

Contractor Management Handbook

Development Bureau

Revision B-~~11~~12
~~September~~December 2013

B-10	25/3/2013		Promulgation of the establishment of the category of “Plumbing Installation”, and revision of the scope and the “minimum technical and management criteria for admission, confirmation and promotion” of the category of “Landscaping: Class I – General Landscape Work” as promulgated by letter to all contractors on the List of Approved Contractors for Public Works and the List of Approved Suppliers of Materials and Specialist Contractors for Public Works ref: (02J7J-01-5) in DEVB(PS) 108/34 dated 25 March 2013.
B-11	1/9/2013		<p>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.</p> <p>Rectification of the typographic errors on items 6.8, 7.5 and 7.6 of the Report on Contractor Performance, Part II, Appendix 4A.</p>
<u>B-12</u>	<u>1/12/2013</u>		<p><u>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.</u></p> <p><u>Revisions in of 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.</u></p>

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

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

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

1.6 Amendments in the Revision B-12

1.6.1 The revised tender limits for the contractors on the List of Approved Contractors for Public Works shall take effect from **1 December 2013**, except that the probationary Group C limit will be revised in two stages taking effect from **1 December 2013** and **1 December 2015** respectively.

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

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

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

2.2 Group Tender Limits

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

Group A - contracts of value up to \$~~30~~75 million.

Group B - contracts of value up to \$~~75~~185 million.

Group C - contracts of any values exceeding \$~~75~~185 million.

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

2.3 Eligibility to Tender for Term Contracts

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

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

2.3.3 At the discretion of the head of the department responsible for the contract, contractors confirmed in Group B may be permitted to tender for term contracts above the limit of \$~~75~~185 million but which are of a simple and repetitive nature, provided the contractors can demonstrate adequate technical and financial resources and have satisfactory performance records. Group B contractors who are carrying out or have recently completed similar term contracts satisfactorily shall be considered under this rule. However, the total value of the Group C term contracts in any one category should not exceed the Group C probationary limit given in sub-paragraph 2.5.1(c) below.

2.4 Admission

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

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

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

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

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

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

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

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

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

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

2.5 Probationary Status

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

(a) Probationary contractors in Group A

A probationary contractor is eligible to tender or for award of any number of Group A contracts in the same category, provided the total value of works in the Group A contracts that he already holds and the Group A contract being procured under the same category does not exceed \$~~30~~75 million.

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(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 \$~~75~~185 million.

(c) Probationary contractors in Group C

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 \$~~220~~400 million. This limit shall be increased to \$500 million with effect from 1 December 2015.

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

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

2.5.2 For the purpose of checking the contracts which a probationary contractor already holds under the rule in paragraph 2.5.1 above, the contracts which are completed shall not be counted. In this regard, a contract is considered completed when the certificate of completion of the works or the last completed section of the works (excluding establishment

works) is issued or, for term contracts, the issue of completion certificate for the last completed works order (excluding establishment works). The rule in paragraph 2.8.2 below shall extend to probationary contractors in Group A and Group B.

2.5.3 Contracts awarded by the Housing Authority in the corresponding category will be taken into consideration when calculating the total number and total value of contracts for checking whether the probationary contractors are eligible to tender.

2.5.4 Probationary Group C contractors in the "Buildings" category who have active Housing Authority contracts in the corresponding category with outstanding value of contract in excess of the value limits for probationary status will be restricted to tender for one contract with Architectural Services Department, up to a maximum value of \$~~220~~400 million (this limit shall be increased to \$500 million with effect from 1 December 2015), until such Housing Authority contracts in the corresponding category are completed within the meaning as provided in the second sentence of paragraph 2.5.2 above.

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

2.5.6 Where -

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

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

2.6 Confirmation

2.6.1 A probationary contractor may, ~~subject to a minimum probationary period of 24 months~~, apply for confirmation in writing to the Secretary for Development when he has

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

Introduction

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

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

to ascertain that these financial criteria and requirements are met.

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

Financial Criteria for Retention on the List

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

	Minimum Employed Capital (Note 3) HK\$	Minimum Working Capital HK\$
(i) <u>For Group A</u>	1,800,000	2,100,000
(a) Probationary	<u>2,100,000 plus \$1.2M for every \$12M of annualized outstanding works or part thereof above \$21M, subject to a maximum of \$4.4M</u>	1,800,000 or 15% on annualized outstanding works, whichever is higher
(b) Confirmed	<u>3,400,000</u>	3,400,000
	<u>4,000,000 plus \$2.2M for every \$22M of annualized outstanding works or part thereof above \$40M, subject to a maximum of \$8.3M</u>	4,000,000 or 15% on annualized outstanding works, whichever is higher

	Minimum Employed Capital (Note 3) HK\$	Minimum Working Capital HK\$
(ii) <u>For Group B</u>	4,200,000	
(a) Probationary	<u>4,900,000 plus \$2.9M for every \$43M of annualized outstanding works or part thereof above \$73M, subject to a maximum of \$10.6M</u>	4,200,000 <u>4,900,000</u> or 10% on annualized outstanding works, whichever is higher
(b) Confirmed	8,600,000 <u>10,100,000 plus \$5.8M for every \$86M of annualized outstanding works or part thereof above \$150M, subject to a maximum of \$21.7M</u>	8,600,000 <u>10,100,000</u> or 10% on annualized outstanding works, whichever is higher
(iii) <u>For Group C</u>		
(a) Probationary	12,600,000 <u>14,800,000</u> plus \$2 million for every \$100 million of annualized outstanding works or part thereof above \$800,950 million	12,600,000 <u>14,800,000</u> or 8% on the first \$800,950 million of annualized outstanding works and 10% on remainder, whichever is higher
(b) Confirmed	16,000,000 <u>18,800,000</u> plus \$2 million for every \$100 million of annualized outstanding works or part thereof above \$800,950 million	16,000,000 <u>18,800,000</u> or 8% on the first \$800,950 million of annualized outstanding works and 10% on remainder, whichever is higher

Note : (1) The above revised financial criteria shall take effect on ~~12 June 2009~~ 1 December 2013. However, in order to facilitate the existing contractors on the List to maintain their present listing status, the existing contractors will be given a 12- months' grace period to adjust to the above new financial criteria. In other words, all management accounts or audited accounts with accounting periods ending on or after ~~11 June 2010~~ 1 December 2014 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 ~~12 June 2009~~ 1 December 2013. Applications made prior to ~~12 June 2009~~ 1 December 2013 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 ~~12 June 2009~~ 1 December 2013.

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

Financial Requirements for Acceptance of a Tender

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

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

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

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

Certified Statements of Outstanding Workload

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

- (i) a list 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).

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

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

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

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

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

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

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

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

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

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group A	1) Satisfactory completion <u>as the main contractor of at least one Government or non-Government building works contract executed in HKSAR</u> within the past 5 years, after inclusion in the Group <u>A on probation</u> , of value over 50% of the Group A limit and <u>covering the whole range of building trades, complying with the requirements specified in Annex 1.</u>		1) Satisfactory completion <u>as the main contractor of at least one Government or non-Government roads and drainage works Roads and Drainage works</u> contract <u>executed in HKSAR within the past 5 years, after inclusion in the Group A on probation</u> , of value over 50% of the Group A limit <u>after inclusion in Group A on probation.</u> <u>Experience as a sub-contractor may count.</u>		1) Satisfactory completion <u>as the main contractor of one Government or non-Government of at least one mainlaying waterworks contract in the waterworks executed in HKSAR within the past 5 years, after inclusion in the Group A on probation, category of value over 75% of the Group A limit or two or more mainlaying contracts in the waterworks category with a total value of not less than \$20-million, after inclusion in Group A on probation, over 50% of the Group A limit and covering mainlaying works.</u>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on Probation to Group B	<p>A. Direct Entry</p> <p>1) Registration with the Building Authority's Register of <u>General Building</u> Contractors.</p> <p>2) Satisfactory completion of at least two one building works <u>contracts (Government or non-Government contracts are acceptable)</u> within the past 5 years as the main contractor. Each <u>The contract shall be representative in size and complexity of Arch SD projects, and value over 7050% of the Group B limit and complying with the requirements in Annex 1.</u></p> <p>3) <u>Experience as a sub-contractor will be accredited subject to the sub-contract works covering building trades and complying with other requirements specified in Annex 1.</u></p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least one <u>Government building contract in Buildings category</u> within the past 5 years, after confirmation ed in Group A, of value over 75% of the Group A limit and of considerable scope and complexity and covering the whole range of building trades, complying with the requirements in Annex 1.</p>	<p>1) Satisfactory completion of two one port works <u>contracts (Government or non-Government contracts are acceptable)</u> of predominantly port works nature within the past 5 years, of which one contract should be completed within 3 years preceding the application for inclusion and the value of works carried out for each of <u>The two contract s should exceed shall be of value over 5075% of the Group BA limit;</u></p> <p>2) E <u>Experience as a sub-contractor will may</u> be accredited.</p>	<p>A. Direct Entry</p> <p>1) Satisfactory completion of <u>one Government R</u> roads and D <u>drainage works, contract (Government or non-Government contracts are acceptable)</u> within the past 5 years, to a total. The contract shall be of value of not less than over 70% of the <u>Group B limit.</u></p> <p>2) <u>Experience as a sub-contractor will be may count. Private sector experience may also be accredited.</u></p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least one <u>Government Roads and Drainage contract in Roads and Drainage category within the past 5 years of value not less than 75% of the Group A limit after confirmation in Group A, of value over 75% of the Group A limit.</u> <u>Experience as a sub-contractor may count.</u></p>	<p>1) Satisfactory completion of within the past 5 years, one site <u>formation works contract (Government or non-Government contracts are acceptable)</u> within the past 5 years. <u>The contract shall be of value over 50% of the Group B limit or contracts involving total earthworks quantity not less than 100,000 m³, of which one contract would and shall involve earthworks quantity (excluding quarrying and maintenance of spoil dumps) not less than 50,000 m³, in one or more of the following:-</u></p> <p>i) bulk excavation and filling (excluding quarrying and maintenance of spoil dumps);</p> <p>ii) sanitary landfill;</p> <p>iii) slope stabilization.</p> <p>2) Experience as a sub-contractor <u>will may</u> be accredited.</p>	<p>A. Direct Entry</p> <p>1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for government contracts.</p> <p>2) Mainlaying experience is a pre-requisite.</p> <p>13) Satisfactory completion of three or more contracts of a one <u>waterworks contract (Government or non-Government contracts are acceptable)</u> within the past 5 years. <u>The contract shall be of value over 70% of the Group B limit and cover mainlaying works, nature of totally not less than \$75 million in value in the past 10 years. If in the capacity of a sub-contractor, the applicant must prove to have a major involvement in the works.</u></p> <p>2) <u>Experience as a sub-contractor will be accredited.</u></p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of one <u>Government three or more</u> contracts in the Waterworks category <u>within the past 5 years, after confirmation in Group A, of totally not less than \$25 million in value value over 75% of the Group A limit, after confirmation in Group A.</u></p> <p>2) <u>Private sector experience may be accepted to supplement public sector experience.</u></p>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group B	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> building works contract <u>executed in HKSAR</u> within the past 5 years, after inclusion in the Group <u>B on probation</u> , of value over 70 <u>75</u> % of the Group B limit <u>and complying with the requirements in Annex 1</u> .	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> Group B port works contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion in the Group B on probation</u> , of value <u>over not less than</u> 50% of the Group B limit. Experience as a sub-contractor is not accredited.	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> R roads and D rainage works contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion in the Group B on probation</u> , of value <u>over not less than</u> 75% of the Group B limit after inclusion in Group B on probation. Experience as a sub-contractor may count.	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> S site F ormation works contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion in the Group B on probation</u> , of value <u>over not less than</u> 50% of the Group B limit, or one Government contract with earthworks quantity not less than 200,000 m³ since inclusion. Experience as a sub-contractor is not accredited.	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> contract in the waterworks contract executed in HKSAR within the past 5 years, <u>after inclusion in the Group B on probation</u> , category of value over 75 <u>70</u> % of the Group B limit, or an aggregate value of work of at least \$50 million with at least one contract in Group B value, after admission to Group B on probation.

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on probation to Group C	<p>A. Direct Entry</p> <p>1) Registration with the Building Authority's Register of <u>General Building</u> Contractors.</p> <p>2) Satisfactory completion <u>as the main contractor</u> of at least two <u>one building works</u> contracts <u>(Government or non-Government contracts are acceptable)</u> within the past 75 years, as the main contractor. Each contract shall be representative in size and complexity of Arch SD projects, and value over <u>Total value of not more than two of the above contracts shall be over 140 % of the</u> probationary limit of Group C <u>and complying with the requirements in Annex 1.</u></p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of <u>one at least two</u> Government <u>building contracts in Buildings category</u> within the past 5 years, after confirmation in in Group B, of value over 75% of the Group B limit <u>and complying with the requirements in Annex 1.</u></p>	<p>A. Direct Entry</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least <u>one port works</u> contract (Government or non-Government contracts are acceptable) two contracts within the past 75 years, in the Port Works category, each of <u>Total value of not less more than two of the above contracts shall be over 140% of</u> probationary limit of Group C, 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>contract Group B in Port Works category within the past 5 years</u> contract, after confirmation in in Group B, of value <u>over 75% of the Group B limit</u>. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	<p>A. Direct Entry</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least <u>one roads and drainage works</u> contract (Government or non-Government contracts are acceptable) within the past 10-7 years, of a sufficient number of Roads and Drainage contracts of a <u>Total value of not less more than two of the above contracts shall be over 140% of</u> two times the probationary limit of Group C limit. The value of each contract shall be over 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>contract in Roads and Drainage category</u> within the past 5 years, after confirmation in in Group B, of value <u>over not less than 75% of the Group B limit</u> after confirmation to Group B. Experience as a sub-contractor is not accredited.</p>	<p>A. Direct Entry</p> <p>1) Satisfactory completion <u>as the main contractor in the</u> past 5 years of at least <u>one site formation works</u> contract (Government or non-Government contracts are acceptable) within the past 7 years. two contracts in the works category, each of <u>Total value of not more than two of the above contracts shall be over 14075% of</u> probationary limit of Group C, the Group B limit. Experience as a sub-contractor is not accredited.</p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>Group B site formation contract in Site Formation category</u> within the past 5 years, after confirmation in in Group B, of value <u>over not less than 75% of the Group B limit, or one Government contract involving earthworks quantity not less than 300,000 m³</u>. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	<p>A. Direct Entry</p> <p>1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for Government contracts.</p> <p>2) Mainlaying experience is a pre-requisite.</p> <p>13) Satisfactory completion as the main contractor of four or more contracts of at least one waterworks contract (Government or non-Government contractors are acceptable) within the past 7 years. two different types of work. 1 Totally valued of not more at not less than two of the above contracts shall be over 140% of probationary limit of Group C and covering mainlaying works. \$180-million with at least one contract of Group C value in the past 10 years. If in the capacity of a sub-contractor, the applicant must prove to have a major involvement in the works.</p> <p>B. By Promotion</p> <p>1) Satisfactory completion <u>as the main contractor</u> of <u>three or more one Government contracts</u> in the Waterworks category <u>within the past 5 years</u>, after confirmation in Group B, of value over 75% of the Group B limit, of at least two different types of work totally valued at not less than \$60 million with at least one contract of Group B value, after confirmation to Group B.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Confirmation to Group C	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> Building <u>works</u> contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion to Group C on probation</u> , of value over <u>70% of probationary limit of Group C and complying with the requirements in Annex 1, \$90 million and of considerable scope and complexity.</u>	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> Group C Port W <u>works</u> contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion to Group C on probation</u> , of value over <u>70% of probationary limit of Group C, \$90 million. Experience as a sub-contractor is not accredited.</u>	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> Roads and Drainage works contract <u>executed in HKSAR within the past 5 years, after inclusion to Group C on probation</u> , of value over <u>70% of probationary limit of Group C, \$90 million. Experience as a sub-contractor is not accredited</u>	1) Satisfactory completion <u>as the main contractor</u> of at least one Government <u>or non-Government</u> Group C <u>site formation works</u> contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion to Group C on probation</u> , of value over <u>70% of probationary limit of Group C, \$90 million. Experience as a sub-contractor is not accredited.</u>	1) Satisfactory completion <u>as the main contractor</u> of one two Government or non-Government Group C contracts in the <u>waterworks</u> contract <u>executed in HKSAR</u> within the past 5 years, <u>after inclusion to Group C on probation</u> , of value over <u>70% of probationary limit of Group C. category of two different types of work totally valued at not less than \$120 million after admission to Group C on probation.</u>

Remarks for Table 1 of this Appendix :

1. The revised admission/confirmation/promotion requirements in Table 1 of this Appendix shall take effect from 1 December 2013. Nevertheless, for contractors who have already submitted applications before 1 December 2013 for admission, the existing admission requirements in Table 2 of this Appendix will continue to apply. When contractors submit applications for confirmation or promotion basing solely on the experience of contracts for which tenders were invited before 1 December 2013, the existing confirmation or promotion requirements in Table 2 of this Appendix will also continue to apply.
2. “Government contract” in this Appendix refers to “HKSAR Government public works contract”.
- 3#1. Group A limit and Group B limit mean the Group Tender Limits for Group A and Group B respectively.
- 4#2. Probationary Group C limit means the total value of Group C contracts in any one category for which a probationary Group C contractor is eligible to be awarded.
53. Sub-contractor experience in this Appendix refers to working experience in carrying out sub-contract works in the first tier level (i.e. a sub-contract between the subject contractor and the main contractor) for all categories. In addition, for Waterworks category, ~~Where the relevant experience as a sub-contractor is counted for Buildings, Port Works, Site Formation or Waterworks category, it shall be that of a first tier sub-contractor, except that the relevant experience as a second tier sub-contractor for the main contract of other category under entrustment arrangement, incorporating waterworks elements that were required to be carried out by a contractor under the Waterworks category in the capacity as a sub-contractor will be accredited, may also be counted for the Waterworks category.~~ In all cases, the sub-contract works shall be relevant to the works under the Category he is applying for. For avoidance of doubt, the same works can be counted only once for a contractor irrespective of the sub-contracting arrangement. The contractor shall provide sufficient evidence to demonstrate the experience acquired from his completed sub-contracts.
4. ~~Where the relevant experience as a sub-contractor is counted for Roads & Drainage category only, it shall be the relevant experience as a principal sub-contractor, which is defined as a first tier sub-contractor who has completed at least 70% of the value of the works relevant to the Roads & Drainage category.~~
65. All Group B and Group C contractors must meet the Quality Management System Certification requirements as stipulated in WBTC No. 13/2001 and ETWB TCW No. 13/2001A.
7. For contracts completed by joint venture, only the part of contract completed by the contractor as a participant or shareholder in the joint venture shall be accredited and shall be calculated in accordance with his share of works by value. The part completed by the contractor shall be relevant to the works under the Category he is applying for. The contractor shall provide sufficient evidence to demonstrate the experience acquired from his completed part in the joint venture contracts.
- # ~~The new tender limits and probationary Group C limit effective as from 12 June 2009 will not affect the group limits and the minimum contract value referred in the contract experience requirement set out in this Appendix until further notice.~~
8. Completion of contract refers to issue of certificate of completion of the works or the last completed section of the works (excluding establishment works) or, for term contracts, the issue of completion certificate for the last completed works order (excluding establishment works).
9. “value” refers to the Architect/Engineer’s estimated value of completed works and, in case of joint venture, the shared value of completed works undertaken by the applicant.
10. The non-Government main contract stipulated in the contract experience requirements for confirmation as set out in this Appendix should be comparable with Government main contract in terms of management and site practices, including among others, safety and environmental performance, as substantiated with proof by the contractor in his application. To facilitate investigation, the Managing Department and the Development Bureau may seek confirmation, as necessary, on the authenticity of the proof provided by the contractor and/or seek further references on the contractor’s technical and management capabilities from relevant authorities or clients/consultants/authorised persons/architects/engineers of the contracts concerned, as appropriate.

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

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

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
Entry on Probation to Group B	<p>A. Direct Entry</p> <ol style="list-style-type: none"> 1) Registration with the Building Authority's Register of Contractors. 2) Satisfactory completion of at least two contracts within the past 5 years as the main contractor. Each contract shall be representative in size and complexity of Arch SD projects, and value over 50% of the Group B limit. <p>B. By Promotion</p> <ol style="list-style-type: none"> 1) Satisfactory completion of at least one Government building contract within the past 5 years, after confirmed in Group A, of value over 75% of the Group A limit and of considerable scope and complexity and covering the whole range of building trades. 	<ol style="list-style-type: none"> 1) Satisfactory completion of two contracts of predominantly port works nature within the past 5 years, of which one contract should be completed within 3 years preceding the application for inclusion and the value of works carried out for each of the two contracts should exceed 75% of the Group A limit; experience as a sub-contractor may be accredited. 	<p>A. Direct Entry</p> <ol style="list-style-type: none"> 1) Satisfactory completion of Government Roads and Drainage works, within the past 5 years, to a total value of not less than the Group B limit. Experience as a sub-contractor may count. Private sector experience may also be accredited. <p>B. By Promotion</p> <ol style="list-style-type: none"> 1) Satisfactory completion of at least one Government Roads and Drainage contract of value not less than 75% of the Group A limit after confirmation in Group A. Experience as a sub-contractor may count. 	<ol style="list-style-type: none"> 1) Satisfactory completion, within the past 5 years, one contract or contracts involving total earthworks quantity not less than 100,000 m³, of which one contract would involve earthworks quantity not less than 50,000 m³ in one or more of the following:- <ol style="list-style-type: none"> i) bulk excavation and filling (excluding quarrying and maintenance of spoil dumps); ii) sanitary landfill; iii) slope stabilization. 2) Experience as a sub-contractor may be accredited. 	<p>A. Direct Entry</p> <ol style="list-style-type: none"> 1) Possession of waterworks construction experience either acquired as contractor or sub-contractor for private sector contracts, or as sub-contractor for government contracts. 2) Mainlaying experience is a pre-requisite. 3) Satisfactory completion of three or more contracts of a waterworks nature of totally not less than \$75 million in value in the past 10 years. If in the capacity of a sub-contractor, the applicant must prove to have a major involvement in the works. <p>B. By Promotion</p> <ol style="list-style-type: none"> 1) Satisfactory completion of three or more contracts in the waterworks category of totally not less than \$25 million in value after confirmation in Group A. 2) Private sector experience may be accepted to supplement public sector experience.

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

Appendix 2B

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

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

Appendix 2B

Group/Status	Buildings	Port Works	Roads & Drainage	Site Formation	Waterworks
	in Group B, of value over 75% of the Group B limit.	<p>than 75% of the Group B limit. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	value not less than 75% of the Group B limit after confirmation to Group B. Experience as a sub-contractor is not accredited.	<p>confirmation to Group B, of value not less than 75% of the Group B limit, or one Government contract involving earthworks quantity not less than 300,000 m³. Experience as a sub-contractor is not accredited.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>	<p>B. By Promotion</p> <p>1) Satisfactory completion of three or more contracts in the waterworks category of at least two different types of work totally valued at not less than \$60 million with at least one contract of Group B value, after confirmation to Group B.</p> <p>2) Private sector experience may be accepted to supplement public sector experience.</p>
Confirmation to Group C	1) Satisfactory completion of at least one Government Building contract within the past 5 years of value over \$90 million and of considerable scope and complexity.	1) Satisfactory completion of at least one Government Group C Port Works contract within the past 5 years of value over \$90 million. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of at least one Government Roads and Drainage contract of value over \$90 million. Experience as a sub-contractor is not accredited	1) Satisfactory completion of at least one Group C site formation contract within the past 5 years of value over \$90 million. Experience as a sub-contractor is not accredited.	1) Satisfactory completion of two Group C contracts in the waterworks category of two different types of work totally valued at not less than \$120 million after admission to Group C on probation.

Remarks for Table 2 of this Appendix :

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

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

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

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

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

Group	Application	Checklist Items			
		New Building	Building Trades Involved	Structural Works Involved	Building Services Works Involved
	- (Min. Project Contract Value) - (Min. No. of Contracts)	Min. area and no. of storeys	Min. no. (Total 8) 1. Blockwork/Non-structural Elements 2. Roofing/Tanking 3. Carpentry/Joinery/Ironmongery 4. Glazing/Curtain Wall/Cladding 5. Internal & External Finishes/Rendering 6. External Works 7. Plumbing & Drainage 8. Metal Works	Min. Cost <u>in terms of % of min. contract value</u> (excluding Prelim. and piling) Involve new construction of Reinforced Concrete or Structure Steelworks	Min. Cost <u>in terms of % of min. contract value</u> (excluding Prelim.) Include at least 3 of the following: 1. Electrical 2. Fire Services 3. MVAC 4. Lift/Escalator
Group A	Direct Inclusion (AP) - (\$10M 50% of Group A limit) - (12 Nos.)	At least 2 storeys or CFA \geq 700m ² <u>in one construction site</u>	5 out of 8	\$2M 20%	\$1M 20%
	Confirmation (A) - (\$10M 50% of Group A limit) - (1 No.) [#]	At least 2 storeys or CFA \geq 700m ² <u>in one construction site</u>	5 out of 8	\$2M 20%	\$1M 20%
Group B	By Promotion (BP) - (\$15M 75% of Group A limit) - (1 No.)*	At least 2 storeys or CFA \geq 1100m ² <u>in one construction site</u>	5 out of 8	\$2.5M 15%	\$2M 15%
	Direct Inclusion (BP) - (\$25M 70% of Group B limit) - (21 Nos.)	At least 32 storeys and CFA \geq 260 850 m ² <u>in one construction site</u>	5-7 out of 8	\$3.5M 15%	\$3.5M 15%
	Confirmation (B) - (\$37.5M 70% of Group B limit) - (1 No.) [#]	At least 3 storeys and CFA \geq 268 000 m ² in one construction site	7 out of 8	\$5M 15%	\$5M 15%
Group C	By Promotion (CP) - (\$37.5M 75% of Group B limit) - (12 Nos.)*	At least 3 storeys and CFA \geq 2800m ² in one construction site	All 8	\$5M 15%	\$5M 15%
	Direct Inclusion (CP) - (\$180M Total 140% of Group CP limit) - (1 to 2 Nos.)	At least 3 storeys and <u>total</u> CFA \geq 210 4500 m ² in <u>max. two</u> one construction site	All 8	\$20M total 12%	\$20M total 12%
	Confirmation (C) - (\$90M 70% of Group CP limit) - (1 No.) [#]	At least 3 storeys and CFA \geq 1057 200 m ² in one construction site	All 8	\$10M 12%	\$10M 12%

[#] Must be a building contract executed in HKSAR.

* Must be a Government building contract.

Remarks for Table A of this Annex :

1. The revised admission/confirmation/promotion requirements in Table A of this Annex shall take effect from 1 December 2013. Nevertheless, for contractors who have already submitted applications before 1 December 2013 for admission, the existing admission requirements in Table B of this Annex will continue to apply. When contractors submit applications for confirmation or promotion basing solely on the experience of contracts for which tenders were invited before 1 December 2013, the existing confirmation or promotion requirements in Table B of this Annex will also continue to apply.
2. Group A limit and Group B limit mean the Group Tender Limits for Group A and Group B respectively.
3. Group CP limit means the total value of Group C contracts in any one category for which a probationary Group C contractor is eligible to be awarded.

Table B: Existing Requirements (prior to 1 December 2013)

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

* Must be a Government building contract.

Categories		Page No	Annex No
35	Specialized Operations for Highway Structures Class I – Guniting Class II – Waterproofing of Concrete Surfaces Class III – Repair of Cracked Concrete by Resin Injection Class IV – Non-destructive Testing of Welds Class V – Hot Dip Galvanising	179 - 180 181 - 182 183 - 184 185 - 186 187 - 189	-
36	Steam and Compressed Air Installation	190 - 195	1, 28
37	Structural Steelwork	196 - 198	-
38	Supply and Installation of Bearings for Highway Structures Class I – Mechanical Bearings Class II – Elastomeric Bearings	199 - 200 201 - 202	-
39	Supply and Installation of Expansion Joints for Highway Structures	203 - 205	-
40	Supply and Installation of Pumpsets and Associated Pipework	206 - 208	-
41	Supply and Installation of Water Treatment Plant	209 - 210	-
42	Supply of Bituminous Pavement Materials and Construction of Special Bituminous Surfacing	211 - 214	-
43	Survey of Government Land Pressure Receivers subject to Steam and Air Pressure (but excluding Steam Boilers)	215 - 218	1, 29
44	Survey of Government Land Steam Boilers	219 - 222	1, 30
45	Survey of Lifting Appliances and Lifting Gear	223 - 226	1, 31
46	Swimming Pool Water Treatment Installation	227 - 232	1, 32
47	Transparent Panels for Noise Barriers on Highways [formerly named as “Prefabricated Architectural Walls and Finishes (Screens, Sound Barriers and Retaining Walls)”]	233 - 235	-
48	Turn-key Interior Design and Fitting-out Works	236 - 238 ^A	-
49	Uninterruptible Power Supply Installation	239 - 243	1, 33
50	Video Electronics Installation	244 - 248	1, 34

Managing Department : Civil Engineering and Development Department

Works Category : 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 \$114M.

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

A. Entry On Probation	B. Confirmation
<p>1. Job Experience See sections<u>para.</u> 2.1, 2.2, 2.3 and 2.4 of Annex 18</p> <p>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:</p> <ul style="list-style-type: none"> 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 Environment, Transport and Works Bureau 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. <p>3. Top Management ^{*(See Remarks on the end page of this Appendix)} See section<u>para.</u> 2.5.1 of Annex 18</p> <p>4. Professional Staff See section<u>para.</u> 2.5.3 of Annex 18</p> <p>5. Technical Staff See section<u>para.</u> 2.3.3 of Annex 18</p> <p>6. Safety Staff See section<u>para.</u> 2.5.4 of Annex 18</p> <p>7. Plant and Equipment ^{** (See Remarks on the end page of this Appendix)} See section<u>para.</u> 2.6 of Annex 18</p> <p>8. Office/Workshop Facilities All applicants must possess or set up in Hong Kong a place of business.</p>	<p>Satisfactorily completed, as main contractor <u>or 1st tier sub-contractor</u> ^(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 respectively, containing multiple sites and of value not less than \$40M and subject to a minimum probationary period of 24 months</p> <ul style="list-style-type: none"> 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. <p>Employ/retain appropriate management staff</p> <p>Employ/retain appropriate professional staff</p> <p>Employ/retain appropriate technical staff</p> <p>Employ/retain appropriate safety staff</p> <p>Possess appropriate plant and equipment</p> <p>Not Applicable</p>

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

Managing Department : Architectural Services Department

Works Category : Turn-key Interior Design & Fitting-out Works Specialist Contractor

Group I : Eligible to be awarded one contract at any one time as a Trade Test.

Group II : Eligible to be awarded more than one contract at any one time.

Brief Scope of Category :

The scope of work in this category covers the design and fitting-out works for Government department/bureaux.

Group I	Group II
A. Direct Entry	A. Direct Entry
<p>1. Job Experience At least 3 major local projects in design and fitting-out works of value above \$5M completed in the past 5 years and one of which shall exceed \$15M.</p> <p>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.</p> <p>3. Top Management <small>*(See Remarks on the end page of this Appendix)</small> Not Applicable</p> <p>4. Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer as BS Coordinator (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four foremen each with at least five years' experience in construction industry; six carpenters/skill workers; three qualified quantity surveying staff (Ordinary Certificate in Building Studies); four accounting staff</p> <p>5. Plant and Equipment <small>** (See Remarks on the end page of this Appendix)</small> Not Applicable</p> <p>6. Office/Workshop Facilities A design office and workshop suitable for the nature of work. Local office and local workshop in Hong Kong are required.</p> <p>7. Training Facilities Not Applicable</p> <p>8. Others - supporting facilities from suppliers/ manufacturers/agents - regular sub-contractors</p>	<p>Not Applicable</p>

Group I	Group II
	<p data-bbox="1496 268 1774 292">B. Entry by Promotion</p> <p data-bbox="1167 300 1415 323">1. Job Experience</p> <p data-bbox="1167 363 2130 475">(1) <u>Satisfactory completion of the Trade Test (satisfactory completion of at least one ArchS project contract or 1st tier sub-contract under this Works Category within the past 5 years and of value above \$10M) and have good result in the full Performance Assessment</u></p> <p data-bbox="1167 515 2130 571">(2) <u>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:</u></p> <p data-bbox="1245 611 2130 667">(a) <u>The sub-contract shall include all the relevant work as described under the “Brief Scope of Category” covered in the main contract; and</u></p> <p data-bbox="1245 707 2130 786">(b) <u>The applicant shall have undertaken the full scope of work covered in the sub-contract, solely and fully, including contract management. In other words, the applicant shall not further sublet the whole sub-contract; and</u></p> <p data-bbox="1245 826 2130 906">(c) <u>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</u></p> <p data-bbox="1245 946 2130 1098">(d) <u>The applicant must present documentary evidence to prove the above requirements are met and such evidence must be supported by all the relevant upstream contracting parties including letters from them, which must be signed by their authorized signatories to confirm that the applicant has met the above requirements in the sub-contract; and</u></p> <p data-bbox="1245 1137 2130 1281">(e) <u>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.</u></p>

	<p>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.</p> <p>3. Top Management ^{** (See Remarks on the end page of this Appendix)} Not Applicable</p> <p>4. Technical Staff At least one qualified Architectural and Interior Designer (AP - List of Architects); one qualified Structural Engineer (RSE); one qualified Building Services Engineer as BS Coordinator (CIBSE or HKIE (BS)); one qualified contract manager with at least ten years' management experience in construction industry (Ordinary Certificate in Building Studies); four foremen each with at least five years' experience in construction industry; six carpenters/skill workers; three qualified quantity surveying staff (Ordinary Certificate in Building Studies); four accounting staff</p> <p>5. Plant and Equipment ^{** (See Remarks on the end page of this Appendix)} Not Applicable</p> <p>6. Office/Workshop Facilities A design office and workshop suitable for the nature of work</p> <p>7. Training Facilities Not Applicable</p> <p>8. Others - supporting facilities from suppliers/ manufacturers/agents - regular sub-contractors</p>
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ANNEX 18 Technical Requirement for Landslip Preventive/Remedial Works to Slopes/Retaining Walls Category

1. Qualification Criteria

- 1.1 The applicant must be registered in the list of Registered Specialist Contractor for Site Formation Works of the Buildings Department.
- 1.2 The applicant must have obtained either ISO Certification or if they do not have suitable works contracts in hand for certification auditing, a confirmation from a certification body accredited by the HKAS to issue the Certification or considered to be equivalent by the [ETWBDEVB](#) that a full review of the Quality Manual of their Hong Kong office has been carried out in Hong Kong by the certification body and such Quality Manual has been confirmed by the certification body as being in conformity with the requirements of the relevant ISO standard. The scope of certification should include landslip preventive/remedial works to slopes/retaining walls.
- 1.3 The applicant must achieve the minimum passing scores for the aggregate mark of the assessment and for individual or combined sections of the assessment as detailed in Section 2 below in the following attributes:
 - 1.3.1 Experience and performance on Government contracts [\(see Notes 1 and 2 of section 2.1 below\)](#) on Roads & Drainage and/or Site Formation categories (Group B or above) in the past 3 years.
 - 1.3.2 Experience and performance on landslip preventive, remedial or formation works of slopes and/or retaining walls in areas immediately behind occupied structures, adjacent to railway lines or public roads in the past 3 years.
 - 1.3.3 Experience, availability and organization of managerial, professional, technical and site safety staff with particular emphasis on Landslip Preventive Measures (LPM) type works.
 - 1.3.4 Availability of plant and equipment for LPM type works.

2. **Method of Assessment**

2.1 **Experience on Government contracts^(see Note 1) under the Roads & Drainage and/or Site Formation categories in the past 3 years**

Criteria	Marks
Applicant is not on the Approved List under R&D or SF categories	0
Applicant is on the Approved List under R&D or SF categories at Group B	2
Applicant is on the Approved List under R&D or SF categories at Group C	5
Between 1 and 5 no. performance reports ^(see Note 2) in either or both categories	Add 2
Between 6 and 8 no. performance reports ^(see Note 2) in either or both categories	Add 4
Between 9 and 12 no. performance reports ^(see Note 2) in either of both categories	Add 6
More than 12 performance reports in either or both categories	Add 10
	<i>Maximum score 15 marks</i>

Notes:

- (1) Government contracts that have been completed by the applicant as main contractor or first-tier sub-contractor of the main contract.
- (2) For the applicant as main contractor for Government contract, performance reports shall refer to the reports stipulated in Section 4 of Contractor Management Handbook. For the applicant as sub-contractor for Government contract, performance reports shall refer to the above quarterly reports covering the applicant's work period of the sub-contract.

2.2 **Performance on Government Contracts^(see Note 1 of section 2.1 above) under Road & Drainage and/or Site Formation categories in the past 3 years**

Criteria	Marks
10% or more of performance reports adverse or no performance reports	0
More than 5% but less than 10% performance reports adverse	4
Up to 5% performance reports adverse	8
No adverse reports	12
No adverse and some very good reports	15
	<i>Maximum score 15 marks</i>

Note 1 - Notwithstanding Note 2 in section 2.1 above for counting the number of performance reports on Government contract to assess the applicant's experience, only performance reports of the applicant as main contractor for Government contract will be counted for assessing his performance under section 2.2. Therefore, this section 2.2 will not apply when the applicant has undertaken only subcontracts in the period.

2.3 Experience and performance on landslip preventive, remedial or formation works of slopes and/or retaining walls in areas immediately behind occupied structures, adjacent railway lines or public roads in the past 3 years

Criteria		Marks
No. of sites on which LPM works were completed by the applicant with- satisfactorily performance	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 with- satisfactorily performance	2 to 3	Add 5
	4 or more	Add 10
Multiple-site experience	The applicant completed LPM works with- satisfactorily performance on at least 6 simultaneously active sites with total value of works higher than \$7M	Add 5
	The applicant completed LPM works with- satisfactorily performance 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 sub-contracts of any tier for Government LPM works will be counted for assessment in section 2.3.

2.4 Overall experience and performance in works of Roads & Drainage, Site Formation and Landslip Preventive Works in the past 3 years

Criteria	Marks
Assessments in Sections 2.1, 2.2 and 2.3 above	Aggregate of marks scored in Sections 2.1, 2.2 and 2.3 above Maximum score 60 marks <u>(or 45 marks when section 2.2 does not apply, vide Note 1 of section 2.2 above)</u> Minimum passing score ⁽¹⁾ <u>50% of maximum score 30 marks</u>

Note 1 - The application will be rejected if the mark achieved is below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5 **Experience, availability and organization of managerial, professional, technical and safety staff with particular emphasis on experience for LPM type works**

2.5.1 **Management level staff**

Criteria	Marks
No full-time member of management level staff has 5 years or more relevant local experience (gained within the past 10 years) in managing a construction firm	0
At least one full-time member ⁽¹⁾ of management level staff has a minimum of 5 years relevant local experience (gained within the past 10 years) in managing a construction firm	5
At least one full-time member ⁽¹⁾ of management level staff has a minimum of 5 years relevant local experience (gained within the past 10 years) in managing a construction firm Plus A minimum 2 years experience in managing multiple site contracts and LPM type works over the past 5 years	10
<i>Maximum score 10 marks</i> <i>Minimum passing score⁽²⁾ 5 marks</i>	

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5.2 Professional staff (excluding staff assessed in 2.5.1)

Criteria	Marks
No staff employed full-time who holds a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	0
At least one full-time member of staff ⁽¹⁾ with a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	5
At least one full-time member of staff ⁽¹⁾ with a relevant professional qualification (RPE (G or C), MHKIE (G or C), etc.) <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	10
	<i>Maximum score 10 marks</i> <i>Minimum passing score⁽²⁾ 5 marks</i>

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved in this assessment is higher than the overall minimum passing score.

2.5.3 Technical staff (excluding staff assessed in 2.5.1 and 2.5.2)

Criteria	Marks
No full time member of technical staff has the academic qualification <u>and</u> minimum local experience in site formation or LPM-type works of the 3 combinations below	0
At least one full-time member of staff ⁽¹⁾ with an Ordinary Certificate in Civil Engineering <u>and</u> with a minimum of 5 years local experience in site formation or LPM-type works	2
At least one full-time member of staff ⁽¹⁾ with a Higher Certificate in Civil Engineering <u>and</u> with a minimum of 3 years local experience in site formation or LPM-type works	3
At least one full-time member of staff ⁽¹⁾ with a relevant degree from a HK university or equivalent <u>and</u> with a minimum of 3 years local experience in site formation or LPM-type works	5
	<i>Maximum score 5 marks</i> <i>Minimum passing score⁽²⁾ 2 marks</i>

Notes:

- (1) The member of staff must have worked full-time for the applicant for at least one year.
- (2) The application will be rejected if the marks achieved are below the minimum passing score in this section irrespective of whether the aggregate total of marks achieved 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. Probationary contractors will be allowed to take on not more than two Government contracts with total outstanding value of works of not greater than \$100M tendered under the LPM Specialist Category.

4. Criteria for Confirmation

- 4.1** A probationary contractor may, subject to a minimum probationary period of 24 months, apply for confirmation to the Secretary for Developmentthe Environment, Transport and Works in writing when they have satisfactorily completed, as main contractor or first-tier sub-contractor ^(see Note 1 in section 2.1 above), at least one Government Landslip Preventive Measures contract or its first tier sub-contract respectively, containing multiple sites and of value not less than \$40M. Confirmation will also be subject to the contractor being able to meet the financial criteria applicable to confirmed status, having the appropriate technical and management capabilities and in all other ways being considered suitable for confirmation.