

**Estates Office
The University of Hong Kong**

Notes on the Contractor Application Form

1. General

The Estates Office (EO) of the University of Hong Kong (HKU) has maintained the following Lists of Approved Contractors (the Lists) which will be updated in July every year:

- Building Contractors
- Electrical Contractors
- Mechanical Ventilation Air-Conditioning (MVAC) Contractors
- Fire Services (FS) Contractors
- Asbestos Contractors

The Lists are arranged into two groups based on contract value of works and whether or not the contractor is approved by the Development Bureau of HKSAR Government (DevB), except for Asbestos Contractors:

| Category | List A Contractors: already on DevB list, for works with maximum contract value | List B Contractors: NOT on DevB list, for works with maximum contract value |
|------------------------|--|--|
| Building Contractors | HK\$75 million | HK\$30 million |
| Electrical Contractors | HK\$30 million | HK\$21 million |
| MVAC Contractors | | |
| FS Contractors | | |
| Asbestos Contractors | On the Register of Asbestos Contractors of the Environmental Protection Department (EPD) | |

2. Contractor Eligibility

EO will usually consider an application from a contractor already on a DevB list. For a contractor not on a DevB list, they will be considered for admission into List B. The following are the minimum required qualifications for admission to the respective categories:

Building Contractor

- Listed in the Building Authority's Register of General Building Contractors (RGBC)
- An Approved Contractor for Public Works in DevB List *¹

Electrical Contractor

- Listed in the List of Registered Electrical Contractors of Electrical and Mechanical Services Department
- A Specialist Contractor for Electrical Installation in DevB List *²

*¹ List of Approved Contractors for Public Works published by DevB

*² List of Approved Suppliers of Materials and Specialist Contractors for Public Works published by DevB

Mechanical Ventilation and Air Conditioning Contractor

- Listed in the Register of Specialist Contractors under the Sub-register of Ventilation Works Category “RSC(V)” of Buildings Department
- A Specialist Contractor for Air-conditioning Installation in DevB List *²

Fire Services Contractor

- Listed in the List of Registered Fire Service Installation Contractors of Fire Services Department
- A Specialist Contractor for Fire Service Installation in DevB List *²

Asbestos Contractor

- A Registered Asbestos Contractor on the Register of Asbestos Contractors of EPD

3. Contractor Application

New applications will be assessed annually, based on criteria such as company profile, relevant job experience and overall suitability to work on HKU projects.

A contractor wishing to be considered for inclusion into the Lists should read the Notes on the Contractor Application Form carefully before completing the Contractor Application Form. The contractor shall return the form together with all the required documents listed below:

- (i) Copy of Business Registration Certificate and Certificate of Incorporation of the company in Hong Kong;
- (ii) Copy of Certificate of Registration of General Building Contractor and/or Certificate of Registration of Specialist Contractor;
- (iii) Company profile and an Organization Chart showing the corporate structure with name of employees, positions, line of command etc.;
- (iv) CVs and copy of certificates of professional qualifications obtained by all dedicated project managers;
- (v) Copy of Certificate of Quality Management System;
- (vi) Copy of the last 3 years financial accounts;
- (vii) Relevant job experience including university / institutional projects;
- (viii) Commendation letters from client organizations; and
- (ix) Documentary evidence, e.g. letter of award / acceptance, to demonstrate satisfactory execution of a contract; works undertaken should be relevant to and commensurate with the category being applied for.

4. Assessment for inclusion into the Lists

The technical and financial information submitted by a contractor will be assessed. Supplementary information will be requested if an application is found to be incomplete. An application will be rejected if no reply is received by the deadline given in our request for the supplementary information.

If considered acceptable, EO will recommend the applicant to the Tenders Board of HKU. If approved, the applicant will be included into List A or List B of the respective categories as appropriate. If an application is not approved, the contractor will be advised accordingly. EO's decision on the contractor application will be final.

5. Technical Assessment

Technical assessment of an application will be carried out against the following criteria:

- (i) Government registrations
- (ii) Company organization and core personnel
- (iii) Knowledge, experience and capability of core personnel
- (iv) Relevant experience and overall suitability to work on HKU projects
- (v) Past performance

6. Financial Assessment

Contractors must attain the minimum criteria as listed below in order to pass the financial assessment for List B:

- (i) Paid-up share capital should be minimum HK\$1,200,000;
- (ii) Employed capital should be minimum HK\$1,200,000;
- (iii) Working capital > HK\$1,200,000 or 15% of annualised outstanding works whichever is higher; and
- (iv) Profitability trend analysis - Average loss rate*³ < or = 30%

7. Personal Data (Privacy) Ordinance (Cap 486)

(i) Purpose of Personal Information Collection

The personal data provided in the Contractor Application Form and documents will be used by the EO for the following purposes:

- Activities relating to your status in the List maintained by the EO and any possible regulatory actions against you such as downgrading, suspension, or removal from the List; and
- Activities relating to the assessment of the staffing aspect of your technical submissions.

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

The provision of personal data by means of this Form is obligatory. If you do not provide sufficient information, we cannot determine your status in the List and assess the staffing aspect of your technical submissions.

(ii) Classes of Transferees

The personal data you provide on the Form and documents may be disclosed to Government bureaux and departments for the purpose of assessing your technical submissions or taking regulatory action against you or matters in relation thereto.

(iii) Access to Personal Data

Under the Personal Data (Privacy) Ordinance, you have a right to request access to, and to request correction of, your personal data in relation to your application.

8. Enquiries

Ms. Rowena Lee, Technical Manager
Tel: 2816 8213
Email: estates@estates.hku.hk.

9. Submission of Application

The submission of the Contractor Application Form and any enquiry concerning the same should be addressed to:

Director of Estates
Estates Office, The University of Hong Kong
17/F Kennedy Town Centre
23 Belcher's Street
Kennedy Town
Hong Kong

May 2021

**Estates Office
The University of Hong Kong**

Contractor Application Form

Please read the "Notes on the Contractor Application Form" before completing this form.

To: Director of Estates
Estates Office, The University of Hong Kong
17/F Kennedy Town Centre, 23 Belchers Street, Kennedy Town, Hong Kong

| Part 1 | Contractor Category |
|---|---------------------|
| <p>Please "✓" the category of contractor(s) that you wish to apply for inclusion.</p> <p><input type="checkbox"/> Building Contractors <input type="checkbox"/> Electrical Contractors <input type="checkbox"/> MVAC Contractors <input type="checkbox"/> F.S. Contractors <input type="checkbox"/> Asbestos Contractors</p> <p>Further details of the contractor category being applied for, in particular the technical capabilities of your company:</p> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> | |
| Part 2 | Company Details |
| <p>Contractor Name: _____</p> <p>Address: _____ _____</p> <p>Telephone No.: _____</p> <p>Fax No.: _____</p> <p>Email Address: _____</p> <p>Contact Person / Post: _____</p> <p>Business Registration Certificate No.: _____</p> <p>Name of each domestic sub-contractor, if any:</p> <hr/> <hr/> <hr/> <hr/> <hr/> | |

Part 3 | Government Approved Contractors

Is your company in the list of government approved contractors? (“✓” as appropriate)

(a) Registered General Building Contractor

Yes, Registration No.: _____ No

(b) List of Approved Contractors for public works administered by the Development Bureau

Yes, Band & Group: _____

No

Part 4 | Office Organization

No. of top management: _____

No. of technical staff: _____

Part 5 | Site Safety Record

Please state the no. of incidents record, e.g. loss of life; serious bodily injury; or serious damage to works or property on or adjacent to the construction site etc. in these years.

| | | | | |
|------|------|------|------|------|
| 20__ | 20__ | 20__ | 20__ | 20__ |
| | | | | |

Part 6 | Work Experience

(a) Please indicate the no. of invitations to tender, no. of successful tenders and state the job nature and associated contract sum in these years.

| Year | No. of Invitations to Tender | No. of Successful Tenders | Job Nature | Associated Contract Sum |
|------|------------------------------|---------------------------|------------|-------------------------|
| 20__ | | | | |
| 20__ | | | | |
| 20__ | | | | |
| 20__ | | | | |
| 20__ | | | | |

(b) Please provide a list of relevant jobs separately with details including:

| Project Location | Client | Consultant | Scope of Works | Date Commenced | Date Completed | Contract Sum |
|------------------|--------|------------|----------------|----------------|----------------|--------------|
| | | | | | | |

(c) Please provide the name and contact details for the company / personnel who can provide a reference for your previous jobs.

| Company / Personnel Name | Address | Telephone No. | Email Address |
|--------------------------|---------|---------------|---------------|
| | | | |

(d) Please advise if your company has any experience with working on tertiary education projects.

Yes No

Part 7 Response to Tender Invitations

(a) Will your company respond to every tender invitation?

Yes No

(b) Does your company have any preferred project price range for tendering?

Yes, preferred range: _____ No

(c) Please indicate the no. of failures to submit a tender in a category within the past three years.

(d) Please indicate the no. of withdrawal of tenders in a category within the tender validity period within the past year

Part 8 Conflict of Interest

Please state whether any of your family and other relations and / or close friends are working in the University whereby their loyalty to you may conflict with the interests of the University.

| | |
|---------------|----------------------------------|
| Part 9 | Supplementary Information |
|---------------|----------------------------------|

Please state details.

| | |
|----------------|--------------------|
| Part 10 | Declaration |
|----------------|--------------------|

I/We declare that the information given in this form is true and correct. Should any update or material changes of the company, I/we will inform the University immediately.

Signature: _____ Company Chop: _____

Name: _____

Post: _____

Date: _____

December 2020