
(iii)	Contractor is also a Group C contractor on the List	8% on the first $1,120 million 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 4(iii) of **Annex 2 to Appendix 2A** or the minimum working capital specified in paragraph 4 above, whichever is higher

Note : (1) The above revised financial criteria shall take effect on **1 March 2021**. 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 12-months' grace period to adjust to the above new financial criteria. In other words, all management accounts or audited financial statements with accounting periods ending on or after **1 March 2022** 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 **1 March 2021**. Applications made prior to **1 March 2021** 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 **1 March 2021**.

(3) The paid-up share capital requirement is not applicable in case of partnership and sole proprietorship.

6. Where a contractor is listed in more than one category in the Specialist List and/or is also listed on the List, he must maintain the minimum levels of share capital, employed capital and working capital applicable to his category, group and status with higher employed capital requirement. The higher employed capital requirement is determined based on the minimum level of employed capital before taking into account the annualized outstanding works. The financial criteria for each group and status to be retained on the List are set out in **Annex 2 to Appendix 2A**.

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

(i) increase in share capital/partners' funds/proprietor's funds to be paid up in cash; or

(ii) drawdown 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 or similar facility can be a method to rectify the shortfall in working capital only for shortfall relating to outstanding workload. Notwithstanding the above, other rectification methods may be accepted subject to the satisfaction of DEVB.

8. If a contractor reported loss in the latest audited financial statements, he shall be subject to an assessment on 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. In this regard, the average loss rate of the contractor shall not be greater than 30%.

9. The average profit/loss rate is defined as the weighted average of the net profit/loss as a percentage of the opening balance of the shareholders' funds or net worth over the past three years with weights of 3:2:1 (higher weight to be assigned to the more recent year). The net profit/loss and the opening balance of the shareholders' funds or net worth will be extracted from the audited financial statements. 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 profit/loss rate is defined as the weighted average of the net profit/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 (higher weight to be assigned to the more recent year).

11. For a newly formed company with only one or less than 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 DEVB to carry out ad hoc financial assessment.

13. DEVB will take into account the financial information submitted by the contractor and any other relevant information available to DEVB to form an opinion on his financial capability. In the event that special circumstances of a contractor arise which cast doubts on his financial capability, DEVB reserves the rights to determine that the contractor fails to satisfy the financial requirements.

Financial Requirements for Acceptance of a Tender

14. In order to be recommended for the award of a contract of whatever value in any category of work, a contractor's share capital, employed capital and working capital, as assessed from the accounts, should amount to at least the levels required for administration of the Specialist List. In this regard, the employed capital and working capital requirements would be based on the latest statement of outstanding workload and would take into account the annual value of the tender. The financial information required to be submitted in the tendering exercise by the contractors is set out in **Notes to Annex 2 to Appendix 2A & Appendix 3B**.

15. In the case of a joint venture, each participant (irrespective whether on the List, the Specialist List or not) shall be assessed on his own financial capability in taking up his share of the tender. In order to be recommended for the award of a contract, all participants must meet the required capital levels. However, if any of the participants cannot meet the required capital level(s) for undertaking his share but the other participant(s) of the joint venture has met the financial criteria for undertaking such share(s) and agrees to undertake such share(s) by signing an undertaking in the form prescribed by DEVB, the joint venture may still be regarded as satisfying the financial requirements collectively.

16. If a contractor is subject to the assessment on the Profitability Trend Analysis and his average loss rate is greater than 30% (or his revised loss rate taking into account subsequent capital injection is still greater than 30%, if applicable), he will not be recommended for tender award for contracts in his prevailing group or category. In the case of a joint venture, if any participant is subject to the assessment on the Profitability Trend Analysis and his average loss rate is greater than 30% (or his revised loss rate taking into account subsequent capital injection is still greater than 30%, if applicable), the joint venture will not be recommended for award of contracts.

17. Rectification in shortfall for share capital, employed capital and working capital for tendering purpose follows the same methods adopted for the purpose of administration of the Specialist List.

18. A contractor must satisfy DEVB that he is financially capable in undertaking the contract. In this regard, DEVB will take into account the financial information submitted by the contractor and any other relevant information available to DEVB to form an opinion on his financial capability. In the event that special circumstances of a contractor arise which cast doubts on his financial capability, DEVB reserves the rights to determine that the contractor fails to satisfy the financial requirements.

Certified Statements of Outstanding Workload

19. Each contractor submitting audited financial statements 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 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, Promotion and Retention of Contractors for the Specialist List

General Notes

(1) The suitability of a contractor for admission (direct entry or by promotion) and confirmation to the Specialist List is assessed mainly under six core elements, (namely experience, management, staff employment, safety, integrity and financial capability), as well as other specific technical requirements. Unless otherwise specified, a contractor on the Specialist List shall also ensure his continuous compliance of the above requirements for the purpose of retention. Whereas the financial criteria are stated in Appendix 3B, details of technical, management and other requirements are given in this Appendix and outlined below:

I. Experience (*not applicable to retention*)

- For admission (direct entry or by promotion) and confirmation, the minimum company experience requirements for each category are stipulated in the respective pages in this Appendix.

II. Management

- The specific management criteria for each category are stipulated in the respective pages in this Appendix. A contractor shall be removed from the Specialist List or demoted to a lower group if he fails to comply with these requirements. In the event of any changes of the personnel in the top management, a contractor shall inform the Managing Department immediately.

- Top management shall be the President, Chairman, Director, Managing Director, Executive Director or General Manager etc.

- The continuous capability building requirements for top management below are applicable only to retention :

  (a) The named member(s) of the top management is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 3.8.2 of Section 3.

  (b) Capability building events may be in the form of conferences, seminars, workshops, forums, training courses, etc. The contractor shall declare its compliance with these sub-criteria during renewal and submit documentary proof if requested.

III. Staff Employment

- The specific staff employment criteria for each category are stipulated in the respective pages in this Appendix. A contractor shall be removed from the Specialist List or demoted to a lower group if he fails to comply with these requirements. In the event of any changes of the personnel in the technical staff, a contractor shall inform the Managing Department immediately.

- The continuous capability building requirements for technical staff (supervisory grade) below are only applicable to retention:

  (a) The named member(s) of the technical staff (supervisory grade) is/are required to participate in an average of minimum 6 hours of capability building events per year, including minimum 1 hour safety-related event(s) and 1 hour integrity-related event(s), within the 3-year interval for updating the Contractor Profile as required in paragraph 3.8.2 of Section 3.

  (b) Capability building events may be in the form of conferences, seminars, workshops, forums, training courses, etc. The contractor shall declare its compliance with these sub-criteria during renewal and submit documentary proof if requested.

IV. Safety[1]

(i) Qualified Personnel

- The contractor shall employ at least one person who is qualified to be a safety supervisor in accordance with Chapter 3, Appendix III, paragraph 6(4) of the Construction Site Safety Manual. A contractor who is required to employ safety supervisor as specified in this Appendix shall be removed from the Specialist List or demoted to a lower group if he fails to comply with these requirements. In the event of any changes of the personnel in safety supervisor, a contractor shall inform the Managing Department immediately.

- The duties of the safety supervisor shall include providing assistance to the contractor in promoting the safety and health of its employees. Provided that the duties of the safety supervisor can be properly discharged, the safety supervisor may work on part-time basis or take up other tasks.

(ii) Performance in compliance with safety legislations *(not applicable to retention)*

- The applicant shall not be convicted of 4 or more site safety offences counted by the date of commission and not by the date of conviction, each arising out of separate incidents in any 6-month period in the past 12 months counting from the submission of the application. For example, if an applicant submitted its application on 1 January 2021, the applicant shall not be convicted of 4 or more site safety offences in each of the rolling 6-month period below:

[1] Not applicable to the following five categories: (i) Fabrication of Unfired Pressure Vessels, (ii) Prestressed Concrete Works for Highway Structures Class II – Supply of Prestressed Concrete Units; (iii) Transparent Panels for Noise Barriers on Highways; (iv) Survey of Lifting Appliances and Lifting Gear and (v) Soil and Rock Testing

Rolling 6-month Period	1 Jan 20 to 30 Jun 20	1 Feb 20 to 31 Jul 20	1 Mar 20 to 31 Aug 20	1 Apr 20 to 30 Sep 20	1 May 20 to 31 Oct 20	1 Jun 20 to 30 Nov 20	1 Jul 20 to 31 Dec 20

- A site safety offence means a conviction for any offence set out in the ordinances and their subsidiary legislations stipulated in paragraph 10(h) of DEVB TC(W) No. 5/2023 or subsequent updates. For overseas applicants who do not have site experience in the HKSAR, a site safety offence means a conviction for any offence set out in the relevant occupational health and safety acts, regulations and their subsidiary legislations in its place of incorporation or place of major business. The overseas applicants shall provide details of such site safety offence to the Development Bureau and Managing Department(s) for assessment.

- The applicant shall declare his compliance with this assessment sub-criteria in the application form, and shall provide supporting documents upon request. In the event that an applicant's no. of convictions exceeds the above limit, the applicant shall be regarded as having satisfied with this requirement if the applicant already holds a certificate of compliance with ISO 45001 (or equivalent) and has completed a safety audit by external safety auditor recognized by the Development Bureau to demonstrate its capability to deliver a relevant contract with satisfactory safety performance after the last conviction and within one year from its application.

V. Integrity

- The applicant shall maintain an integrity management policy covering at least the contents set out in the Sample Integrity Management Policy at **Annex 3 to Appendix 2A**.

- In respect of integrity training, please refer to the continuous capability building requirements in Items II and III above.

VI. Specific Technical Requirements

- The applicant shall possess or set up in Hong Kong a place of business as defined in Section 2 of the Business Registration Ordinance and submit a copy of his business registration certificate in his application for admission (direct entry or by promotion) and confirmation to the Specialist List. The contractor shall also maintain his business registration certification for retention.

- Other specific technical requirements such as statutory registration and certification, plant and equipment, office / workshop facilities, etc. for each category are stipulated in the respective pages in this Appendix.

(2) Unless otherwise specified, the revised admission, confirmation, promotion and retention requirements in this Appendix shall take effect from **1 March 2021**. When contractors submit applications for admission, confirmation or promotion based solely on the experience of contracts (or the related main contract for the case of which experience of subcontracts is allowed) for which tenders were invited before **1 March 2021**, the minimum contract value in the Contractor Management Handbook Revision B-15 shall be adopted for assessing such applications. For the avoidance of doubt, the respective applicable group limits to determine the minimum contract values referred to in the contract experience requirement for the relevant categories and groups are as follows:

Category	Applicable group limits
Air-conditioning Installation (Group I)	$5.7 million
Electrical Installation (Group I)	$2.3 million
Electrical Installation (Group II)	$5.7 million
Fire Service Installation (Group I)	$2.3 million
Mechanical Plant and Equipment Installation (Group I)	$1.1 million
Plumbing Installation (Group I)	$2.3 million

(3) The non-Government contract for assessment of the job experience of a probationary contractor for acquiring confirmed status under categories related to electrical and mechanical engineering and with Arch SD as the Managing Department shall satisfy the following additional criteria:

(i) An applicant shall provide documentary evidence to prove that such contract is comparable with the Government contract in terms of standard of works and project management practices; and

(ii) The contract shall be administered by the Architect/Surveyor/ Engineer, who shall approve building services/electrical & mechanical equipment/materials and drawing submissions, monitor the quality of installation works and associated testing & commissioning works, and certify satisfactory completion of the works. For job experience outside the HKSAR, evidence as stipulated under the "Guidance Notes for Application" shall also be provided; otherwise, it will not be considered as a valid job reference.

(4) The plant and equipment requirements are subject to modification as technology advances and as new plant emerges.

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35	Supply and Installation of Expansion Joints for Highway Structures	35-1 – 35-3	-
36	Supply and Installation of Pumpsets and Associated Pipework	36-1 – 36-3	-
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Categories		Page No	Annex No
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43	Uninterruptible Power Supply Installation	43-1 – 43-4	1, 33
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Managing Department :	**Architectural Services Department**	
Works Category :	**1. Air-conditioning Installation**	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$9.2M

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. 7.5.3 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 $32 million

Group I	Group II
A. Entry on Probation	**A. Entry on Probation**
Not Applicable	**1. Experience** General (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 air-conditioning 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 (See General Notes (2)); 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

Group I	Group II
	(d) The contract shall be of a completely new building construction project or a whole building refurbishment project. (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 "Management and Staff Employment".

Group I	Group II
	Quality Management System Certification 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 DEVB. 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/trade divisions: (A) Plumber/ Refrigeration/Air-conditioning/Ventilation Mechanic Minimum score required 40 marks Skilled Plumber/ Refrigeration/Air-conditioning/Ventilation Mechanic 20 marks Semi-skilled Plumber/Refrigeration/Air-conditioning/Ventilation Mechanic 15 marks

Group I	Group II
	(B) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration requirements 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 REW, LP and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 2** for list of typical equipment/tools and testing instruments required. **5. Office/Workshop Facilities** Local office/workshop in HKSAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 110 m^2 and the minimum workshop + storage area shall be 50 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.

Group I	Group II
B. Confirmation	**B. Confirmation**
Not Applicable	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3) in this Appendix, awarded after inclusion in the category on probation; 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 (See General Notes (2)); 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 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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".

Group I	Group II
C. Direct Entry	**C. Direct Entry**
1. Experience General (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 air-conditioning 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 50% Group I tender limit (See General Notes (2)); 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.	Not Applicable

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 "Management and Staff Employment".	

Group I	Group II
3. Management and Staff Employment 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of qualified workers with adequate relevant experience in the following trades/trade divisions: (A) Plumber/Refrigeration/Air-conditioning/Ventilation Mechanic Minimum score required 20 marks Skilled Plumber/Refrigeration/Air-conditioning/Ventilation Mechanic 20 marks Semi-skilled Plumber/Refrigeration/Air-conditioning/Ventilation Mechanic 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration 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, REW and QW can be Technical Support Staff or Qualified Worker.	

Group I	Group II
4. Plant and Equipment(See General Notes (4)) 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 HKSAR is required. Reasonably sized, suitably furnished office and workshop/storage areas. In general, the minimum office area shall be 50 m^2 and the minimum workshop + storage area shall be 30 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.	

Managing Department :	**Architectural Services Department**	
Works Category :	**2. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (1) The applicant shall have adequate experience in the type and size of work of the category, as stipulated under "Job Reference for Inspection", with satisfactory quality of work compatible with Government standard on and in relation to audio electronics 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.3M; 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. Experience** General (1) The applicant shall have adequate experience in the type and size of work of the category, as stipulated under "Job Reference for Inspection", with satisfactory quality of work compatible with Government standard on and in relation to audio electronics 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 $0.3M; 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	Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 $0.8M; 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.

2. Management and Staff Employment

2.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

2.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

2.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

Electronic Equipment Mechanic (Construction Work)

Minimum score required	40 marks
Skilled Electronic Equipment Mechanic (Construction Work)	20 marks
Semi-skilled Electronic Equipment Mechanic (Construction Worker)	15 marks

the proof provided by the applicant from the relevant parties of the concerned project.

2. Management and Staff Employment

2.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

2.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

2.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

Electronic Equipment Mechanic (Construction Work)

Minimum score required	40 marks
Skilled Electronic Equipment Mechanic (Construction Work)	20 marks
Semi-skilled Electronic Equipment Mechanic (Construction Work)	15 marks

3. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

5. Others

5.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

5.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

5.3 Authorized Agency

Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available.

5.4 Support from Principal

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.

3. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

5. Others

5.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

5.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

5.3 Authorized Agency

Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available.

5.4 Support from Principal

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 :	**3. 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.

Direct Entry

1. Experience

General

(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 broadcast reception 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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 $0.4M; 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.

Direct Entry

2. Management and Staff Employment

2.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

2.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

2.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

Electrician/ Electronics Equipment Mechanic (Construction Work)

Minimum score required	20 marks
Skilled Electrician/ Electronics Equipment Mechanic (Construction Work)	20 marks
Semi-skilled Electrician/ Electronics Equipment Mechanic (Construction Work)	15 marks

3. Plant and Equipment (See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Direct Entry

5. Others

5.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

5.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Architectural Services Department**	
Works Category :	**4. 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.

Direct Entry

1. Experience

General

(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 burglar alarm and security 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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 $1.6M; 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.

Direct Entry

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

Statutory Registration

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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Qualified Engineer

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. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

3.2.2 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

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.

3.2.3 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

(A) Electrician/ Electronic Equipment Mechanic (Construction Work)

Minimum score required	20 marks
Skilled Electrician/ Electronics Equipment Mechanic (Construction Work)	20 marks
Semi-skilled Electrician/ Electronics Equipment Mechanic (Construction Work)	15 marks

Direct Entry

(B) 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 Qualified Worker.

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

6.3 Authorized Agency
Be an authorized agent/distributor in HKSAR for the major equipment to be offered. Documentary evidence such as authorized agency/distributorship agreements shall be available.

6.4 24-hour Emergency Service Centre
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 :	**5. 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.

Direct Entry

1. Experience

General

(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 catering equipment 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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 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 $1.6M; 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

Direct Entry

(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.)

Statutory Registration
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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

3.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/trade divisions:

(A) Mechanical Fitter/Electrician

Minimum score required	20 marks
Skilled Mechanical Fitter/Electrician	20 marks
Semi-skilled Mechanical Fitter/Electrician	15 marks

Direct Entry

(B) 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 Qualified Workers.

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Highways Department**	
Works Category :	**6. Design, Manufacture and Installation of Glass (or Fibre) Reinforced Plastic Units for Highway Structures**	**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 $ 0.3 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. **Management and Staff Employment**

   3.1 Top Management(see General Notes (1), Item II)
   At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

   3.2 Technical Staff
   a. At least one design staff with 3 years of experience in the field of glass (or fibre) reinforced plastic is required.
   b. Local workforce capable of installing the glass (or fibre) reinforced plastic units.

   All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

4. **Plant and Equipment(See General Notes (4))**
   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.

5. **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.

6. **Training Facilities**
   Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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.

7.4 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html.

Managing Department :	**Architectural Services Department**	
Works Category :	**7. 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.

C. Direct Entry

1. Experience

General

(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 diesel generator 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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) 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

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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Qualified Engineer

Employ at least 1 no. qualified engineer (Mechanical, Electrical or Building Services discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

3.2.2 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	2 nos.
Site supervisor	2 nos.
Draftsman	1 no.

3.2.3 Qualified Worker

Employ adequate nos. of Qualified Worker in the following trades/ trade divisions:

(A) Mechanical Fitter

Minimum score required	20 marks
Skilled Mechanical Fitter	20 marks
Semi-skilled Mechanical Fitter	15 marks

C. Direct Entry

(B) Electrician

Minimum score required	20 marks
Skilled Electrician	20 marks
Semi-skilled Electrician	15 marks

(C) 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 Qualified Worker.

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

6.3 Authorized Agency

Preferably being an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available.

6.4 Support from Principal

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 :	**8. 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 the following facilities:

(i) Electrical and mechanical equipment for sewage (including stormwater) pumping stations;

(ii) Electrical and mechanical equipment for screening plant and small package treatment plant (i.e. the design average dry weather flow of not more than 500m^3/day is considered as a small package treatment plant);

(iii) Electrical and mechanical equipment for sewage treatment plants, which are considered to have included the nature of work as depicted in items (i) and (ii) above.

Definition of Probationary Status (Para. 7.5.3 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 $55 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 electrical and mechanical installations for sewage treatment and screening plant; 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3) in this Appendix, awarded after inclusion in the category on probation; 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 the following requirements: (a) (i) Value of the contract which covers a single station, plant or treatment works of the respective scope under application for confirmation exceeds \$8M; or (ii) If multiple stations, plants or treatment works are included in the contract, only the station, plant or treatment works each with contract value exceeding \$8M will be considered; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category". Relevant restrictions, in pursuant to item (i) or/and (ii) of the "Brief Scope of Category" will be applied if applicable; (c) If the contract is a term contract, all of the above requirements 4 (a)(i) or (ii) 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" item (i), (ii) or (iii) covered in the main contract; and	**1. Experience** General (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 electrical and mechanical installations for sewage treatment and screening plant; 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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) (i) Value of the contract which covers a single station, plant or treatment works of the category scope under application for inclusion exceeds $8M; or (ii) If multiple stations, plants or treatment works are included in the contract, only the station, plant or treatment works each with contract value exceeding $8M will be considered; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category". For application for inclusion into the category with restriction to works for item (i) or/and (ii) in the "Brief Scope of Category", submitted contracts shall cover respective major scope of works accordingly. (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" item (i), (ii) or (iii) 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	(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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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) (i) Value of the contract which covers a single station, plant or treatment works of the respective scope under application for inclusion exceeds $16M; or (ii) If multiple stations, plants or treatment works are included in the contract, only the station, plant or treatment works of the respective scope each exceeding $16M will be considered; and (b) The contract shall cover major scope of works as described in the "Brief Scope of Category". Relevant restrictions, in pursuant to items (i) or/and (ii) of the "Brief Scope of Category" will be applied if applicable. (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" item (i), (ii) or (iii) 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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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. **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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.		(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 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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Mechanical or Electrical discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Mechanical Fitter Minimum score required 30 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 30 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no.		3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Mechanical or Electrical discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Worker in the following trades/ trade divisions: (A) Mechanical Fitter Minimum score required 30 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 30 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no.

A. Entry on Probation	B. Confirmation	C. Direct Entry
(D) 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, REW and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 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 m^2 and the minimum workshop + storage area shall be 70 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix.		(D) 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, REW and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 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 m^2 and the minimum workshop + storage area shall be 70 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix.

A. Entry on Probation	B. Confirmation	C. Direct Entry
6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.		6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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 :	**9. Electrical Installation**	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$4.6M
Group II: Contracts/Subcontracts up to HK$11.4M
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. 7.5.3 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
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 $40 million

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

Group I	Group II	Group III
A. Entry on Probation	**A. Entry on Probation**	**A. Entry on Probation**
Not Applicable	Not Applicable	**1. Job Experience** General (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 electrical 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

Group I	Group II	Group III
		(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 II tender limit (See General Notes (2)); 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

Group I	Group II	Group III
		(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 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 "Management and Staff Employment". <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

Group I	Group II	Group III
		certificates bearing the accreditation mark of other accreditation bodies which are considered as having an equivalent standard by the DEVB. The scope of certification shall be relevant to the contractor list being applied for, e.g. "supply, installation and maintenance of electrical 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 3. Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Electrical or Building Services discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos.

Group I	Group II	Group III
		3.2.3 Qualified Worker Employ adequate nos. of Qualified Worker in the following trades/trade divisions: (A) Electrician Minimum score required 80 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) 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 Qualified Worker. **4. Plant and Equipment**(See General Notes (4)) 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.

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 100 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.

Group I	Group II	Group III
B. Confirmation	**B. Confirmation**	**B. Confirmation**
Not Applicable	The following shall only be applicable to existing Group II probationary contractor: **1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3) in this Appendix, awarded after inclusion in the category on probation; 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 Group I tender limit (See General Notes (2)); 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.	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3) in this Appendix, awarded after inclusion in the category on probation; 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 Group II tender limit (See General Notes (2)); 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.

Group I	Group II	Group III
	(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 electrical installation contractor for the project work. Apart from the above experience requirement, other criteria should be the same as that required for "C. Direct Entry".	(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 electrical installation contractor for the project work. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".

Group I C. Direct Entry	Group II C. Direct Entry	Group III C. Direct Entry
1. Experience General (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 electrical 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** General (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 electrical 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	Not Applicable

Group I	Group II	Group III
(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 (See General Notes (2)); 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 confirm that the applicant has met the above requirements in the subcontract; 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 (See General Notes (2)); 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 company awarded with the direct contract by the employer of the concerned project; and	

Group I	Group II	Group III
(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.	(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.) 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 "Management and Staff Employment".	**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 "Management and Staff Employment".	
3. Management and Staff Employment 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.	**3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.	

Group I	Group II	Group III
3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 1 no. Site supervisor 1 no. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) 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 Qualified Worker.	3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) 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 Qualified Worker.	

Group I	Group II	Group III
4. Plant and Equipment(See General Notes (4)) 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. **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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.	**4. Plant and Equipment**(See General Notes (4)) 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. **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 m^2 and the minimum workshop + storage area shall be 15 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.	

Managing Department :	**Architectural Services Department**	
Works Category :	**10. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 electronic timing and display 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.3M; 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. Experience** General (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 electronic timing and display 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, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $0.3M; 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	Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 $0.8M; 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

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.		(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. Management and Staff Employment		**2. Management and Staff Employment**
2.1 Top Management (See General Notes (1), Item II)		2.1 Top Management (See General Notes (1), Item II)
At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.		At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.
2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)		2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)
2.2.1 Technical Support Staff		*2.2.1 Technical Support Staff*
Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.		Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.
Technician 1 no. Site supervisor 1 no. Draftsman 1 no.		Technician 1 no. Site supervisor 1 no. Draftsman 1 no.
2.2.2 Qualified Worker		*2.2.2 Qualified Worker*
Employ adequate nos. of Qualified Workers in the following trades/trade divisions:		Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:
Electronic Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks		Electronic Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks

A. Entry on Probation	B. Confirmation	C. Direct Entry
3. Plant and Equipment (See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **5. Others** 5.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 5.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 5.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 5.4 Support from Principal 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.		**3. Plant and Equipment** (See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **5. Others** 5.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 5.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 5.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 5.4 Support from Principal 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 :	**11. 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. **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. **Management and Staff Employment**

   3.1 Top Management (See General Notes (1), Item II)
   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. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

   3.2 Technical Staff
   Minimum of 2 qualified technical persons as well as sufficient skillful 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.

4. **Plant and Equipment (See General Notes (4))**
   Not Applicable

5. **Office/Workshop Facilities**
   A workshop 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.

6. **Training Facilities**
   Not Applicable

7. **Others**

   7.1 Integrity: Please refer to General Notes (1), Item V in this Appendix.

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

Managing Department :	**Architectural Services Department**	
Works Category :	**12. Fire Service Installation**	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$4.6M

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. 7.5.3 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 $16.4 million

Group I	Group II
A. Entry on Probation	**A. Entry on Probation**
Not applicable	**1. Experience** General (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 fire service 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 (See General Notes (2)); and

Group I	Group II
	(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. **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 "Management and Staff Employment".

Group I	Group II
	Quality Management System Certification 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 DEVB. 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. Qualified Engineer (Mechanical, Building Services, Electrical, or Fire discipline) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos.

Group I	Group II
	3.2.3 Qualified Worker Employ adequate nos. of Qualified Workers in the following trades/trade divisions: (A) Plumber/ Fire Service Mechanic Minimum score required 40 marks Skilled Plumber/Fire Service Mechanic 20 marks Semi-skilled Plumber/Fire Service Mechanic 15 marks (B) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Staff meeting the following statutory registration requirements: – Class 3 Registered Fire Service Installation Contractor (RFSIC) registered under Fire Service Ordinance, Cap. 95 – 1 no. (minimum) – Registered Electrical Worker (REW) 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 Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

Group I	Group II
	6. Others 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.

Group I	Group II
B. Confirmation	**B. Confirmation**
Not Applicable	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 (See General Notes (2)); 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 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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".

Group I C. Direct Entry	Group II C. Direct Entry
1. Experience General (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 fire service 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 50% Group I tender limit (See General Notes (2)); and	Not Applicable

Group I	Group II
(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. **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 Services 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 "Management and Staff Employment".	Not Applicable

Group I	Group II
3. Management and Staff Employment 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers with adequate relevant experience in the following trades/trade divisions: (A) Plumber/ Fire Service Mechanic Minimum score required 20 marks Skilled Plumber/Fire Service Mechanic 20 marks Semi-skilled Plumber/Fire Service Mechanic 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Staff meeting the following statutory registration requirements: - Class 3 Registered Fire Service Installation Contractor (RFSIC) registered under Fire Services 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)	

Group I	Group II
The LP, REW and RFSIC can be the Qualified Engineer, Technical Support Staff or Qualified Worker. **4. Plant and Equipment**(See General Notes (4)) 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 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 40 m^2 and the minimum workshop + storage area shall be 15 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.	

Managing Department :	**Architectural Services Department**	
Works Category :	**13. 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.

Direct Entry

1. Experience

General

(1) The applicant shall have adequate experience in the type and size of work of the category, as stipulated under "Job Reference for Inspection", with satisfactory quality of work compatible with Government standard on and in relation to fountain installations; and

(2) The applicant shall have adequate experience in contract management of work of the category, as stipulated under "Job Reference for Inspection", including solely and fully, responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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 $1.6M; 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

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.)

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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	2 nos.
Site supervisor	2 nos.
Draftsman	1 no.

3.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

(A) Plumber

Minimum score required	20 marks
Skilled Plumber	20 marks
Semi-skilled Plumber	15 marks

(B) Electrician

Minimum score required	20 marks
Skilled Electrician	20 marks
Semi-skilled Electrician	15 marks

(C) 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 Qualified Worker.

Direct Entry

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Civil Engineering and Development Department**	
Works Category :	**14. Ground Investigation Field Work**	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$3.7M

Group II: Contracts/Subcontracts of unlimited value

Brief Scope of Category:

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

Group I A. Direct Entry	Group II A. Direct Entry
1. Experience Must be able to provide references to ground investigation works (each of value exceeding HK$0.8M) 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.	**1. Experience** Must be able to provide references to ground investigation works (each of value exceeding HK$0.8M) 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 DEVB.	**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 DEVB.
3. Management and Staff Employment 3.1 Top Management(See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing a construction firm obtained in the past 8 years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Must employ sufficient full-time approved personnel (including Safety Officer / Safety Supervisor) who satisfy the minimum requirements as given in **Annex 15**. Site Agent, Geotechnical Engineer/ Engineering Geologist and Geotechnical Field Technician shall comply with the continuous capability building requirement as detailed in General Notes (1), Item III in this Appendix.	**3. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing a construction firm obtained in the past 8 years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Must employ sufficient full-time approved personnel (including Safety Officer / Safety Supervisor) who satisfy the minimum requirements as given in **Annex 15**. Site Agent, Geotechnical Engineer/ Engineering Geologist and Geotechnical Field Technician shall comply with the continuous capability building requirement as detailed in General Notes (1), Item III in this Appendix.
4. Plant and Equipment(See General Notes (4)) 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, 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.	**4. Plant and Equipment(See General Notes (4))** 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, 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
5. Office/Workshop Facilities All applicants must possess or set up in Hong Kong a place of business. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Must have adequate safety and health provisions and measures in accordance with the spirit of Chapter 3 of the Construction Site Safety Manual (CSSM) (DEVB). 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. Please also refer to General Notes (1), Item IV(ii) in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Must have the managerial, professional, technical and other support staff resources to carry out Government contracts on ground investigation. 7.4 Must demonstrate competence in carrying out drilling, excavation, sampling, testing, recording of information, description of soil and rock and reporting to CEDD standards. 7.5 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.	**5. Office/Workshop Facilities** All applicants must possess or set up in Hong Kong a place of business. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: 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. Please also refer to General Notes(1), Item IV(ii) in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Must have the managerial, professional, technical and other support staff resources to carry out large Government contracts on ground investigation. 7.4 Must demonstrate competence in carrying out drilling, excavation, sampling, testing, recording of information, description of soil and rock and reporting to CEDD standards. 7.5 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.

Managing Department :	**Architectural Services Department**	
Works Category :	**15. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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, including high voltage installation, with satisfactory quality of work compatible with Government standard on and in relation to industrial electrical 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.8M; 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	**1. Experience** General (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, including high voltage installation, with satisfactory quality of work compatible with Government standard on and in relation to industrial electrical 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 \$0.8M; 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	contract by the employer of the concerned project, all shall not be the industrial type electrical installation contractor for the project work. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 \$1.6M; 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

A. Entry on Probation	B. Confirmation	C. Direct Entry
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.		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.) 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 "Management and Staff Employment".		**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 "Management and Staff Employment".
3. Management and Staff Employment 3.1 Top Management (General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Electrical discipline) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.		**3. Management and Staff Employment** 3.1 Top Management (General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Electrical discipline) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2.2 Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) 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 Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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		*3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) 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 Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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

A. Entry on Probation	B. Confirmation	C. Direct Entry
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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.		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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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 :	**16. Land Piling**	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$ 5.5 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 A. Direct Entry	Group II A. Direct Entry
1. Experience (a) At least 3 small to medium size local projects (below $4.9M each) for each system. (b) The projects must be completed within the past 5 years. (c) Experience as main contractor.	**1. Experience** (a) At least 3 medium/large size local projects (over $4.9M 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.	**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. 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 DEVB. The scope of certification shall be relevant to the piling system under application.
3. Management and Staff Employment 3.1 Top Management(See General Notes (1), Item II) 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. Please also refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 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. Please also refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.	**3. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) 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. Please also refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff 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. Please also refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Group I	Group II
4. Plant and Equipment(See General Notes (4)) Appropriate equipment for each system. (At least one set for each system). **5. Office/Workshop Facilities** Local office required. Yard facilities available. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 7.3 Piling system to be registered (a) Method statement. (b) Typical calculations. (c) Acceptable references. (d) Satisfactory demonstration on site.	**4. Plant and Equipment**(See General Notes (4)) Appropriate equipment for each system. (At least one set for each system). **5. Office/Workshop Facilities** Local office required. Yard facilities available. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 7.3 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 relevant medium/large size local projects of value above $4.9M each with good references. Other requirements same as that required for “Direct Entry”.

Managing Department :	**Lands Department**	
Works Category :	**17. Land, Engineering and Hydrographic Survey Services**	**Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the provision of services related to land, engineering and hydrographic survey services and the collection, modelling, integration and analysis of geospatial data.

Direct Entry

1. **Experience**
   No requirement.
   Past experience on government projects is used as reference in tender evaluation and selection, but not as entry requirement.

2. **Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)**
   No requirement.
   ISO 9001 Certification, will be used as reference in tender evaluation and selection.

3. **Management and Staff Employment**

   3.1 Top Management(See General Notes (1), Item II)
   At least one senior member of the firm's full time staff should be a professional member of the HKIS (Land Surveying Division) or approved equivalent, with minimum 2 years' post qualification local experience. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

   3.2 Technical Staff
   A minimum of two full time survey technicians should possess ordinary certificate or higher qualification in land or engineering surveying or approved equivalent with minimum one year's local experience in land, engineering and hydrographic surveying or geospatial data services. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

4. **Plant and Equipment(See General Notes (4))**
   The firm should possess some basic equipment such as theodolite, total station, level, EDM, computer aid drafting system, geospatial data processing software and transport facilities. Special equipment such as echo sounder, laser level, laser scanner, satellite positioning system etc. will be an asset in bidding tender for special survey services.

5. **Office/Workshop Facilities**
   Not Applicable

6. **Training Facilities**
   Not Applicable

7. **Others**

   7.1 Safety: Please refer to General Notes (1), Item IV(ii) in this Appendix.

   7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Architectural Services Department**	
Works Category : **Class I:**	**18. Landscaping** General Landscape Work	**Specialist Contractor**

Group I: Contracts/Subcontracts of value up to HK$3.8M

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 $3.8 million
Probation to Group II:	Eligible for the award of any number of Group I contracts/subcontracts, plus one contract/subcontract of value exceeding $3.8 million

Group I A. Entry On Probation	Group II A. Entry On Probation
1. Experience Completed satisfactorily at least three relevant contracts/subcontracts of total value of the landscape softworks exceeding $6.4M within the past 5 years. Job experience in all three types of the General Landscape Works within the past five years.	**1. Experience** Completed satisfactorily at least three relevant contracts/1st tier subcontracts of total value of the General Landscape Works exceeding $9.7M within the past 5 years, including at least two contracts/1st tier subcontracts of total value of landscape softworks exceeding $4.9M. 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	**2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)** Not Applicable
3. Management and Staff Employment 3.1 Top Management (See General Notes (1), Item II) Not Applicable 3.2 Technical Staff See **Annex 35**. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.	**3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) 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. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff See **Annex 35**. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.
4. Plant and Equipment (See General Notes (4)) See **Annex 35**.	**4. Plant and Equipment (See General Notes (4))** See **Annex 35**.
5. Office/Workshop Facilities Local office of reasonable amount of space and a local holding nursery in Hong Kong of not less than 7,500m^2 required.	**5. Office/Workshop Facilities** Local office of reasonable amount of space and a local holding nursery in Hong Kong of not less than 7,500m^2 required.
6. Training Facilities Have training scheme to internal staff to improve arboricultural, horticultural and workplace health and safety practice.	**6. Training Facilities** Have training scheme to internal staff to improve arboricultural, horticultural and workplace health and safety practice.

Group I	Group II
7. Others 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 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.	**7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 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.
B. Confirmation	**B. Confirmation**
Completed satisfactorily at least two relevant contracts/ 1st tier relevant subcontracts of total value of the General Landscape Works exceeding $3.2M within the past 5 years, after inclusion in Group I on probation, including one relevant contract / 1st tier relevant subcontract of value of landscape softworks exceeding $0.8M. Experience in all three types of the General Landscape Works within the past five years. Other requirements same as that required for "Entry on Probation".	Completed satisfactorily at least two relevant contracts/ 1st tier relevant subcontracts of individual value of the General Landscape Works exceeding $3.2M within the past 5 years, after inclusion in Group II on probation, including one relevant contract / 1st tier relevant subcontract of value of landscape softworks exceeding $3.2M. Experience in all three types of the General Landscape Works within the past five years. Other requirements same as that required for "Entry on Probation".
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 : **Class II:**	**18. Landscaping** Hydroseeding	**Specialist Contractor**

Group I: Contracts/Subcontracts up to HK$3.8M

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:	Eligible for the award of one contract at any one time of value up to $3.8 million
Probation to Group II:	Eligible for the award of any number of Group I contracts, plus one contract of value exceeding $3.8 million

Group I	Group II
A. Entry On Probation	**A. Entry On Probation**
1. Experience Completed at least three relevant contracts/subcontracts of total value exceeding $6.4M 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) Not Applicable 3.2 Technical Staff Min. 1 No. trained operator with 3 years relevant HK working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. **4. Plant and Equipment (See General Notes (4))** All necessary equipment to carry out the required work. **5. Office/Workshop Facilities** Local office in Hong Kong is required. **6. Training Facilities** Have training scheme to internal staff to improve hydroseeding and safety practice. **8. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.	**1. Experience** Completed at least three relevant contracts/subcontracts of total value exceeding $9.7M 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) Not Applicable 3.2 Technical Staff Min. 2 Nos. trained operator with 3 years relevant HK working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. **4. Plant and Equipment (See General Notes (4))** All necessary equipment to carry out the required work. **5. Office/Workshop Facilities** Local office in Hong Kong is required. **6. Training Facilities** Have training scheme to internal staff to improve hydroseeding and safety practice. **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

Group I	Group II
B. Confirmation	**B. Confirmation**
Completed satisfactorily at least two relevant contracts/subcontracts within the past 5 years, after inclusion in Group I on probation, of total value exceeding $3.2M. Other requirements same as that required for "Entry on Probation".	Completed satisfactorily at least two relevant contracts/subcontracts within the past 5 years, after inclusion in Group II on probation, of individual value exceeding $3.2M. Other requirements same as that required for "Entry on Probation".
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 :	**19. Landslip Preventive/Remedial Works to Slopes/Retaining Walls**	**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 $184M.

A. Entry on Probation	B. Confirmation
1. Experience See sections 2.1, 2.2, 2.3 and 2.4 of **Annex 18**	**1. Experience** Satisfactorily completed, as main contractor or 1st tier sub-contractor (See Notes 1 under section 2.1 of Annex 18 to Appendix 3C), at least one Government Landslip Preventive Measures contract or its 1st tier sub-contract awarded after gaining the probationary status, containing multiple sites and of value not less than $65M.
2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.) Contractors who wish to apply for inclusion should have obtained: (i) The relevant Quality Management System 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 standard. (ii) Registration on the Buildings Department's list of Registered Specialist Contractor for Site Formation Works.	**2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)** (i) Maintain the relevant Quality Management System Certification. (ii) Maintain the Registration on the buildings Department's list of Registered Specialist Contractor for Site Formation Works.
3. Management and Staff Employment 3.1 Top Management(See General Notes (1), Item II) See section 2.5.1 of **Annex 18**. See also General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Professional Staff See section 2.5.2 of **Annex 18**. See also General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. 3.3 Technical Staff See section 2.5.3 of **Annex 18**. See also General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. 3.4 Safety Staff See section 2.5.4 of **Annex 18**.	**3. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) Employ/retain appropriate management staff. See also General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Professional Staff Employ/retain appropriate professional staff. See also General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. 3.3 Technical Staff Employ/retain appropriate technical staff. See also General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. 3.4 Safety Staff Employ/retain appropriate safety staff.

A. Entry on Probation	B. Confirmation
4. Plant and Equipment(See General Notes (4)) See section 2.6 of **Annex 18**	**4. Plant and Equipment**(See General Notes (4)) Possess appropriate plant and equipment
5. Office/Workshop Facilities All applicants must possess or set up in Hong Kong a place of business.	**5. Office/Workshop Facilities** Not Applicable
6. Training Facilities Not Applicable	**6. Training Facilities** Not Applicable
7. 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.** (ii) Safety: Please refer to General Notes (1), Item IV(ii) in this Appendix. (iii) Integrity: Please refer to General Notes (1), Item V in this Appendix.	**7. Others** (i) Safety: Please refer to General Notes (1), Item IV(ii) in this Appendix. (ii) Integrity: Please refer to General Notes (1), Item V in this Appendix. (iii) In all other ways being considered suitable for confirmation.

Managing Department :	**Architectural Services Department**	
Works Category :	**20. Lift, Escalator and Passenger Conveyor Installation**	**Specialist Contractor**

Brief Scope of Category:

The scope of work in this category covers the following:

(i) Supply and installation of passenger lifts, bed/ passenger lifts, service lifts, goods lifts, freight lifts, stairlifts, 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.

(ii) Maintenance of passenger lifts, bed/ passenger lifts, service lifts, goods lifts, freight lifts, stairlifts, 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.

Direct Entry

1. Experience

General

(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 lift, escalator and passenger conveyor 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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

(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 $1.6M; and

  (b) The contract shall cover major scope of works as described in the "Brief Scope of Category" item (i) and (ii). Subject to the scope of work of the contracts submitted, restriction for inclusion into the category may be applied to limit the contractor to carry out only maintenance works with scope of work under "Brief Scope of Category" item (ii); and

  (c) For submitted contract with scope of work under "Brief Scope of Category" item (i), the contract shall be of a completely new building construction project or a whole building refurbishment project with full replacement of the individual relevant installations under this 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" item (i) or (ii) 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 or maintenance contractor for the project work; and

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.)

Statutory Registration

The applicant shall be

- a Registered Lift and/or Escalator Contractor registered under Lifts and Escalators Ordinance, Cap. 618; 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 "Management and Staff Employment".

Quality Management System Certification

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 DEVB.

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" or "Maintenance of lift and escalator installation".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Registered Lift Engineer (RLE)

At least 2 nos. registered under Lifts and Escalators Ordinance, Cap. 618. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

3.2.2 Registered Escalator Engineer (REE)

At least 2 nos. registered under Lifts and Escalators Ordinance, Cap. 618. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

The RLE and REE can be the same person

Direct Entry

3.2.3 Technical Support Staff

Employ adequate nos. of site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Site supervisor	4 nos.
Draftsman	1 no.

3.2.4 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

(A) Lift and Escalator/Mechanic

Minimum score required	100 marks
Skilled Lift and Escalator/Mechanic	20 marks

(B) Staff meeting the following statutory registration requirements:

- Registered Lift /Escalator Engineer (RLEE) registered under Lifts and Escalators Ordinance, Cap. 618 – 2 nos. (minimum)
- Registered Lift/Escalator Worker (RLEW) registered under Lifts and Escalators Ordinance, Cap. 618 – 10 nos. (minimum)
- Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B2 – 1 no. (minimum)

The RLEE, RLEW and REW can be the Technical Support Staff or Qualified Worker.

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

Depot

At least two, preferably more and distributed over Hong Kong SAR.

6. Others

6.1 Safety:

Please refer to General Notes (1), Item IV in this Appendix.

Direct Entry

6.2 Integrity:

Please refer to General Notes (1), Item V in this Appendix.

6.3 Authorized Agency

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. Contractor with restriction on scope of work under "Brief Scope of Category" item (ii) only is exempted from this requirement.

6.4 Type test certificates for escalators

Required for steps, pallets, belts and handrails (handrail breaking strength).

6.5 Type test certificates for lifts

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.

6.6 Permit to use and operate a new lift or escalator

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.**

6.7 Harmonic distortion

Comply with relevant standards; details of harmonic current distortion for each model to be submitted.

6.8 Support from Manufacturer

Sound technical support required, including provision of training (record to be submitted), spare parts and relevant type approval certificates obtained from Electrical and Mechanical Services Department, etc.

6.9 Maintenance facilities

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 above requirements.

Managing Department :	**Architectural Services Department**	
Works Category :	**21. 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.

Direct Entry

1. Experience

General

(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 liquefied petroleum gas 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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

(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 $0.8M; 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 them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the subcontract; and

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 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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

3.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/ trade divisions:

(A) Mechanical Fitter

Minimum score required	20 marks
Skilled Mechanical Fitter	20 marks
Semi-skilled Mechanical Fitter	15 marks

(B) 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 Qualified Worker.

Direct Entry

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 10 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Architectural Services Department**	
Works Category :	**22. 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.

Direct Entry

1. Experience

General

(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 low voltage cubicle switchboard 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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

(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 $1.6M; 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

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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

3.2.2 Skilled Worker

Employ adequate nos. of Qualified Workers in the following trades/trade divisions:

(A) Electrician/ Mechanical Fitter

Minimum score required	40 marks
Skilled Electrician/Mechanical Fitter	20 marks
Semi-skilled Electrician/Mechanical Fitter	15 marks

(B) 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 Qualified Worker.

Direct Entry

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 180 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

6.3 Design

IEC 61439
Applicant to prove that switchboard is designed to the relevant IEC or equivalent standard; A motor control centre alone shall not be acceptable.

6.4 Type test certificates for switchboard as required by IEC 61439-1

- 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.

6.5 Air circuit breakers

Applicant to provide proof of compliance of relevant standards IEC 60947-2.

6.6 Switchfuse/ fuseswitch

Applicant to provide proof of compliance of relevant standards IEC 60947-3.

Direct Entry

6.7 H.R.C. fuses

Applicant to provide proof of compliance of relevant standards IEC 60269 or BS 88.

6.8 Busbars

Applicant to provide proof of compliance of relevant standards e.g. BS EN 13601.

6.9 Permit to use in Government projects

Only those configurations with type tests certificates and materials with poof of compliance with the above standards can be offered for Government projects.

6.10 Authorized Agency

Agreement between principals and applicant, including agreements proving applicant's rights to manufacture, etc. shall be provided.

Managing Department :	**Architectural Services Department**	
Works Category :	**23. 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, gondola system, conveyor system, mechanical storage system, movable boarding facility etc.

Definition of Probationary Status (Para. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 mechanical handling and lifting 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.8M; 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,	**1. Experience** General (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 mechanical handling and lifting 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $0.8M; 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	all shall not be the mechanical handling and lifting installation contractor for the project work. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 $1.6M; 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

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.		(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.)		**2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)**
Statutory Registration		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 "Management and Staff Employment".		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 "Management and Staff Employment".
3. Management and Staff Employment		**3. Management and Staff Employment**
3.1 Top Management (See General Notes (1), Item II)		3.1 Top Management (See General Notes (1), Item II)
At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.		At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.
3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)		3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)
3.2.1 Qualified Engineer		*3.2.1 Qualified Engineer*
Employ at least 1 no. qualified engineer (Mechanical discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.		Employ at least 1 no. qualified engineer (Mechanical discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2.2 Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Mechanical Fitter Minimum score required 20 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A0 – 1 no. (minimum) The REW and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker.		*3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/trade divisions: (A) Mechanical Fitter Minimum score required 20 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A0 – 1 no. (minimum) The REW and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker.

A. Entry on Probation	B. Confirmation	C. Direct Entry
4. Plant and Equipment(See General Notes (4)) 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 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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.		**4. Plant and Equipment**(See General Notes (4)) 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 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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/ lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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 :	**24. Mechanical Plant and Equipment Installation**	**Specialist Contractor**

Group I **:** Contracts/Subcontracts up to HK$1.8M

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. 7.5.3 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 exceeding $1.8 million provided that the total value of Group II works does not exceed $5.5 million

Group I	Group II
A. Entry on Probation	**A. Entry on Probation**
Not Applicable	**1. Experience** General (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 mechanical plant and equipment 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 (See General Notes (2)); and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category".

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 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.)** Statutory Registration 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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

Group I	Group II
	3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Mechanical or Building Services) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) Mechanical Fitter Minimum score required 40 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade A2-1 no. (minimum) The REW and QW can be the Qualified Engineer, Technical Support Staff or the Qualified Worker.

Group I	Group II
	4. Plant and Equipment(See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 70 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreement shall be available. 6.4 Support from Principal 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.

Group I	Group II
B. Confirmation	**B. Confirmation**
Not Applicable	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 (See General Notes (2)); 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) 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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".

Group I	Group II
C. Direct Entry	**C. Direct Entry**
1. Experience General (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 mechanical plant and equipment 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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 50% Group I tender limit (See General Notes (2)); and (b) The contract shall cover the nature of works as described in the "Brief Scope of Category"; and	Not Applicable

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 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. **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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.	

Group I	Group II
3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers with adequate relevant experience in the following trades / trade divisions: (A) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (B) Mechanical Fitter Minimum score required 20 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (C) 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 Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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.	

Group I	Group II
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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreement shall be available. Support from Principal 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 :	**25. Plumbing Installation**	**Specialist Contractor**

Group I **:** Contracts/Subcontracts up to HK$4.6 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. 7.5.3 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 four Group II contracts/ subcontracts provided that the total value of Group II works does not exceed $30 million

Group I	Group II
A. Entry on Probation	**A. Entry on Probation**
Not Applicable	**1. Experience** General (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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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: (a) Contract value of the work related to the category under application for inclusion exceeds 180% of Group I tender limit (See General Notes (2)); and

Group I	Group II
	(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. **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 "Management and Staff Employment" below.

Group I	Group II
	Registration of Registered Plumbing Contractor (Provisional) The applicant shall be a Registered Plumbing Contractor (Provisional) registered under the "Voluntary Scheme in Enhancing Plumbing Works Control" of WSD. Quality Management System Certification 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 DEVB. 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. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. Qualified Engineer (Mechanical, Building Services or Electrical discipline) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Group I	Group II
	3.2.2 Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 4 nos. Draftsman 2 nos. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers to meet the minimum scores of both (A) and (B) below in the following trades/ trades divisions: (A) Plumber Minimum score required 40 marks Skilled Plumber 20 marks Semi-skilled Plumber 15 marks (B) Electrician Minimum score required 40 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) 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 Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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.

Group I	Group II
	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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.

Group I	Group II
B. Confirmation	**B. Confirmation**
Not Applicable	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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(See General Notes (2)); 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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".

Group I	Group II
C. Direct Entry	**C. Direct Entry**
1. Experience General (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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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: (a) Contract value of the work related to the category under application for inclusion exceeds 50% Group I tender limit (See General Notes (2)); and	Not Applicable

Group I	Group II
(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 "Management and Staff Employment" below. <u>Registration of Registered Plumbing Contractor (Provisional)</u> The applicant shall be a Registered Plumbing Contractor (Provisional) registered under the "Voluntary Scheme in Enhancing Plumbing Works Control" of WSD.	Not Applicable

Group I	Group II
3. Management and Staff Employment 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers with adequate relevant experience to meet the minimum scores of both (A) and (B) below in the following trades: (A) Plumber Minimum score required 20 marks Skilled Plumber 20 marks Semi-skilled Plumber 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) 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 Qualified Worker.	Not Applicable

Group I	Group II
4. Plant and Equipment(See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 15 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be provided. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.	

Managing Department :	**Highways Department**	
Works Category : **Class I :**	**26. Prestressed Concrete Works for Highway Structures** **Supply and Installation of Prestressing Systems**	**Supplier / Specialist Contractor**

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. 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 $1.7M 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff possessing suitable professional qualification (HKIE Corporate Member or equivalent) experienced in the design of prestressed concrete bridges and the installation of prestressing systems is required.

b. At least two technical staff at supervisory level experienced in the installation of prestressing systems are required.

c. Local workforce capable of installing prestressing systems: At least 3 registered skilled workers of trade division “Prestressing Operative” in the trade “Prestressing Operative” under the Construction Workers Registration Ordinance are required. Copy of valid construction workers registration cards shall be submitted.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

4. Plant and Equipment(See General Notes (4))

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

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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.

7.4 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.

7.5 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class II :**	**26. Prestressed Concrete Works for Highway Structures** **Supply of Prestressed Concrete Units**	**Supplier / Specialist Contractor**

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 $3.4M 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff possessing suitable professional qualifications (HKIE Corporate Member or equivalent) experienced in the design of prestressed concrete bridges and the installation of prestressing systems is required.

b. At least two technical staff at supervisory level experienced in the installation of prestressing systems are required.

c. Workforce experienced in precast and prestressed concrete works. At least 3 registered skilled workers of trade division “Prestressing Operative” in the trade “Prestressing Operative” under the Construction Workers Registration Ordinance are required. Copy of valid construction workers registration cards shall be submitted.

All the named Technical Staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

4. Plant and Equipment(See General Notes (4))

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.

Direct Entry

5. 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.

6. Training Facilities

Not Applicable

7. Others

7.1 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.2 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.

7.3 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.

7.4 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Architectural Services Department**	
Works Category :	**27. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 radio electronics 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.3M; 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. Experience** General (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 radio electronics 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $0.3M; 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	Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 $0.8M; 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

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.		(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. Management and Staff Employment		**2. Management and Staff Employment**
2.1 Top Management (See General Notes (1), Item II)		2.1 Top Management (See General Notes (1), Item II)
At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.		At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.
2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)		2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)
2.2.1 Technical Support Staff		*2.2.1 Technical Support Staff*
Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.		Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.
Technician 1 no. Site supervisor 1 no. Draftsman 1 no.		Technician 1 no. Site supervisor 1 no. Draftsman 1 no.
2.2.2 Qualified Worker		*2.2.2 Qualified Worker*
Employ adequate nos. of Qualified Workers in the following trades/trade divisions:		Employ adequate nos. of Qualified Workers in the following trades/trade divisions:
Electronic Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks		Electronic Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks

A. Entry on Probation	B. Confirmation	C. Direct Entry
3. Plant and Equipment(See General Notes (4)) 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. **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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **5. Others** 5.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 5.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 5.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 5.4 Support from Principal 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.		**3. Plant and Equipment**(See General Notes (4)) 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. **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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **5. Others** 5.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 5.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 5.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 5.4 Support from Principal 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 :	**28. 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. Experience

(i) At least 3 examples of relevant works carried out in Hong Kong within the past 5 years
(ii) 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 Repair and Restoration of Historic Buildings 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.)

Not Applicable

3. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

Adequate standard of administration and 1 no. of full time site foreman with more than 3 years of relevant conservation working experience and training. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirements.

3.2 Technical Staff

Specialist skilled workers with adequate qualification and skill in timber carvings, decorative plasterworks, decorative painting and artworks.

4. Plant and Equipment(See General Notes (4))

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

5. Office/Workshop Facilities

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

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.
7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Highways Department**	
Works Category :	**29. 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

Contractors included in the "Road Marking Category" but have not yet achieved confirmation status. 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.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. 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. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) At least one member of the top management shall have a minimum experience with five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Technical staff and work force experienced in road marking works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff. **4. Plant and Equipment(See General Notes (4))** Adequate equipment required for thermoplastic road markings : a. Screeding machine. b. Grinding machine. c. Twin preheater.	The requirements are the same as those required for "Direct Entry" except that item 7.4 is not required.	**1. 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. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) At least one member of top management shall have a minimum experience with five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Technical staff and work force experienced in road marking works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff. **4. Plant and Equipment(See General Notes (4))** Adequate equipment required for thermoplastic road markings : a. Screeding machine. b. Grinding machine. c. Twin preheater.

A. Entry on Probation	B. Confirmation	C. Direct Entry
5. Office/Workshop Facilities Not Applicable **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 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. 7.4 Satisfactory site demonstration on laying various types of road marking materials to demonstrate that the laying techniques and workmanship comply with the specified requirements. For detailed requirements of the site demonstration, please refer to the "Guidelines for Applicants in Completing the Questionnaire for Pre-application Vetting" (Guidelines) for application for inclusion in the "Road Marking" Category of the Specialist List. 7.5 Applicants are required to complete a standard questionnaire "Application for Inclusion in the List – Questionnaire for Pre-application Vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. The Questionnaire and the Guidelines can be obtained from the website of Highways Department, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines. 7.6 Other additional requirements shall be referred to the Guidelines and the Questionnaire.		**5. Office/Workshop Facilities** Not Applicable **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 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. 7.4 Satisfactory site demonstration on laying various types of road marking materials to demonstrate that the laying techniques and workmanship comply with the specified requirements. For detailed requirements of the site demonstration, please refer to the "Guidelines for Applicants in Completing the Questionnaire for Pre-application Vetting" (Guidelines) for application for inclusion in the "Road Marking" Category of the Specialist List. 7.5 Applicants are required to complete a standard questionnaire "Application for Inclusion in the List – Questionnaire for Pre-application Vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. The Questionnaire and the Guidelines can be obtained from the website of Highways Department, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines. 7.6 Other additional requirements shall be referred to the Guidelines and the Questionnaire.

Managing Department :	**Civil Engineering and Development Department**	
Works Category :	**30. 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. 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

All management staff below shall satisfy the minimum qualifications and experience 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 in Option A or B for Signatories as set out in 3(c) 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 in Option A, B or C for Signatories as set out in 3(c) 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
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:

Option A
Satisfied in full the academic requirements for Corporate Membership of the Hong Kong Institution of Engineers (HKIE) (Civil or Geotechnical Discipline), 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.

Direct Entry

Option B
Obtained an Ordinary Certificate in Civil Engineering from a Hong Kong Polytechnic/Polytechnic University or Hong Kong Institute of Vocational Education/technical college/technical institute, or Diploma in Civil Engineering or Testing & Certification at Hong Kong Qualifications Framework (HKQF) Level 3 or above, or equivalent approved by the 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
Have Level 2 or above in five New Senior Secondary (NSS) subjects including Physics, Compulsory Part in Mathematics and English Language in the Hong Kong Diploma of Secondary Education Examination (HKDSEE)[Note (1)], or equivalent approved by the Government[Notes (2) & (3)], 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.

Notes:
(1) "Attained" in Applied Learning subjects (subject to a maximum of two Applied Learning subjects), and Grade E in Other Language subjects in the HKDSEE are accepted as equivalent to Level 2 in the New Senior Secondary subjects in the HKDSEE.
(2) Grade E or Level 2 in subjects other than English Language (see Note (3)) in HKCEE are accepted administratively comparable to Level 2 in NSS subjects in HKDSEE.
(3) Results/qualifications deemed to be equivalent to Level 2 in English Language in HKDSEE may include:
  (i) Level 2 in English Language in the 2007 HKCEE and henceforth;
  (ii) Grade E in English Language (Syllabus B) or Grade C in English Language (Syllabus A) in the HKCEE before 2007;
  (iii) Grade D in English Language in International General Certificate of Secondary Education [IGCSE] or UK General Certificate of Secondary Education [GCSE] or General Certificate of Education 'Ordinary' Level [GCE O Level];
  (iv) Grade E in English Language in Hong Kong Higher Level Examination or General Certificate of Education 'Advanced Subsidiary' Level [GCE AS Level];
  (v) Foundation Diploma or Foundation Diploma (Level 3) commencing 2013 awarded by Vocational Training Council; and
  (vi) Full Project Springboard/Project Yi Jin certificate or Yi Jin Diploma commencing 2013.

Quality Manager, Laboratory Manager and the Signatories shall comply with the continuous capability building requirement as detailed in General Notes (1), Item II in this Appendix. Apart from the minimum hours required for safety and integrity related events, the remaining event(s) shall be related to soil and rock laboratory testing.

3.2 Technical Staff

All technical staff below shall satisfy the minimum qualifications, training and experience 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, training and experience requirements given in either Option 1, 2, 3 or 4 below:

Option 1
Be a qualified Laboratory Technician satisfying the minimum qualification and training requirements in Option 1 for Laboratory Technicians 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.

Direct Entry

Option 2
Be a qualified Laboratory Technician satisfying the minimum qualification and training requirements in Option 2 for Laboratory Technicians 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.

Option 3
Be a qualified Laboratory Technician satisfying the minimum qualification and training requirements in Option 3 for Laboratory Technicians as defined in 4(b) below with attainment of additional relevant Units of Competency (UoC) 105767L5, 105894L4, 105960L5 and 105969L4, 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.

Option 4
Be a qualified Laboratory Technician satisfying the minimum qualification and training requirements in Option 4 for Laboratory Technicians 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.

Senior Laboratory Technician shall comply with the continuous capability building requirement as detailed in General Notes (1), Item III in this Appendix. Apart from the minimum hours required for safety and integrity related events, the remaining event(s) shall be related to soil and rock laboratory testing.

(b) Laboratory Technicians
The persons shall satisfy the minimum qualification, training and experience requirements given under Option 1, 2, 3 or 4 below:

Option 1
Obtained an Ordinary Certificate in Civil Engineering from a Hong Kong Polytechnic/Polytechnic University or Hong Kong Institute of Vocational Education/technical college/technical institute, or Diploma in Civil Engineering or Testing & Certification at Hong Kong Qualifications Framework (HKQF) Level 3 or above, or equivalent approved by the 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
Have Level 2 or above in five New Senior Secondary (NSS) subjects including Physics, Compulsory Part in Mathematics and English Language in the Hong Kong Diploma of Secondary Education Examination (HKDSEE)[Note (1)], or equivalent approved by the Government[Notes (2) & (3)], 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, have Level 2 or above in English Language in the Hong Kong Diploma of Secondary Education Examination (HKDSEE), or equivalent approved by the Government[Note (3)] and attainment of Hong Kong Qualifications Framework (HKQF) Level 3 competency or above in relevant areas including relevant Units of Competency (UoC) 105834L5, 105835L4, 105845L3, 105873L3, 105961L4 and 105973L3, 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 4

Be a qualified Laboratory Assistant as defined in 4(c) below, have Level 2 or above in English Language in the Hong Kong Diploma of Secondary Education Examination (HKDSEE), or equivalent approved by the Government [Note (3)], 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.

Direct Entry

(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.

Notes:

(1) "Attained" in Applied Learning subjects (subject to a maximum of two Applied Learning subjects), and Grade E in Other Language subjects in the HKDSEE are accepted as equivalent to Level 2 in the New Senior Secondary subjects in the HKDSEE.
(2) Grade E or Level 2 in subjects other than English Language (see Note (3)) in HKCEE are accepted administratively comparable to Level 2 in NSS subjects in HKDSEE.
(3) Results/qualifications deemed to be equivalent to Level 2 in English Language in HKDSEE may include:
  (i) Level 2 in English Language in the 2007 HKCEE and henceforth;
  (ii) Grade E in English Language (Syllabus B) or Grade C in English Language (Syllabus A) in the HKCEE before 2007;
  (iii) Grade D in English Language in International General Certificate of Secondary Education [IGCSE] or UK General Certificate of Secondary Education [GCSE] or General Certificate of Education 'Ordinary' Level [GCE O Level];
  (iv) Grade E in English Language in Hong Kong Higher Level Examination or General Certificate of Education 'Advanced Subsidiary' Level [GCE AS Level];
  (v) Foundation Diploma or Foundation Diploma (Level 3) commencing 2013 awarded by Vocational Training Council; and
  (vi) Full Project Springboard/Project Yi Jin certificate or Yi Jin Diploma commencing 2013.

4. Plant and Equipment (See General Notes (4))

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.)

5. 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.

6. Training Facilities

Training records/competence log on technical staff are required.

7. Others

7.1 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.2 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.

Direct Entry

7.3 When applying to enter the Specialist 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.

7.4 On acceptance on the Specialist 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.

7.5 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 :	**Highways Department**	
Works Category : **Class II :**	**31. Specialized Operations for Highway Structures** **Waterproofing of Concrete Surfaces**	**Specialist Contractor**

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. 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 $0.34 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. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

Local skilled workforce in waterproofing works. At least 2 registered skilled workers of trade division “Waterproofing Worker (Master)” in the trade “Waterproofing Worker” under the Construction Workers Registration Ordinance are required. Copy of valid construction workers registration cards shall be submitted.

The named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted.

4. Plant and Equipment (See General Notes (4))

Equipment specified by the manufacturer of the proprietary waterproofing material.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 Satisfactory technical information and method statements.

Direct Entry

7.4 Satisfactory site demonstrations.

7.5 Works must comply with Section 20: Part 1 of the General Specification for Civil Engineering Works.

7.6 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class III :**	**31. Specialized Operations for Highway Structures** **Repair of Cracked Concrete by Resin Injection**	**Specialist Contractor**

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. 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 $25,000 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

Local workforce skilled in repair of concrete structures by resin injection.

The named registered skilled workers shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted.

4. Plant and Equipment(See General Notes (4))

a. Resin injection pump with pressure control.
b. Mechanical mixer for resin.
c. Air compressor.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 Satisfactory technical information and method statements.

Direct Entry

7.4 Satisfactory site demonstrations.

7.5 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class IV :**	**31. Specialized Operations for Highway Structures** **Non-destructive Testing of Welds**	**Specialist Contractor**

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. 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 $ 0.17 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

At least two professional and technical staff possessing relevant qualifications in non-destructive testing of welds are required.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment(See General Notes (4))

a. Penetrant (dye and fluorescent) flaw detection.
b. Magnetic particle flaw detection.
c. Radiological flaw detection, including dark room facilities.
d. Ultrasonic flaw detection.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

Direct Entry

7.3 Satisfactory technical information, method statements and fully documented quality assurance system.

7.4 Satisfactory site demonstrations.

7.5 Works must comply with Section 18 of the General Specification for Civil Engineering Works.

7.6 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class V :**	**31. Specialized Operations for Highway Structures** **Hot Dip Galvanising**	**Specialist Contractor**

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. 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 $0.34 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

At least two technical staff at supervisory level possessing relevant qualifications and experience in hot dip galvanizing of structural steelworks are required.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment(See General Notes (4))

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.

5. Office/Workshop Facilities

Local office in Hong Kong is required. The applicant must possess a galvanising facility with the equipment listed above.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 Satisfactory technical information, method statements and fully documented quality assurance system.

7.4 Satisfactory demonstrations.

7.5 Works must comply with Section 18 of the General Specification for Civil Engineering Works.

7.6 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Architectural Services Department**	
Works Category :	**32. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 steam and compressed air 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 responsibility 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 as stipulated in the guidance notes of the application must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.8M; 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,	**1. Experience** General (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 steam and compressed air 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $0.8M; 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	all shall not be the steam and compressed air installation contractor for the project work. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	(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 $1.6M; 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

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.		(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.)		**2. Registration with relevant authorities in Hong Kong (such as Quality Management System Certification, Building Authority etc.)**
Statutory Registration		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 "Management and Staff Employment".		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 "Management and Staff Employment".
3. Management and Staff Employment		**3. Top Management and Staff Employment**
3.1 Top Management (See General Notes (1), Item II)		3.1 Top Management (See General Notes (1), Item II)
At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.		At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.
3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)		3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)
3.2.1 Qualified Engineer		*3.2.1 Qualified Engineer*
Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.		Employ at least 1 no. qualified engineer (Mechanical or Building Services discipline) with adequate and relevant project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2.2 Technical Support Staff Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/trade divisions: (A) Mechanical Fitter Minimum score required 20 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) 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 Qualified Worker.		*3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no. *3.2.3 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/trade divisions: (A) Mechanical Fitter Minimum score required 20 marks Skilled Mechanical Fitter 20 marks Semi-skilled Mechanical Fitter 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) 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 Qualified Worker.

A. Entry on Probation	B. Confirmation	C. Direct Entry
4. Plant and Equipment(See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.		**4. Plant and Equipment**(See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to Item I of General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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 :	**33. 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. 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 $0.8 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. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing a construction firm obtained in the past eight years. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff experienced in the design, fabrication and erection of structural steelworks.

b. At least two technical staff at supervisory level experienced in the fabrication and erection of structural steelworks.

c. Local workforce for erection of steelwork. The following skilled workers are required –
   - at least 3 registered skilled workers of trade division "Metal-steel Worker (Master)" or "Structural Steel Erector" in the trade "Metal-steel Worker" under the Construction Workers Registration Ordinance; and
   - at least 3 qualified welders to BS 4570, BS EN 287-1 or BS 4872:Part 1 as appropriate

Copy of valid construction workers registration cards and/or welder certificates shall be submitted. All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment (See General Notes (4))

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.

Direct Entry

n. Oven/cabinet with drying facilities for storing electrodes.

5. Office/ Workshop Facilities

Local office in Hong Kong is required. The applicant must possess a fabrication yard with the equipment listed above. The applicant may be required to arrange for a visit to the fabrication yard.

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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.

7.4 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class I :**	**34. Supply and Installation of Bearings for Highway Structures** **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. 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff experienced in bridge design and installation of bearings is required.

b. At least two technical staff at supervisory level experienced in installation of bearings are required.

c. Local workforce capable of installing the bearing. A mock-up installation may be required.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment(See General Notes (4))

a. Equipment required for the installation of the bearing as specified by the manufacturer.
b. Mechanical grout mixer.
c. Mechanical grout pump.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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 Chapter 8 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.

7.4 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.

7.5 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category : **Class II :**	**34. Supply and Installation of Bearings for Highway Structures** **Elastomeric Bearings**	**Specialist Contractor**

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. 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff experienced in bridge design and installation of bearings is required.

b. At least two technical staff at supervisory level experienced in installation of bearings are required.

c. Local workforce capable of installing the bearing. A mock-up installation may be required.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment(See General Notes (4))

a. Equipment required for the installation of the bearing as specified by the manufacturer.
b. Mechanical grout mixer.
c. Mechanical grout pump.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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 Chapter 8 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.

7.4 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.

7.5 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Highways Department**	
Works Category :	**35. 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. 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant professional and management experience is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

a. At least one professional staff experienced in bridge design and installation of expansion joints is required.

b. At least two technical staff at supervisory level experienced in installation of expansion joints are required.

c. Local workforce capable of installing the expansion joint. A mock-up installation may be required.

All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

4. Plant and Equipment(See General Notes (4))

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.

5. Office/Workshop Facilities

Local office in Hong Kong is required.

Direct Entry

6. Training Facilities

Not Applicable

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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 Chapter 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.

7.4 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.

7.5 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines.

Managing Department :	**Water Supplies Department**	
Works Category :	**36. 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.

Direct Entry

1. Experience

Possess at least five years experience in the supply and installation of large pumping plant (with an input power requirement of 500kW and over for each pumpset), either in the capacity of a contractor or sub-contractor in private sector or Government contracts.

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

Not Applicable

3. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

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. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

Supervisory Grade

Minimum of three qualified technical and supervisory persons who possess minimum qualification of Higher Certificate in Mechanical Engineering or equivalent with at least five years relevant experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

Worker Grade

At least ten workers shall be registered in accordance with Construction Workers Registration Ordinance:
(a) Minimum three workers shall register under “Plant and Equipment Mechanic” Trade, with at least one Registered Skilled Worker; and
(b) Minimum three workers shall register under “Electrician” Trade, with at least one Registered Skilled Worker.

4. Plant and Equipment(See General Notes (4))

Not Applicable

5. Office/Workshop facilities

A workshop in Hong Kong furnished with the necessary tools, specialised equipment and other supporting facilities.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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 :	**37. 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.

Direct Entry

1. 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. Management and Staff Employment

Top Management(See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing a construction firm. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

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.

4. Plant and Equipment(See General Notes (4))

Not Applicable

5. Office/Workshop Facilities

The applicant should have local supporting workshop facilities and allow inspection of such facilities by Government representatives.

6. Training Facilities

Not Applicable

Direct Entry

7. Others

7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix.

7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.3 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.

Managing Department :	**Highways Department**	
Works Category :	**38. 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.

Definition of Probationary Status

Contractors included in this category but have not yet achieved confirmation status. When the probationary contractor has satisfactorily completed the relevant works as prescribed in details under the confirmation criteria, the probationary contractor can apply for the confirmation status. The probationary contractor will be assessed on the basis of capability and its performance in executing projects to determine whether the contractor is eligible to be confirmed or remains as a probationary contractor to be recommended in the assessment.

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. 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) shall 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. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) At least one member of the top management shall have a minimum experience with five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Professional, technical staff and work force experienced in the supply of bituminous pavement materials and construction of special bituminous surfacing. Work force shall include 2 to 3 nos. of skilled workers or semi-skilled workers in the following trade under the Construction Workers Registration Ordinance: Asphalter (Road Construction) Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.	Requirements are the same as those required for "Direct Entry" except that item 7.5 is not required.	**1. Experience** 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) shall 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. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) At least one member of the top management shall have a minimum experience with five years, out of which three years shall be local experience, in managing a construction firm obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff Professional, technical staff and work force experienced in the supply of bituminous pavement materials and construction of special bituminous surfacing. Work force shall include 2 to 3 nos. of skilled workers or semi-skilled workers in the following trade under the Construction Workers Registration Ordinance: Asphalter (Road Construction) Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement for supervisory grade technical staff.

A. Entry on Probation	B. Confirmation	C. Direct Entry
4. Plant and Equipment(See General Notes (4)) 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. (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.		**4. Plant and Equipment**(See General Notes (4)) 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. (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.

A. Entry on Probation	B. Confirmation	C. Direct Entry
5. Office/Workshop Facilities Not Applicable **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Satisfactory technical information and method statements. Works including the design mix and details of composition of the materials shall 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. 7.4 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 or outside Hong Kong or where it is not practical to carry out an inspection, the applicant may be required to arrange for and provide an independent report to Managing Department on these aspects at his own cost. 7.5 Satisfactory site demonstration in construction of special bituminous surfacing to demonstrate that the techniques and workmanship comply with the specified requirements. 7.6 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. 7.7 The applicant shall also meet the environmental requirements of Environmental Protection Department		**5. Office/Workshop Facilities** Not Applicable **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Satisfactory technical information and method statements. Works including the design mix and details of composition of the materials shall 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 7.4 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 or outside Hong Kong or where it is not practical to carry out an inspection, the applicant may be required to arrange for and provide an independent report to Managing Department on these aspects at his own cost. 7.5 Satisfactory site demonstration in construction of special bituminous surfacing to demonstrate that the techniques and workmanship comply with the specified requirements. 7.6 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. 7.7 The applicant shall also meet the environmental requirements of Environmental Protection Department

A. Entry on Probation	B. Confirmation	C. Direct Entry
for the production of bituminous materials. 7.8 Applicants are required to complete a standard questionnaire "Application for Inclusion in the List – Questionnaire for Pre-application Vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. The Questionnaire and "Guidelines for Applicants in Completing the Questionnaire for Pre-application Vetting" (Guidelines) can be obtained from the website of Highways Department, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines. 7.9 Other additional requirements shall be referred to the Guidelines and the Questionnaire.		for the production of bituminous materials. 7.8 Applicants are required to complete a standard questionnaire "Application for Inclusion in the List – Questionnaire for Pre-application Vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. The Questionnaire and "Guidelines for Applicants in Completing the Questionnaire for Pre-application Vetting" (Guidelines) can be obtained from the website of Highways Department, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html. The "pre-application vetting mechanism" stated in paragraph 3.3.4 in this Handbook is applicable to this category with details stated in the Guidelines. 7.9 Other additional requirements shall be referred to the Guidelines and the Questionnaire.

Managing Department :	**Architectural Services Department**	
Works Category :	**39. 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.

Direct Entry

1. Experience

General

(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 survey of lifting appliances and lifting gear; 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 in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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".

2. Management and Staff Employment

2.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

2.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

2.2.1 Technical Support Staff

(A) Employ adequate nos. of inspectors with adequate and relevant academic qualification and working experience.

(B) 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.

Direct Entry

3. Plant and Equipment (See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 20 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

5. Others

5.1 Integrity

Please refer to General Notes (1), Item V in this Appendix.

Managing Department :	**Architectural Services Department**	
Works Category :	**40. 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. 7.5.3 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 $55 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 swimming pool water treatment 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least one relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $8M; 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	Not Applicable.

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $16M; 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 and other sources or confirmation on the authenticity of the proof provided by the applicant from the relevant parties of the concerned project.	(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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	

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.) 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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Qualified Engineer* Employ at least 1 no. qualified engineer (Mechanical and Building Services discipline) with adequate and relevant professional and project management experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. *3.2.2 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 2 nos. Site supervisor 2 nos. Draftsman 1 no.		

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2.3 Qualified Worker Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Plumber Minimum score required 20 marks Skilled Plumber 20 marks Semi-skilled Plumber 15 marks (B) Electrician Minimum score required 20 marks Skilled Electrician 20 marks Semi-skilled Electrician 15 marks (C) Welder Qualified Welder (QW) 1 no. (D) Staff meeting the following statutory registration requirements: - Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade B2 – 1 no. (minimum) - Licensed Plumber (LP) registered under Waterworks Ordinance, Cap. 102 – 1 no. (minimum) The LP, REW and QW can be the Qualified Engineer, Technical Support Staff or Qualified Worker. **4. Plant and Equipment** **(See General Notes (4))** 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 32** for list of typical equipment/tools and testing instruments required.		

A. Entry on Probation	B. Confirmation	C. Direct Entry
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 m^2 and the minimum workshop + storage area shall be 30 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced. **6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix.		

Managing Department :	**Highways Department**	
Works Category :	**41. Transparent Panels for Noise Barriers on Highways**	**Supplier**

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. Experience

The transparent panels shall have successfully performed in at least 1 project for noise barriers on highways or similar works in the past 3 years, each with a value of $0.8M 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. Management and Staff Employment

3.1 Top Management(See General Notes (1), Item II)

At least one top management with one year of relevant technical and managerial experience in the design and construction of noise barriers on highways is required. Documentary proof shall be submitted to demonstrate sufficient commitment for control of the works. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff

Professional and technical staff experienced in the design and construction of noise barriers on highways are required. All the named technical staff shall be under full time employment. Proof of valid employment, e.g., employment contracts, MPF records, etc. shall be submitted. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

4. Plant and Equipment(See General Notes (4))

Not Applicable

5. Office/Workshop Facilities

Local office in Hong Kong is required.

6. Training Facilities

Not Applicable

7. Others

7.1 Integrity: Please refer to General Notes (1), Item V in this Appendix.

7.2 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 international standards.

Direct Entry

7.3 The materials to be approved shall possess acceptable application history of at least 5 years in weather conditions similar to Hong Kong climate, and be subject to a 10-year performance warranty.

7.4 Applicants will be required to complete a standard questionnaire entitled "Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Questionnaire) and submit/ supplement all the necessary supporting documents in the application for inclusion into the category. In completing the questionnaire, reference can be made to the "Guidelines for Applicants in Completing the Questionnaire for Application for Inclusion in the List / Pre-application vetting" (Guidelines). The Questionnaire and the Guidelines can be obtained from the website, https://www.hyd.gov.hk/en/service_enquiries/public_forms/index.html.

Note: The Bridges & Structures Division Practice Note No. BSTR/PN/003 referred to in item 7.2 above is available on Highways Department's website at http://www.hyd.gov.hk.

Managing Department :	**Architectural Services Department**	
Works Category :	**42. Turn-key Interior Design and 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. Experience General (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 Turn-key Interior Design & Fitting-out Works; 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (4) The applicant shall submit at least 3 contracts with contract value of the works related to Turn-key Interior Design & Fitting-out Works in each contract exceeded $8M and were completed within the past 5 years for site inspection. Besides, one of the contract in the submission shall have a contract value of the works related to the Turn-key Interior Design & Fitting-out Works exceeded $24M; and (5) At least one of the above 3 contracts shall be completed within the past 12 months or at final stage; and (6) These 3 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 works for the submitted contracts shall cover major scope of works in the Turn-key Interior Design & Fitting-out Works; and	Not Applicable

Group I	Group II
A. Direct Entry	**A. Direct Entry**
(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 Turn-key Interior Design & Fitting-out Works 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.)** The applicant must be an approved contractor under Buildings category in the List of Approved Contractors for Public Works. **3. Management and Staff Employment** 3.1 Top Management(See General Notes (1), Item II) Not Applicable	

Group I	Group II
A. Direct Entry	**A. Direct Entry**
3.2 Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four full time site supervisory staffs in both building and building services/ electrical and mechanical discipline each with at least five years' experience in construction industry. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. **4. Plant and Equipment**(See General Notes (4)) Not Applicable **5. Office/Workshop Facilities** A design office and workshop suitable for the nature of work. Local office and local workshop in Hong Kong are required. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Supporting facilities from suppliers/manufacturers/agents 7.4 Regular subcontractors	

Group I	Group II
	B. Entry by Promotion
	1. Experience (1) Satisfactory completion of the Trade Test (satisfactory completion of at least one relevant contract executed in HKSAR or 1st tier sub-contract under this Works Category within the past 5 years, after inclusion in Group I, and of value above $16M) 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; 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 aforementioned main contractor shall not be the Turn-key Interior Design & Fitting-out Works 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 signatories to confirm that the applicant has met the above requirements in the sub-contract; 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.)** The applicant must be an approved contractor under Buildings category in the List of Approved Contractors for Public Works.

Group I	Group II
	B. Entry by Promotion
	3. Management and Staff Employment 3.1 Top Management(See General Notes (1), Item II) Not Applicable 3.2 Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four full time site supervisory staffs in both building and building services / electrical and mechanical discipline each with at least five years' experience in construction industry. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. **4. Plant and Equipment(See General Notes (4))** Not Applicable **5. Office/Workshop Facilities** A design office and workshop suitable for the nature of work. Local office and local workshop in Hong Kong are required. **6. Training Facilities** Not Applicable **7. Others** 7.1 Safety: Please refer to General Notes (1), Item IV in this Appendix. 7.2 Integrity: Please refer to General Notes (1), Item V in this Appendix. 7.3 Supporting facilities from suppliers/ manufacturers/agents 7.4 Regular subcontractors

Managing Department :	**Architectural Services Department**	
Works Category :	**43. 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.

Direct Entry

1. Experience

General

(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 uninterruptible power supply 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference.

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)

(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 $0.8M; 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

Direct Entry

(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.)

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 "Management and Staff Employment".

3. Management and Staff Employment

3.1 Top Management (See General Notes (1), Item II)

At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement.

3.2 Technical Staff (See Annex 1 for definition of Staff Qualification)

3.2.1 Technical Support Staff

Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement.

Technician	1 no.
Site supervisor	1 no.
Draftsman	1 no.

3.2.2 Qualified Worker

Employ adequate nos. of Qualified Workers in the following trades/trade divisions:

(A) Electronic Equipment Mechanic (Construction Work)

Minimum score required	40 marks
Skilled Electronic Equipment Mechanic (Construction Work)	20 marks
Semi-skilled Electronic Equipment Mechanic (Construction Work)	15 marks

(B) Staff meeting the following statutory registration requirements:

- Registered Electrical Worker (REW) registered under Electricity Ordinance, Cap. 406. Grade C2 – 1 no. (minimum)

The REW can be the Technical Support Staff or Qualified Worker.

Direct Entry

4. Plant and Equipment(See General Notes (4))

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 m^2 and the minimum workshop + storage area shall be 40 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

6. Others

6.1 Safety

Please refer to General Notes (1), Item IV in this Appendix.

6.2 Integrity

Please refer to General Notes (1), Item V in this Appendix.

6.3 Authorized Agency
Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available.

6.4 Support from Principal
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 :	**44. 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. 7.5.3 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 $5.5 million

A. Entry on Probation	B. Confirmation	C. Direct Entry
1. Experience General (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 video electronics 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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	**1. Experience** (1) The applicant has satisfactorily completed, within the past 12 months, at least relevant contract executed in HKSAR that satisfies the criteria stipulated in General Notes (3), awarded after inclusion in the category on probation; 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 $0.3M; 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. Apart from the above experience requirement, other criteria should be the same as that required for "A. Entry on Probation".	**1. Experience** General (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 video electronics 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 responsibility 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 as stipulated in the guidance notes of the application form must also be produced to the satisfaction of the DEVB; otherwise, it will not be considered as a valid job reference. 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) (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

A. Entry on Probation	B. Confirmation	C. Direct Entry
(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 $0.3M; 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		(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 $0.8M; 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

A. Entry on Probation	B. Confirmation	C. Direct Entry
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 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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 1 no. Site supervisor 1 no. Draftsman 1 no.		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 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 "Management and Staff Employment". **3. Management and Staff Employment** 3.1 Top Management (See General Notes (1), Item II) At least one member of the top management shall have a minimum experience of 5 years, out of which 3 years shall be local experience, in managing an electrical or mechanical engineering services company obtained in the past eight years. Please refer to General Notes (1), Item II in this Appendix in respect of continuous capability building requirement. 3.2 Technical Staff (See Annex 1 for definition of Staff Qualification) *3.2.1 Technical Support Staff* Employ adequate nos. of technicians, site supervisors and draftsmen with adequate and relevant academic qualification and working experience. Please refer to General Notes (1), Item III in this Appendix in respect of continuous capability building requirement. Technician 1 no. Site supervisor 1 no. Draftsman 1 no.

A. Entry on Probation	B. Confirmation	C. Direct Entry
3.2.2 Qualified Worker Employ adequate nos. Qualified Workers in the following trades/ trade divisions: (A) Electronic Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks (B) 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) The SP can be the Technical Support Staff or Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.		*3.2.2 Qualified Worker* Employ adequate nos. of Qualified Workers in the following trades/ trade divisions: (A) Electronics Equipment Mechanic (Construction Work) Minimum score required 40 marks Skilled Electronics Equipment Mechanic (Construction Work) 20 marks Semi-skilled Electronics Equipment Mechanic (Construction Work) 15 marks (B) 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) The SP can be the Technical Support Staff or Qualified Worker. **4. Plant and Equipment** (See General Notes (4)) 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 m^2 and the minimum workshop + storage area shall be 25 m^2. Documentary evidence (e.g. purchase/lease agreement) to prove right of use shall be produced.

A. Entry on Probation	B. Confirmation	C. Direct Entry
6. Others 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V of General Note in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.		**6. Others** 6.1 Safety Please refer to General Notes (1), Item IV in this Appendix. 6.2 Integrity Please refer to General Notes (1), Item V in this Appendix. 6.3 Authorized Agency Preferably be an authorized agent in HKSAR for essential equipment. Documentary evidence such as authorized agency agreements shall be available. 6.4 Support from Principal 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.

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
- Plumbing Installation
- Radio Electronics Installation
- Steam and Compressed Air Installation
- 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[1] 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.

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. Qualified Workers shall refer to registered skilled workers or registered semi-skilled workers in the appropriate trades/trade divisions enlisted under Schedule 1 of Construction Workers Registration Ordinance, or staff meeting statutory requirements, or Qualified Welder as defined in paragraph 7 below.

[1] "Full-time" employment means employment under a "continuous contract" as defined by the EO. According to the Ordinance, an employee is regarded as being employed under a continuous contract if he or she works continuously for the same employer for four weeks or more, with at least 18 hours in each week.

6. The policy on the employment of registered skilled workers and registered semi-skilled workers in public works contracts has been set out in DEVB TC(W) No. 4/2017 – Employment of Skilled Workers in Public Works Contracts and its subsequent revisions which shall prevail in case of deviations.

7. Qualified welder means a registered skilled worker of trade division “General Welder” under the trade "Welder” under the Construction Workers Registration Ordinance.

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	Sound level meter to BSEN 61672 (2013)
Hydraulic pump with pressure gauges	1	2	
Digital hot wire anemometer	1	2	
Digital vane type anemometer	1	2	
Flow measuring hood	1	2	
Welding equipment	1	2	
Portable threading machine	1	2	
Drilling machine	1	2	
Manometers	1	2	Electronic direct reading manometer
Tachometer	1	2	
Smoke generator	1	2	
Dial gauges	1	2	With appropriate scales
Refrigerant leakage tester	1	1	
Digital thermometer #	1	2	
Digital humidity meter #	1	2	
Multi-tester (AVO)	1	2	
Insulation tester	1	2	
Clamp-on ammeter	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 testing instrument is in doubt

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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
Welding equipment	1	
Multi-tester (AVO)	1	
Insulation tester	1	
Temperature gauge	1	
Hydraulic pump with pressure gauge	1	
Detect gas leakage gauge	1	
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	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 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-tester (AVO)	2	
Clamp-on ammeter	2	
Sound level meter	2	
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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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	
Portable threading machine	1	
Bending machine	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	
Sound level meter	1	

Item of Assessment	Minimum Requirements	Remarks
Paint thickness gauge	1	
Portable air flow meter	1	
Earth loop impedance tester #	1	
Earth resistance tester #	1	
Insulation tester #	1	500 V D.C. injection voltage
Multi-tester (AVO)	2	
Clamp-on ammeter	2	
Voltmeter #	2	
Conduit bender	1	
Conduit cutter	1	
Continuity tester #	1	
RCD tester #	1	
Phase sequence tester	1	
Lux 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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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	
Manual conduit threading tool	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	
Electric hammer drill	1	2	3	
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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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 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)	1	1	
Hydraulic pump with pressure gauge	1	2	
Smoke detector tester	1	2	
Insulation tester	1	2	
Multi-tester (AVO)	1	2	
Welding equipment	1	2	
Portable 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 equipment	1	
Portable threading machine	1	
Bending machine	1	
Drilling machine	1	
Conduit bender	1	
Conduit cutter	1	
Tachometer	1	
Multi-tester (AVO)	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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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.	
			GP I	GP II
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 (Registered skilled worker)	Trade Test Certificate for Ground Investigation Operator issued by the Construction Industry Council or the former Construction Industry Training Authority		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 insitu tests	SPT	4	10
	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	
Insulation tester #	1	
Multi-tester (AVO)	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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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 Wall 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
	Maximum score 15 marks

Notes:
(1) Government contracts that have been completed by the applicant as main contractor or first-tier subcontractor 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 subcontractor for Government contract, performance reports shall refer to the above quarterly reports covering the applicant's work period of the subcontract.

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
	Maximum score 15 marks

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
		Maximum score 30 marks

Note:
(1) For avoidance of doubt, for entry into probation, relevant subcontracts 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
	Maximum score 60 marks *(or 45 marks when section 2.2 does not apply, vide Note 1 of section 2.2 above)* *Minimum passing score (1) 50% of maximum score*

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
	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.

2.5.2. 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 and 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 and 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.) and 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 and 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 and 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 and 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 and 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
	Maximum score 5 marks *Minimum passing score(2) 3 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

2.6. 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
	Maximum score 10 marks *Minimum passing score(1) 5 marks*

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. The maximum number of contracts and total value of works that a probationary contractor is eligible to tender and for award of the contracts are stipulated in Appendix 3C.

4. Criteria for Confirmation

4.1. A probationary contractor may apply for confirmation to the Secretary for Development in writing when they have satisfactorily completed, as main contractor or first-tier subcontractor (see Note 1 in section 2.1 above), at least one Government Landslip Preventive Measures contract or its first tier subcontract awarded after gaining the probationary status, containing multiple sites and of the specified value. 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 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 equipment	1	
Vacuum pump, compressor	1	
Chain block	1	
Hydraulic pump with pressure gauge	1	
Multi-tester (AVO)	1	
Insulation tester	1	
Holiday detector	1	
Non-spark hand tools (e.g. spanner, screwdriver, hammer, etc.)	1 set	The tools should be safe for working in gas risk areas
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	
Phase sequence tester	1	
Primary injection test set	1	
Secondary injection test set	1	
Dielectric strength test set, 2kV	1	
Temperature-rise limit test set	1	
Busbar bending machine	1	
Busbar cutter	1	
Sheet metal cutter	1	
Sheet metal press	1	
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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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 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 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 31 List of Tools / Equipment and Testing Instruments for Survey of Lifting Appliances and Lifting Gear Category

Item of Assessment	Minimum Requirements	Remarks
Weighing scale, measuring tape, level gauge, calipers, deflection scale, etc.	1 set	
Dead weight	1 set (10,000 kg minimum)	
Lifting appliance and gear	1 set	
Crane Lorry	1	
Hand tools (e.g. screw driver, spanners, electric drill, hammer, etc.)	2 sets	
Multi-tester (AVO)	1	
Megger tester	1	
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 equipment	1	
Bending machine	1	
Drilling machine	1	
Conduit bender	1	
Conduit cutter	1	
Tachometer	1	
Multi-tester (AVO)	2	
Continuity tester #	1	
Clamp-on ammeter	1	
Earth fault loop impedance tester #	1	
Insulation tester #	1	
Digital thermometer	1	
Digital multi-tester for chlorine level and pH value	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

Subject to having the suitable testing functions, one multi-function tester/meter may be provided in place of one or more of the testing instruments specified.

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 ammeter	1	
Phase sequence tester	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 the professional institutes or organizations of arboriculture[h] with standards equivalent to the following:- - Certified Arborist, Certified Arborist Utility Specialist, Certified Arborist Municipal Specialist or Board Certified Master Arborist of the International Society of Arboriculture; or - Technician Member, Professional Member, Fellow or above qualifications of the Arboricultural Association of the United Kingdom; or - European Tree Worker or European Tree Technician of the European Arboricultural Council; or - General Member of the National Arborists Association of Australia (issued on or before 31 Dec 2010); or - Registered Qualified Arborist, Registered Practicing Arborist, Registered Consulting Arborist, Registered Consulting & Practicing Arborist of the Arboriculture Australia; or - Accredited Arborist of the Hong Kong Institute of Landscape Architects.	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

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	
Welding equipment	1	2	
Pipe cutter	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

REPORT ON CONTRACTOR'S PERFORMANCE

PART I - SUMMARY OF PERFORMANCE

DEPARTMENT/OFFICE :	REPORTING PERIOD :
REPORT FOR QUARTER : ( ) Quarter/Period/Maint./Final *	From : To:

A Contractor's Details

Contractor's Ref. :

Contractor's Name :

Contract No. : PWP No. :

Contract Title :

Type of Contract : Capital-Design & Build / Capital-Design-bid-build / Design, Build and Operate / Maintenance / Others *

Predominant Category of Work :

Tenders invited from

List/Group/Class : Cat Code : Prequalified : Y/N *

Contractor's Classification

List : AC/SPEC* Cat Code : Group/Class :

B Contract Stage and Duration

Commencement Date :

Original Contract Completion Date :

Original Contract Period : months

	Completion Dates+		
Section	Original	Extended	Anticipated/Certified
WHOLE			

Contract Stage *

1. Design & Submission of Drawings
2. Under Manufacture
3. Under Construction/Site Work Under Progress
4. Substantial Completion (excluding Establishment Period)
5. Maintenance/Defects Liability Period
6. Defects Liability Certificate Issued
7. Maintenance Certificate Issued
8. Final Payment Certificate Issued

C Contract Value

Original contract sum	$M	_____
Estimated value of work done for this quarter	$M	_____
Estimated value of work done to date	$M	_____
Estimated value of work outstanding	$M	_____
Other matters allowed for in final contract sum	$M	_____
Estimated final contract sum	$M	_____

D Performance

	VG	G	S	P	VP	NA
1 Workmanship						
2 Progress						
3 Site safety						
4 Environmental pollution control						
5 Organisation						
6 General obligations						
7 Industry awareness						
8 Resources						
9 Design						
10 Attendance to emergency						
Overall performance						

VG : Very Good
G : Good
S : Satisfactory
P : Poor
VP : Very Poor
NA: Not Applicable

Performance Score of this report:

Note :

1. A "Very Poor" in any one of Sections 1, 2, 3 and 4, or Item 6.10 or Item 6.17 (arising from OVTs matters in accordance with DEVB TC(W) No. 5/2020) or Item 6.19 will be a mandatory "Very Poor" in the "Overall performance" and the report will be rated as "Adverse"
2. If the performance score is less than 40, the "Overall performance" will be a mandatory" Very Poor" and the report will be rated as "Adverse".

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/Supervising Officer's/ Architect's/Surveyor's Representative/ Others* for the Contract	Senior Engineer/ Engineer/Supervising Officer/ Architect/Surveyor/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/Supervising Officer/Architect/Surveyor/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 :

(*) 1. Delete as appropriate
2. For the purposes of completing reports on contractors' performance, the terminologies of "Project Manager/Supervisor/Service Manager" and their delegates in NEC are equivalent to "Supervising Officer/ Engineer/ Architect/ Surveyor" and "Supervising Officer's/ Engineer's/ Architect's/ Surveyor's Representative" in GCC respectively. The Project Manager, Supervisor, Service Manager and their delegates should coordinate to complete the reports.

(+) 1. All dates to be shown as dd/mm/yyyy e.g. 31/10/1993 (add suffix (A) or (C) after "Anticipated/Certified")

(#) 1. Claims for monies for measured or varied work, star rates, omitted items etc. should not be treated as a claim.
2. The number of claims entered should not be the number of notices of claims received but should be the number of claims quantified.

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						
6.9	Training of employer's personnel						
6.10	Adequacy of notice for inspection of works						
6.11	Payment of sub-contractors including 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						
6.18	Compliance with BIM requirements						
6.19	Compliance with labour importation requirements						
	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 registered skilled workers and registered semi-skilled workers						
7.6	Training of workers to meet manpower demands						
7.7	Employment of sub-contractors registered from the Registered Specialist Trade Contractors 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						
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/Supervising Officer/Maintenance Surveyor 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’ and minor works contractors’ 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 TC(W) No. 3/2007 and DEVB TC(W) No. 3/2007A. The Report will be rated as "Adverse" if its performance score is <40.

10. The contract clauses and terminologies referred to in the following guidance notes follow the numbering system and terms of the General Conditions of Contract for Civil Engineering Works (1999 Edition) and may be different from those in GCC for other types of works or in NEC.

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.
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 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.
Section D	**Performance**
Performance	The rating should be the overall rating given in Part II for each aspect of performance.
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.
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. 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 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 Engineer 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 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 "Supervising Officer's/Engineer's/Maintenance Surveyor's Representative" and "Supervising Officer/Engineer/Maintenance Surveyor" 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 and the report is completed by the consultant.

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 workface?
- 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 paragraph 9.35 of Chapter 5 of PAH,

- 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**

Major considerations:

- root ball wrap(s) is found inside tree rootball system or root ball wrapping materials not completely removed after planting works is/was completed on site
- significant quantity of plant materials provided cannot meet the contract requirements on quantity, size or species;
- has the contractor taken all necessary precautions to ensure no severe damage is done to the tree during all processes of transplanting and new tree planting (including transportation) according to the Contract?
- has the contractor prepared the planting soil and checked the drainage of the subsoil before planting according to the Contract?
- has the contractor carried out all necessary safety measures during landscape works/tree works according to the Contract to avoid injury/damage to the public and properties?

General considerations:

- has the contractor submitted reasonable method statements before the transplanting works and/or carried out the transplanting works according to the approved method statements in the process?
- are all plant materials sourced and generally of the quality specified in the Contract?
- are other materials for use of landscape softworks such as soil mix, hydroseed mix, fertilizer, tree guards/stakes etc supplied as per the Contract?
- has the contractor carried out the landscape works according to the Contract?
- has the contractor prepared the ground, laid/applied the turf/sprigs/hydroseeding, and carried out necessary care such as watering, protection, top dressing etc according to the Contract?
- has the contractor ensured applications of pesticides and any other chemicals relating to the landscape works according to the Contract?
- has the contractor provided post-planting care and/or proper maintenance, such as regular watering, fertilising, weeding, litter removal, grass cutting, re-staking after carrying out planting works, during the establishment period or routine vegetation maintenance according to the Contract?
- has the contractor provided and used appropriate tools and equipment when carrying out the landscape works according to the Contract?

Project officers should consider rating this item as “Poor” / “Very Poor” if there is:

- non-compliance of any requirements under major considerations; or
- repetitive non-compliance of any requirements under general considerations.

(According to paragraph 46 of DEVB TC(W) No. 4/2020, the actual compensatory planting should adhere to those approved in the corresponding compensatory planting proposals, if any. If the works contractor is found liable for the discrepancy, the non-compliance should be fully reflected in the Report on Contractor’s Performance. This item should be rated no better than “Poor”, unless the discrepancy is justifiable due to exceptional circumstances.)

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 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, 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?
- 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 notice under GCC Clause 51(1)?
- has the contractor responded promptly to the Engineer'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 DEVB TC(W) No. 1/2020 (and its subsequent amendments) 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 above DEVB TC(W) 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 DEVB TC(W) 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 criterion 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 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?
- 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 TC(W) No. 31/2004 or Clauses (15)&(16) of Appendix C in DEVB TC(W) No. 6/2010] during the reporting period exceeds the limit as stipulated in Para. 21(b) of ETWB TC(W) No. 31/2004 or Para. 26(b) of DEVB TC(W) 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 TC(W)] No. 31/2004 or Clause (9) of Appendix C in DEVB TC(W) 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 TC(W) No. 31/2004 or DEVB TC(W) 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 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 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, sub-contractors and other relevant parties against unlawful taking of water (for example, display of posters and warning signs on site, regular briefings, etc);
    Regular inspections of the site to identify any suspected unlawful water taking activities;
  - (ii) Regular checking of water bills to ensure that the amount of water usage indicated in the bills is reasonable; and
  - (iii) 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 or Item 6.6 will result in "Poor" or "Very Poor" rating in this section respectively. A "Very Poor" rating in Item 6.10 or Item 6.17 (arising from old and valuable trees matters in accordance with DEVB TC(W) No. 5/2020) or Item 6.19 will result in "Very Poor" rating in the "Overall Performance" and an "Adverse" report.

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[1] 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 instructions?

Item 6.6 Care of utilities[1]

- has the contractor taken care not to cause damage to utilities?
- has the contractor a repeated record of causing damage to utilities?
- has the contractor damaged utilities, causing serious disturbance to the public?

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?

[1] Utilities include, but are not limited to, electricity, lighting, traffic control, telecommunications, cable television, gas, water, drainage, sewerage and tramway.

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?
- have the works been carried out without the approval/permission of the Engineer?

(The Engineer should make the contractor aware of any of his concerns for the deficiencies identified regarding submission of request for inspection and/or survey check (RISC/RFI) forms. 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 repeated notifications. If the Engineer considers that the situation amounts to a serious problem, a "Poor" or "Very Poor" rating shall be given, depending on the degree and extent of the problem identified. If a "Very Poor" rating is given in this item, it will lead to a mandatory "Very Poor" in the "Overall Performance" and the report will be rated as "Adverse". On the other hand, if the Engineer considers that the contractor has implemented a system better than average (e.g. effective operation of a site inspection system adopting RISC/RFI forms, adoption of a digital site supervision system adopting RISC/RFI forms, adoption of a digital site supervision system, etc.), he should record the findings in the report and rate this item as "Good" or above.)

Item 6.11 Payment of sub-contractors including nominated sub-contractors

- has the contractor paid the nominated sub-contractor and not withheld payment without reasonable cause?
- has the contractor paid his sub-contractors on time in accordance with the subcontracts and the Security of Payment (SOP) Provisions for the relevant subcontracts?
- has the contractor settled adjudicated amount with his sub-contractors on time in accordance with an adjudication decision procured under the SOP Provisions for the relevant subcontracts?

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-contracts?
- has the contractor provided the particulars of sub-contracting on site in his latest submission of the SMP?

(Should the contractor fail to provide documentary proof of compliance or to rectify the non-compliance in relation to the incorporation of the Security of Payment Provisions in all relevant subcontracts, reporting officer should rate this item as "Poor" or "Very Poor" in accordance with DEVB TC(W) No. 6/2021.)

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

Major considerations:

- for any damage / unauthorised removal of any Old and Valuable Tree(s) (OVTs), please refer to Note 3 under this item;
- has the contractor submitted method statements for tree preservation and protection measures according to the Contract?
- is there any unauthorised site works or activities within the tree protection zones of the preserved trees?
- is there any unauthorised removal/damage of any tree, other than OVTs, within the Contract that is caused by the negligence of the Contractor?
- has the contractor reported in a timely manner on tree problems which may pose injury/damage to the public and responded promptly to tree failure incidents?
- has the contractor carried out the required remedial works as recommended in the tree risk assessment that may impose potential danger to the public within agreed time frame?

General considerations:

- have the tree survey record and labelling of all trees on site conducted and submitted according to the Contract?

- has the contractor planned and carried out the tree removal works according to the Contract?
- has the contractor exercised proper care and maintained the tree protection zones free from compaction and disturbance to avoid any damage to the preserved trees during construction according to the Contract?
- have tree risk assessment and the associated remedial actions been properly carried out according to the Contract and good arboricultural practice?
- are the preserved trees maintained properly according to the Contract?
- has the contractor provided and used appropriate tools and equipment when carrying out the tree risk assessment and tree works?
- has the contractor reported promptly within the required timeframe with photo records on the tree(s) removed under emergency situation?
- has the contractor exercised proper care to avoid any damage to preserved tree during construction, including inspection of the protective measures just before typhoon and heavy rainstorm?
- has the contractor reported promptly within the required timeframe with photo records on occurrence of damage to the preserved trees, including those unauthorised removal/damage of trees by third party and caused by typhoon and heavy rainstorm, and carried out all necessary work of repair of any damage to the preserved trees and any other plants affected?
- has the contractor assigned a competent person to oversee the implementation of the tree preservation and protection plan? Has the contractor assigned a qualified person to conduct the tree risk assessment and tree works?

Project officers should consider rating this item as "Poor"/"Very Poor" if there is:

- non-compliance of any requirements under major considerations; or
- repetitive non-compliance of any requirements under general considerations.

(Notes:

1. According to paragraph 46 of DEVB TC(W) No. 4/2020, the actual tree removal works should adhere to those approved in the corresponding Tree Preservation and Removal Proposals. If the works contractor is found liable for the discrepancy, the non-compliance should be fully reflected in the Report. This item should be rated no better than "Poor", unless the discrepancy is justifiable due to exceptional circumstances.
2. According to paragraph 50 of DEVB TC(W) No. 4/2020, if the contractor is found liable for the damage or unauthorised removal of any tree, other than OVTs, within the site, this item should be rated no better than "Poor", unless the incident is justifiable due to exceptional circumstances such as emergency situations.

3. According to paragraph 31 of DEVB TC(W) No. 5/2020, the reporting officer should consider rating this item as "Very Poor", if the contractor is found liable for the damage or unauthorised removal of any OVTs on the site.)

Item 6.18 Compliance with BIM requirements

- has the contractor adopted Building Information Modelling (BIM) that complied with the requirements as stipulated in the contract and with functionality meeting the project requirements?
- has the contractor set up and effectively maintained the BIM team with sufficient personnel meeting the required qualifications, and provided adequate BIM training to complete the tasks in the contract?
- has the contractor submitted the required deliverables satisfactorily and in a timely manner to facilitate the adoption of different BIM uses?
- is the BIM model applied effectively for project delivery throughout different project stages?
- is the BIM model developed/updated in a timely manner to reflect the actual progress of works?

Item 6.19 Compliance with labour importation requirements

- has the contractor implemented reasonable measures to manage his imported labours resided in the designated quarters so as to make sure they follow the relevant house rules? Such reasonable measures include :

  (i) Compliance with all applicable laws in Hong Kong including those laws to protect the welfare and safety of his imported labours;
  (ii) Deployment of sufficient suitable and experienced personnel to manage the imported labours resided in the designated quarters including properly arranging essential services for them such as transportation, catering, and arranging leisure activities outside office hours;
  (iii) Adoption of good management practices in the designated quarters, including taking appropriate management measures to prevent serious accidents among the imported labours;
  (iv) Maintaining good communication with imported labours and timely conveying the latest updates on house rules to them;
  (v) Issuing reminders or warnings to imported labours and handling the cases appropriately under relevant circumstances (e.g. when imported labours violate the house rules);
  (vi) When imported labours violate the house rules, taking appropriate measures to control the damage of the incident, and timely reporting the incident to the Construction Sector Imported Labour Quarters Limited; and
  (vii) Establishing a mechanism to regularly review the performance of the labour management personnel and provide them with improvement suggestions as appropriate.

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 TC(W) 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 fulfil 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 registered skilled workers and registered semi-skilled workers

- has the contractor employed the minimum number of registered skilled workers and semi-skilled workers of each of the specified trade divisions 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 Registered Specialist Trade Contractors Scheme of the Construction Industry Council

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 Registered Specialist Trade Contractors Scheme?
- has the contractor ensured his sub-contractors to employ their further sub-contractors registered under the respective trades available under the Registered Specialist Trade Contractors 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 Registered Specialist Trade Contractors Scheme?
- has the NSC employed his sub-contractors registered under the respective trades available in the Registered Specialist Trade Contractors Scheme?
- has the NSC ensured his sub-contractors to employ their further sub-contractors registered under the respective trades available in the Registered Specialist Trade Contractors 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**

(a) For all public works contracts tendered before 1 February 2017

- 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?

(b) For all public works contracts tendered on or after 1 February 2017

- has the contractor's uniform design been submitted in a timely manner and in compliance with the contract requirements?
- has the contractor taken reasonable steps to ensure that all non-casual workers (who are expected to work on the Site more than 7 days) involved in site works wear the uniform when they are on site?

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 DEVB TC(W) No. 2/2015 and its subsequent amendments?
- 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/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 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 Design and Build contracts only. Please refer to Notes 2, 3 & 4 in Part A of Appendix 4B to the Handbook 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

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 = $\frac{\text{Sum of marks obtained for all relevant sub-items}}{\text{Sum of maximum marks for all relevant sub-items}}$ x 100%

Rating of Item 6.1 : Very Good / Good / Satisfactory / Poor / Very Poor
(>85% / >70-85% / >50-70% / >30-50% / 0-30%)

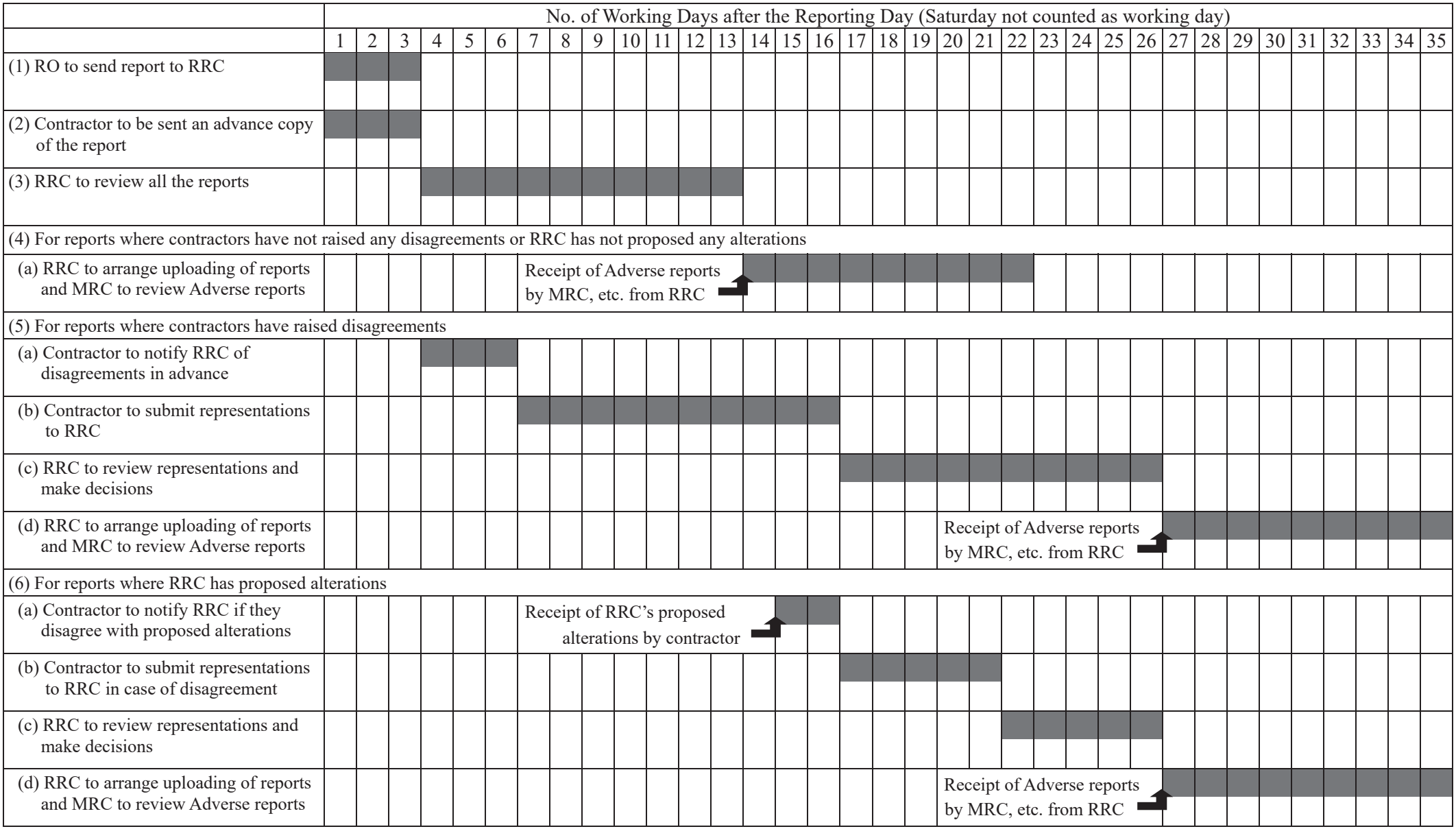
APPENDIX 4C Category Codes

The following category codes shall be used for the "Predominant category of work" in Section A Part I - Summary of Performance.

Category Code	Description
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
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 for Highway Structures
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
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

Category Code	Description
OTHE	Others
PILE	Land Piling
PI	Plumbing Installation
PREF	Transparent Panels for Noise Barriers on Highways
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
ROAD	Road Marking
SF	Site Formation
SOIL	Soil and Rock Testing
SPEC	Specialized Operations for Highway Structures
STEA	Steam and Compressed Air Installation
STRU	Structural Steelwork
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 Outline Timetable for Reporting on Contractors' Performance



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 No. [ ] (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 No. [ ] (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 No. [ ] (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 Development Bureau 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 or 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 6.6 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 group[1] for at least three years prior to the date of application for substitution.

(4) 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.

(5) 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.

(6) 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.

[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).

(7) 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.

(8) 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.

(9) 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 DEVB;

(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 DEVB.

(10) 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 2A 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 financial statements, 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.

(11) Both the outgoing company and the new company shall follow the rules set out in DEVB TC(W) 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 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.

Relevant details to be inserted.

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.

14. Nothing in this Undertaking confers or purports to confer on any third party any benefit or any right pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623) to enforce any term of this Undertaking.

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:)
)
)
.....) *[Signature of the*
[Name]) *sole proprietor]*[1]
[Occupation])
[Address])

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]) *[Signature of the*
in the presence of:) *individual*
) *partner]*[1]
)
.....)
[Name]) *[Signature of the*
[Occupation]) *individual*
[Address]) *partner]*[1]

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)) *[Signature of the*
authorized to sign the contract by its) *director(s) etc.]*[1]
board of directors][2])
in the presence of a witness:)
)
.....)
[Name])
[Occupation])
[Address])

Common Seal

Or

(d)* Executed and delivered)
as a deed)
by [name of Company A])
acting through)
[ ] (its sole director))
or) *[Signature of the*
[ ] and [ ] (its directors)) *director(s) etc.]*[1]
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/its[2] attorney under power of attorney)
dated [ ])
) *[Signature of the*
in the presence of:) *attorney]*[1]
)
.....)
[Name])
[Occupation])
[Address])

L.S.

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 ADMINSTRATIVE 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]#.

5. Nothing in this Agreement confers or purports to confer on any third party any benefit or any right pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623) to enforce any term of this Agreement.

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:)
)
)
.....) *[Signature of the sole proprietor]*[1]
[Name])
[Occupation])
[Address])

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]) *[Signature of the individual partner]*[1]
in the presence of:)
)
)
.....) *[Signature of the individual partner]*[1]
[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) *[Signature of the director(s) etc.]*[1]
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])

Common Seal

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/its[2] attorney under power of attorney dated [ ] in the presence of:

.....
[Name]
[Occupation]
[Address]

[Signature of the attorney][1]

L.S.

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 ADMINSTRATIVE 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]#.

7. Nothing in this Agreement confers or purports to confer on any third party any benefit or any right pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623) to enforce any term of this Agreement.

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]

L.S.

(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) *[Signature of the director(s) etc.]*[1]
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])

Common Seal

Or

(d)* Executed and delivered)
as a deed)
by [name of Company A])
acting through)
[ ] (its sole director)) *[Signature of the director(s) etc.]*[1]
or)
[ ] 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/its[2] attorney under power of attorney)
dated [ ])
)
in the presence of:) *[Signature of the attorney]*[1]
)
.....)
[Name])
[Occupation])
[Address])

L.S.

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.

7[1]. Sub-clauses [ ], [ ] and [ ] of Clause [ ] of the Special Conditions of Contract are hereby deleted.

8. Nothing in this Agreement confers or purports to confer on any third party any benefit or any right pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623) to enforce any term of this Agreement.

IN WITNESS whereof this Agreement has been executed as a deed on the day and year 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:)
)
) *[Signature of the sole proprietor]*[1] L.S.
.....)
[Name])
[Occupation])
[Address])

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 individual partner]*[1] L.S.
in the presence of:)
)
)
.....) *[Signature of the individual partner]*[1] L.S.
[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(s) etc.]*[1]
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])

Common Seal

Or

(d)* Executed and delivered)
as a deed)
by [name of Company A])
acting through)
[ ] (its sole director)) *[Signature of the director(s) etc.]*[1]
or)
[ ] 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/its[2] attorney under power of attorney)
dated [ ])
)
in the presence of:) *[Signature of the attorney]*[1]
)
.....)
[Name])
[Occupation])
[Address])

L.S.

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.

NOW THE TERMS AND CONDITIONS of this Bond are as follows: -

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.

10. Nothing in this Bond confers or purports to confer on any third party any benefit or any right pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623) to enforce any term of this Bond.

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:)
)
) *[Signature of the sole proprietor]*[1] L.S.
.....)
[Name])
[Occupation])
[Address])

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 individual partner]*[1] L.S.
in the presence of:)
)
) *[Signature of the individual partner]*[1] L.S.
.....)
[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(s) etc.]*[1]
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])

Common Seal

Or

(d)* Executed and delivered)
as a deed)
by [name of Company A])
acting through)
[ ] (its sole director)) *[Signature of the director(s) etc.]*[1]
or)
[ ] 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/its[2] attorney under power of attorney)
dated [ ])
)
in the presence of:) *[Signature of the attorney]*[1]
)
.....)
[Name])
[Occupation])
[Address])

L.S.

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 X 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 X is only eligible for award of one more Group C contract of value not exceeding $1,500M.

Two tender combinations are possible in considering award of one contract to Tenderer X 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 X and Z respectively as shown below:

	Contract I	**Contract II**	**Total Tendered Prices**
Combination 1 Successful Tender (Tendered Price) <Combined Score>	X ($720M) <96.0>	Z ($605M) <95.0>	$1,325M
Combination 2 Successful Tender (Tendered Price) <Combined Score>	Y ($595M) <92.0>	X ($795M) <100.0>	$1,390M

Note: Tenders from Tenderers Y and Z have attained the second highest combined score in Contracts I and II respectively.

Appendix 8 Procedures for Checking Status of Contractors in Relation to Suspension

General

1. The suspension history of contractors on the List / Specialist List are kept in the Contractor Management Information System ("**CMIS**") maintained by DEVB. To obtain such suspension history, departments can acquire a standard report, namely "Suspension History of Approved Contractors/Suppliers for Public Works" ("**suspension report**"), from the CMIS by selecting the name of the contractor and period concerned for tender assessment purpose.

Timing for Checking Status of Contractors in Relation to Suspension

2. According to Sub-section 7.6, department responsible for the tender exercise should check the status of contractors in relation to suspension at different junctures of time. Departments should follow the schedule in **Table 8.1** below to acquire the suspension report of the concerned tenderers from the CMIS for checking purpose.

Table 8.1 – Acquisition of suspension report from CMIS for tender assessment purpose

Checking Stage	Timing for acquiring suspension report	Date / Period to be checked	Tenderers to be checked
1	On the tender closing date	On the tender closing date	All tenderers(i)
2	On the date when **tender report** is completed and signed for submission to the relevant tender board / authority ("**tender report date**")	from the tender closing date to the tender report date (both dates inclusive)	All conforming tenderers(i)
3	On the contract award date(ii)	from the tender report date to the contract award date (both dates inclusive)	The tenderer(i) accepted by the relevant tender board / authority for award of the contract

Notes:

(i) The status of tenderers who are contractors on the List / Specialist List should be checked. If the tenderer is an unincorporated or incorporated joint venture, the status of any participant of the unincorporated joint venture or any shareholder of the incorporated joint venture, who is contractor on the List / Specialist List, should be checked.

(ii) DEVB uploads suspension record of contractors for a particular day, if applicable, to the CMIS **before or at 5:00 pm** on that day. On the contract award date, departments should acquire the suspension report of the contractor concerned from the CMIS **after 5:00 pm** to ensure that the suspension report retrieved contains the most up-to-date suspension information for that day.

3. For tenders adopting prequalification, departments should conduct two additional checking stages before the checking stages in **Table 8.1**. Details of these two additional checking stages are shown in **Table 8.2** below. Also, the "Date/Period to be checked" for Checking Stage 1 in **Table 8.1** shall be revised to "from the recommended list submission date to the tender closing date (both dates inclusive)" instead.

Table 8.2 –Acquisition of suspension report for prequalification assessment purpose

Checking Stage	Timing for acquiring suspension report	Date / Period to be checked	Contractors to be checked
1A	On the date set for close of prequalification ("**prequalification closing date**")	On the prequalification closing date	All applicants(i)
1B	On the date of submitting the recommended list of prequalified contractors to relevant tender board ("**recommended list submission date**")	from the prequalification closing date to the recommended list submission date (both dates inclusive)	All applicants satisfying the screening criteria and passing the marking stage of the prequalification exercise(i)

Note:

(i) The status of applicants / prequalified contractors who are contractors on the List / Specialist List should be checked. If the applicant / prequalified contractor is an unincorporated or incorporated joint venture, the status of any participant of the unincorporated joint venture or shareholder of the incorporated joint venture, who is contractor on the List / Specialist List, should be checked.

Procedures for acquisition of the suspension report from CMIS

4. Currently, project officer responsible for tender assessment can access information of contractors, including its suspension record, from the CMIS by making a request to and obtaining the relevant approval from the respective departmental CMIS's administrators. As at November 2022, project officers are only allowed to download the suspension report for the relevant contractors from CMIS for a period with end-date up to the tender closing date (and/or the prequalification closing date for tenders adopting prequalification) for the tender or prequalification exercise.

5. System enhancement will be implemented on the CMIS such that the project officers in future will be allowed to download the suspension report for the relevant contractors at any time within six months from the tender closing date, after obtaining approval from the departmental CMIS's administrators.

6. In the event that the project officer is required to download the suspension report after the six-month period stated in paragraph 5 above, the project officer should make an extension request before the expiry of the six-month period via the CMIS for the approval of the departmental CMIS's administrators. Upon the approval by the departmental CMIS's administrator, the project officer can download the suspension report within a further three-month period after each successful extension request.

7. In the interim period before enhancement of the CMIS mentioned in paragraph 5 above is completed, departmental CMIS's administrators, who have the right in downloading the suspension report for particular period and particular contractor when necessary, are required to assist the project officers in downloading the suspension reports at appropriate junctures of time during tender assessment and at contract award. Departments may set internal procedures for project officers to acquire the suspension reports via the departmental CMIS's administrators for tender / prequalification exercises during this interim period.