

**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 January and July every year:

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

The Lists (CT-1 to 5) are arranged in 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, CT-1	HK\$75 million	HK\$30 million
Electrical Contractors, CT-2	HK\$30 million	HK\$21 million
MVAC Contractors, CT-3		
FS Contractors, CT-4		
Asbestos Contractors, CT-5	On Register of Asbestos Contractors of the Environmental Protection Department (EPD)	

The List (CT-6) is arranged in two groups based on contract value of works and whether or not the contractor is on the Register of General Building Contractors and/or Minor Works Contractors:

<b>Category</b>	<b>List A Contractors:</b> already on Register of General Building Contractors, for works with maximum contract value	<b>List B Contractors:</b> Already on Register of General Building Contractors / Minor Works Contractors, for works with maximum contract value
Fitting-out Contractors, CT-6	HK\$50 million	HK\$10 million

## **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 \*<sup>1</sup>

### ***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 \*<sup>2</sup>

### ***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 \*<sup>2</sup>

### ***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 \*<sup>2</sup>

### ***Asbestos Contractor***

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

### ***Fitting-out Contractor***

- Listed in the Building Authority's Register of General Building Contractors (RGBC) and Minor Works Contractors (Company) (RMWCs(Co)) as appropriated

## **3. Contractor Application**

New applications will be assessed biannually, 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;

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\*<sup>1</sup> List of Approved Contractors for Public Works published by DevB

\*<sup>2</sup> List of Approved Suppliers of Materials and Specialist Contractors for Public Works published by DevB

- (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) Specializing in office, retail, residential and tertiary education renovations for Fitting-out Contractor;
- (ix) Commendation letters from client organizations; and
- (x) 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 of CT-1 to CT-4:

- (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\*<sup>3</sup> < or = 30%

The financial aspects for Fitting-out Contactor (CT-6) is as follows:

- (i) List A: Average annual turnover of HK\$30,000,000 for the past 3 years
- (ii) List B: Average annual turnover of HK\$15,000,000 for the past 3 years

## **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.

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: 3917 0213  
Email: [estates@estates.hku.hk](mailto:estates@estates.hku.hk).

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\*<sup>3</sup> 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).

## **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

April 2024

**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

<b>Part 1</b>	<b>Contractor Category</b>
<p>Please “✓” the category of contractor(s) that you wish to apply for inclusion.</p> <div style="margin-left: 20px;"><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 <input type="checkbox"/> Fitting-out Contractors</div> <p>Further details of the contractor category being applied for, in particular the technical capabilities of your company:</p> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px;"></div>	
<b>Part 2</b>	<b>Company Details</b>
<div style="margin-bottom: 10px;">Contractor Name: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Address: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Telephone No.: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Fax No.: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Email Address: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Contact Person / Post: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Business Registration Certificate No.: <div style="border-bottom: 1px solid black; width: 80%; display: inline-block;"></div></div> <div style="margin-bottom: 10px;">Name of each domestic sub-contractor, if any:</div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px;"></div>	

<b>Part 3</b>	<b>Government Approved Contractors</b>																														
<p>Is your company in the list of government approved contractors? (“✓” as appropriate)</p> <p>(a) Registered General Building Contractor</p> <p style="text-align: center;"> <input type="checkbox"/> <b>Yes</b>, Registration No.: _____             <span style="margin-left: 200px;"><input type="checkbox"/> <b>No</b></span> </p> <p>(b) List of Approved Contractors for public works administered by the Development Bureau</p> <p style="text-align: center;"> <input type="checkbox"/> <b>Yes</b>, Band &amp; Group: _____               <input type="checkbox"/> <b>No</b> </p>																															
<b>Part 4</b>	<b>Office Organization</b>																														
<p>No. of top management: _____</p> <p>No. of technical staff: _____</p>																															
<b>Part 5</b>	<b>Site Safety Record</b>																														
<p>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.</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20%;">20__</td> <td style="width: 20%;">20__</td> <td style="width: 20%;">20__</td> <td style="width: 20%;">20__</td> <td style="width: 20%;">20__</td> </tr> <tr> <td style="height: 30px;"></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>		20__	20__	20__	20__	20__																									
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<b>Part 6</b>	<b>Work Experience</b>																														
<p>(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.</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 10%;">Year</th> <th style="width: 15%;">No. of Invitations to Tender</th> <th style="width: 15%;">No. of Successful Tenders</th> <th style="width: 30%;">Job Nature</th> <th style="width: 30%;">Associated Contract Sum</th> </tr> </thead> <tbody> <tr> <td>20__</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>20__</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>20__</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>20__</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>20__</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Year	No. of Invitations to Tender	No. of Successful Tenders	Job Nature	Associated Contract Sum	20__					20__					20__					20__					20__				
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(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.

\_\_\_\_\_  
\_\_\_\_\_



<b>Part 9</b>	<b>Supplementary Information</b>
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Please state details.

<b>Part 10</b>	<b>Declaration</b>
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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: \_\_\_\_\_

June 2023