

**Building Rehabilitation Company Registration Scheme
(BRCRS)**

Scheme Handbook

2023

**Hong Kong Building Rehabilitation
Facilitation Services Limited
(a wholly owned subsidiary company of
the Urban Renewal Authority)**

Building Rehabilitation Company Registration Scheme

The Building Rehabilitation Company Registration Scheme (the Scheme) was developed by Hong Kong Building Rehabilitation Facilitation Services Limited (HKBRFSL) in 2021 to assess whether consultants and contractors (Service Providers) had the related mechanisms or systems in quality management, professional services and customer services for performing building rehabilitation work. Through the scheme, HKBRFSL, as the Scheme Owner aims to provide useful, objective information about Service Providers for building owners to reference via a platform.

Disclaimer:

The HKBRFSL shall not be liable for any loss or damage suffered by the Applicant or any other parties whatsoever or howsoever caused by, arising from and/or in connection with, whether directly or indirectly, the BRCRS and any services delivered by the HKBRFSL under the BRCRS. Enquiries about status and issue of amendments should be directed to the HKBRFSL. In the event of a change in the Scheme, a transition period of six months, or any other length of the transition period to be announced by the HKBRFSL shall be given to all Applicants for clarification of the new requirements and preparation work for conforming to the changed requirements.

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PART ONE INTRODUCTION

1.1 Foreword

1.1.1 Background

In Hong Kong, the safety and standard of materials and rehabilitation works are controlled by various laws and regulations, and construction quality is overseen by qualified professional personnel from various construction disciplines. Beyond the legal requirements, there are many recommended practices relating to work governance and customer accountability that safeguard the quality of work and improve a building owners' ability to duly exercise their rights.

In 2012, the Mandatory Building Inspection Scheme (MBIS) was introduced under the Buildings Ordinance (BO), Cap. 123. Under the MBIS, upon receipt of a notice served by the Building Authority (BA) under section 30B of the BO, building owners are required to appoint a Registered Inspector (RI) to carry out an inspection, and a Registered General Building Contractor (RGBC) or Registered Minor Works Contractor (RMWC) to carry out any necessary rectification and repair work, under the supervision of an RI. MBIS also covers the inspection of fire safety systems. The RI needs to inspect the fire safety installations to ascertain (1) whether they comply with the legislation, standards and codes of practice in place at the time the building was constructed, including any alterations and additions works that have been carried out; or (2) if any fire safety improvement works (FS Works) have been completed in accordance with the fire safety directions issued under the Fire Safety (Building) Ordinance, Cap. 572 (FSB(O)) or Fire Safety (Commercial Premises) Ordinance, Cap. 502 (FS(CP)O). A Registered Fire Service Installation Contractor (RFSIC) must be appointed by the owner(s) or main contractor(s) to carry out work related to fire service installations.

As building users, building owners may not have access to sufficient sources of information or reference materials to guide them in selecting appropriate Service Providers to undertake work related to building rehabilitation and fire service installations, and the HKBRFSL hopes to provide information on Service Providers for building owners. The Building Rehabilitation Company Registration Scheme has been developed to provide an information platform that can be used to check whether consultants and contractors have related mechanisms or systems in quality management, professional services and customer services ("project management mechanism and system") for performing building rehabilitation work.

1.1.2 Objectives

The Building Rehabilitation Company Registration Scheme (BRCRS) has the following objectives:

- To establish a one-stop information platform that building owners can use to search for Service Providers;
- To assess Service Providers' project management mechanisms and systems for performing building rehabilitation work;

- To encourage Service Providers to keep improving their service;
- To promote a standard of good practice to Service Providers.

1.2 Expected Benefits

Expected benefits for Scheme Applicants include:

- Registration under the Scheme as a Service Provider providing building rehabilitation services, and the development of a Building Rehabilitation Company Database
- Opportunity to promote a good practice standard by aiding Service Providers in establishing, maintaining, and continuously improving service quality, particularly in the areas of quality management, professional services and customer services, in order to complete the Assessment for Core Requirements
- Opportunity for building owners to use the Building Rehabilitation Company Database to search for Service Providers and increase the communication channel between building owners and Service Providers
- Recognition of Service Providers' efforts in carrying out building rehabilitation work.

1.3 Building Rehabilitation Company Registration Scheme

There are two main parts to the BRCRS requirements – “Basic Company Information” and “Assessment for Core Requirements”. A company successfully registered under BRCRS is required to provide Basic Company Information and complete Assessment for Core Requirements.

- Basic Company Information:
It is provided by the registered company, including name, address, professional qualifications and the number of professionals, and past violations, convictions and records of disciplinary action, etc. The completeness of the information will be assessed through an off-site review.
- Assessment for Core Requirements:
The independent consultant appointed by the HKBRFSL will randomly sample a completed project to assess whether the company has the related mechanisms or systems in quality management, professional services and customer services ("project management mechanism and system") for performing building rehabilitation works. The assessment will only cover the existence of the mechanisms or systems but not the quality of the mechanisms or systems.

Companies successfully registered under the Scheme will be included in the Building Rehabilitation Company Database for public reference. A successfully registered company will receive a registration certificate valid for three years, and the company must continue to implement its own project management mechanism and system within the validity period of registration. When the validity period of the registration expires, the company needs

to apply for registration renewal and undergo the assessment. A successfully registered company is required to update the company's information regularly. The date of the latest information update will also be displayed on the Building Rehabilitation Company Database for public reference.

1.4 Definitions

| | |
|--|---|
| Appeal Panel | The panel responsible for final resolutions in complaint/appeal/dispute cases is made up of representatives from building rehabilitation-related professional associations, organizations, and trade groups. |
| Applicant | Qualified consultants and/or contractors applying for registration under the Scheme. |
| Application | An application submitted to the HKBRFSL by an Applicant for registration as a building rehabilitation service provider under the Scheme. |
| Consultancy firm providing assessment services under the Scheme | An independent consultant appointed by the HKBRFSL to be an independent assessor and arrange assessment. |
| Assessment | An in-depth assessment conducted by Assessors to determine whether an Applicant fulfills the requirements of the Scheme. The assessment is carried out by Assessors pursuant to the Terms and Conditions (T&C) and the Scheme Handbook in order to validate and examine the Applicant's conformity to all Scheme requirements. |
| Assessor | An independent Assessor who provides assessment and/or conclusions to the HKBRFSL in order to demonstrate an Applicant's conformity to requirements. |
| Building Rehabilitation Company Database | A publicly accessible database maintained by the HKBRFSL including all registered companies and their Basic Company Information. |
| Consultant | A consultant providing any of the following types of building rehabilitation consultation services: <ul style="list-style-type: none"> - Authorized Person services; and/or - Registered Inspector services. |
| Contractor | Any of the following types of contractors providing building rehabilitation services: <ul style="list-style-type: none"> - Registered General Building Contractor; and/or - Registered Minor Works Contractor (Class I); and/or - Registered Fire Service Installation Contractor (Class 1 & 2). |
| Qualifying Assessor | An experienced Assessor who evaluates and re-evaluates Assessors, and conducts independent quality and technical reviews of assessment results. |

| | |
|--|---|
| Registration Certificate | A certificate issued by the HKBRFSL recognising that the Applicant complies with the registration requirements in the T&C and the Scheme Handbook; valid for three years. |
| Registered Company | Applicant that is registered as a building rehabilitation service provider under the Scheme. |
| Registration Panel | The panel that reviews and approves registrations. It is made up of representatives from building rehabilitation related professional associations, organizations, and trade groups. |
| Scheme Handbook | The BRCRS Scheme Handbook drafted and prepared by the HKBRFSL for the Scheme, together with amendments, supplements and/or additions made by the HKBRFSL at its sole and absolute discretion, from time to time. |
| HKBRFSL | Hong Kong Building Rehabilitation Facilitation Services Limited (HKBRFSL), the owner and operator of the Scheme. |
| Terms and Conditions of BRCRS (T&C) | The terms and conditions of the Scheme, together with amendments, supplements and/or additions (as the case may be) made by the HKBRFSL at its sole and absolute discretion, from time to time. |
| The Scheme | The Building Rehabilitation Company Registration Scheme, which is a voluntary scheme operation and administered by the HKBRFSL to maintain a database of building rehabilitation service providers for reference by the public. |

1.5 Roles and Responsibilities of the HKBRFSL, Registration Panel, Appeal Panel and the Assessors

The roles and responsibilities of the HKBRFSL are to:

- Maintain the Scheme, including updating documentation to meet the latest registration requirements;
- Handle enquiries and applications;
- Pass the relevant information to Assessors prior to assessment;
- Review and confirm the acceptance of registration recommendations;
- Handle registration certificates and maintain the Building Rehabilitation Company Database;
- Handle complaint and appeal cases, and carry out media monitoring for Applicants;
- Handle withdrawal cases; and
- Provide Assessor training and manage the Assessor qualification.

The roles and responsibilities of the Registration Panel are to:

- Conduct formal registration and registration renewal reviews and approvals; and
- Manage withdrawal approvals.

The roles and responsibilities of the Appeal Panel are to:

- Make decisions on further investigations into the Applicant and Registrant in complaints, appeals and disputes cases; and
- Conduct final resolution judgement in complaints, appeals and disputes cases.

The roles and responsibilities of Assessors are to:

- Conduct assessments; and
- Deliver assessment findings and reports to Applicants

The roles and responsibilities of Qualifying Assessors are to:

- Evaluate and re-evaluate Assessors; and
- Conduct independent quality and technical reviews of assessment results, and provide conclusions and recommendations about an application.

PART TWO SCHEME INTRODUCTION

2.1 Entitlements and Responsibilities of Applicants Joining the BRCRS

Entitlements:

- Applicants will receive an assessment report at the end of the on-site assessment;
- Applicants can lodge complaints to the HKBRFSL about the process of assessment;
- Applicants can appeal against the results of assessment and their application;
- Applicants can withdraw from the registration process;
- Registered companies will be included in the Building Rehabilitation Company Database, which is publicly accessible;
- Registered companies will receive a registration certificate;
- Registered companies are allowed to update or modify online the particulars of their companies in the Building Rehabilitation Company Database.

Responsibilities:

- Applicants have to provide accurate and complete information to the HKBRFSL and Assessors in a timely manner;
- Applicants have to co-operate with, and provide required assistance to, the HKBRFSL and Assessors throughout the registration process;
- Registered companies have to ensure that the recommended practices have been implemented and are maintained after registration;
- Registered companies have to update their Basic Company Information in a timely manner.

2.2 Database Management

Applicants are entitled to be included in the Building Rehabilitation Company Database on meeting all the following criteria:

- all necessary documents and information are submitted and are in order;
- the HKBRFSL recommends the Applicant for registration;
- the Registration Panel approves the registration of the Applicant;
- the registration related fee is settled; and
- the Applicant does not do anything that leads to the withdrawal of registration.

Any one of the following may lead to withdrawal of registration.

- Violation of the T&C, including but not limited to the following items:
 - a) Failure to permit the renewal registration assessment;
 - b) Failure to settle the registration related fee;

- c) Provision of misleading information by the Applicant during the registration process;
 - d) Violation of the Self-Declaration and Self-Disclosure of basic company information as listed in Tables 1.1 and 1.2 of Part 5 of the Scheme Handbook.
-
- The Registered Company becomes subject to the bankruptcy laws or makes any arrangements with its creditors, or enters into liquidation, or has a receiver of its business appointed, or an officer of the Registered Company is convicted of an offence tending to discredit the reputation and good faith of the Registered Company as a building rehabilitation service provider;
 - The Registered Company goes into bankruptcy, liquidation, insolvency or receivership or an administrator is appointed for any or part of the undertaking thereof;
 - There is a complaint or *negative mass media report against the Registered Company and the negative mass media report is related to the registration scope of the Registered Company.

* Negative mass media report refers the arrest by the law enforcement agents (i.e. HKPC, ICAC & CC) or hearing related to the violations, convictions and records of disciplinary action declared by the registered company. If the registered company provides a false declaration during the application period or the registration period, this may lead to withdrawal of registration.

If Applicants want to add a registration type, or change the registration type, they need to make a new application to re-initiate the registration process. To remove a registration type which is no longer required, Applicants should inform the HKBRFSL, which will initiate the appropriate process. Changes can be made to the Basic Company Information in the Building Rehabilitation Company Database through the online platform. The HKBRFSL reserves the right to delete any inappropriate information.

PART THREE SCHEME DETAILS

3.1 Types of Registration

The Scheme provides five types of registration:

- Authorized Persons;
- Registered Inspectors;
- Registered General Building Contractors;
- Registered Minor Works Contractors (Class I); and
- Registered Fire Service Installation Contractors (Class 1 & 2).

3.2 Specific Limitations and Exclusions

Only the types of Applicants and projects specified in section 3.4 of this document are within the scope of registration and assessment.

The quality of the building rehabilitation works done by the Applicant is outside the scope of this Scheme as the registration assessment focuses only on whether Applicants have put in place the relevant management systems for managing the recommended practices.

Since the assessment of core requirements is undertaken on a sampling basis, it is possible that some failures to meet the requirements will not be identified during the registration assessment.

Applicants are ultimately responsible for evaluating the actual impact of any failure to meet the requirements identified during the registration assessment, and for undertaking the necessary improvement measures.

Other exclusions can be found in the T&C, available on the website of the Building Rehabilitation Company Registration Scheme (<https://brcrs.brplatform.org.hk/>)

3.3 Disclosure of Basic Company Information

When applying for BRCRS Registration, Applicants are required to make certain declarations and disclose Basic Company Information, as per the scheme requirements (refer to section 5.1 of this document for details of the Basic Company Information). The HKBRFSL will examine if all necessary information is provided before proceeding with the BRCRS Core Requirements assessment. The information will be included in the Building Rehabilitation Company Database and made available to the public, after successful registration.

Contraventions, convictions and disciplinary proceedings declaration items:

- Convictions for Bribery Offences;
- Contraventions and Convictions for Anti-Competition;
- Convictions for Registered Professional Offences;
- Convictions Leading to Imprisonment; and
- Disciplinary Proceedings.

Company information items:

- Project References;
- In-house Authorized Persons (AP) / Registered Inspectors (RI);
- In-house Professional Staff;
- Other Company Information; and
- Change of Company Name.

3.4 Eligibility

3.4.1 Applicant Eligibility

Five types of Service Providers are eligible for the Scheme:

1. Consultancy firms providing services of Authorized Persons;
 - With Authorized Person whose name is on the Authorized Persons' Register maintained by the Buildings Authority
2. Consultancy firms providing services of Registered Inspectors;
 - With Registered Inspector whose name is on the Inspectors' Register maintained by the Buildings Authority
3. Contractors providing services of Registered General Building Contractors;
 - On the Register of General Building Contractors maintained by the Buildings Authority
4. Contractors providing services of Registered Minor Works Contractors (Class I);
 - On the Register of Minor Works Contractors (Company) maintained by the Buildings Authority and classified into Class I
5. Contractors providing services of Registered Fire Service Installation Contractors (Class 1 & 2).
 - On the list of Registered Fire Service Installation Contractors (Class 1 & 2) maintained by the Director of Fire Services

3.4.2 Project Eligibility

Assessors will assess a sample of the Applicant’s projects. To be eligible for assessment under the Scheme, projects must fall into one of the following categories:

- Completed within the past 5 years from the date of registration assessment date (for initial registration);
- Completed after the last registration assessment date (for registration renewal and re-assessment);
- Ongoing projects for newly formed companies without completed projects.

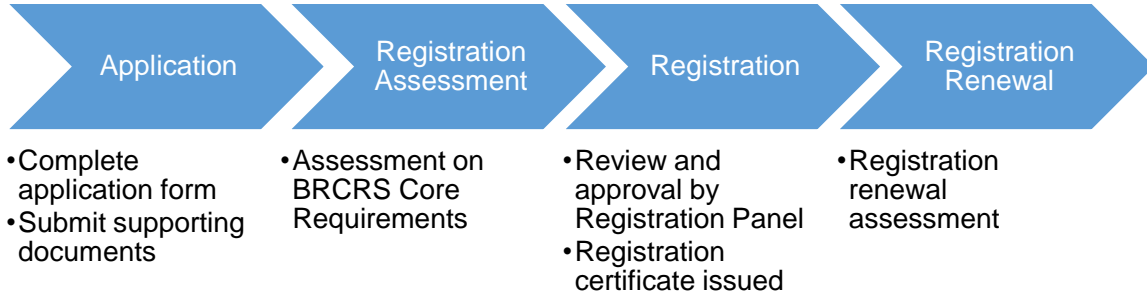
The table below shows the types of projects eligible for assessment for Contractor Applicants and Consultant Applicants.

| Consultant | Contractor |
|--|---|
| <ul style="list-style-type: none"> - Building rehabilitation consultancy services - Building / fire safety consultancy services - Project management services - Authorized Person services - Registered Inspector services - Architectural conservation consultancy services | <ul style="list-style-type: none"> - Building rehabilitation works - Building / fire safety works - Alterations and additions works - New building works - Minor works - Architectural conservation works |

- Projects that applicants can demonstrate the fulfillment of the core requirements of BRCRS are eligible.
- For Consultant Applicants, subconsultant projects are eligible if the projects involve contract management of the outsourced works.
- Eligible projects for assessment submitted under application of RGBC shall be main contractor projects.
- Eligible projects for assessment submitted under application of RMWC and RFSIC shall be contracts with building owners or their representatives (i.e. Consultants), and main contractors.
- Eligible projects for assessment submitted under application of RMWC must be works included under the Minor Works Control System administered by Buildings Department, and with at least 2 work types be included in one project.

PART FOUR REGISTRATION PROCESS

4.1 Outline of Registration Process



4.1.1 Typical Work Schedule

| Outline of Registration Process | Item | Activity | Typical Time & Schedule | HKBRF SL | Applicant |
|---------------------------------|------|-------------------------------------|--|----------|-----------|
| Application | 1. | Application and Document Submission | Submit the online application together with the necessary documents and information. Sign T&C and confirm content in Self-Declaration. | | X |
| | | | All necessary documents must be submitted at least 8 weeks before an on-site assessment. | | X |
| | 2. | Initial Checking | Conduct review of the submitted documents. | X | |
| | | | Ensure all necessary information is provided before proceeding to the on-site core requirements assessment. | X | |
| | | | Email notification of completion of initial checking will be sent within two weeks of all the required information being submitted and reviewed for any missing information. | X | |
| | 3. | Settle Application Fee | Email notification for payment will be sent after completion of initial checking. | | |
| | | | Applicants should settle the payment within 6 months of receiving the debit note. | | |
| | | | Official receipt will be sent within 1 week of receiving the application fee. | | |

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| Registration Assessment | 4. | On-site Assessment Scheduling | Appoint independent consultancy firm to provide assessment services for the Scheme; | X | X |
| | | | Assign independent assessor for on-site assessment. | | |
| | | Confirm the on-site assessment schedule approximately 5 weeks in advance. | | | |
| | | Provide the requested project information at least 5 weeks prior to the on-site assessment day. | | X | |
| | 5. | On-site Assessment | Depending on the provision of documents and the arrangement of an on-site assessment, an Applicant will be informed about a project selected for assessment at least 4 weeks before the scheduled on-site assessment. Deliver the assessment findings and report at the end of the on-site assessment. Conduct an independent quality and technical review of the assessment. | X | X |
| Registration | 6. | Registration Approval | Complete on-site assessment at least 2 months before the registration panel meets on recommending registration. | X | |
| | | | Review and approve the recommendation for registration by the Registration Panel (typically in batches) in 3-6 months. | X | |
| | 7. | Registration | Prepare and issue the registration certificate to the Applicant. Upload the Basic Company Information to the Building Rehabilitation Company Database for disclosure to the public. | X | |
| | 8. | Registration Maintenance | Continue to implement the recommended practices and update the Basic Company Information in timely manner. | | X |
| Registration Renewal | 9. | Renewal Application | Submit online application before the expiry of the registration. | | |
| | | | Renewal should be conducted before the expiry of the 3-year registration period. | | |

4.2 Application

Applicants should complete and submit the application form online, and upload relevant supporting documents, including, but not limited to:

- Basic Company Information;
- Registration type(s);
- Organisation chart;
- Copy of business registration or equivalent document to confirm legal status;
- Copy of professional certificate;
- Terms and Conditions;
- Project list showing the following information (refer to section 3.4.2 of this document for project eligibility requirements):
 - ◆ Project name;
 - ◆ Project location;
 - ◆ Brief project description;
 - ◆ Contract period;
 - ◆ Date of practical completion certificate;
 - ◆ Defects liability period (DLP) completed;
 - ◆ Settlement of final payment;
 - ◆ Availability of variation order (VO) record;
 - ◆ Works contract sum and involvement;
 - ◆ Included provision of AP / RI services in the project (Only applicable for Consultant Applicants); and
 - ◆ Included availability of minor works and included at least 2 work types (Only applicable for RMWC Applicants).

The application form, supporting documents and information should be submitted at least 8 weeks before the expected on-site assessment date. The HKBRFSL will review and ensure all necessary information and documents are submitted prior to arranging an on-site Core Requirements assessment.

(The HKBRFSL will conduct comprehensive sample check for the application documents submitted. Applicants selected may have to provide extra documents for the checking.)

An application will be invalidated if it cannot be completed. This may be due to issues with the submitted documents or information, a failure to agree on a date for the on-site assessment within 12 months of the date of application, or outstanding payments 6 months following the issuance of a debit note.

4.3 Assessment of BRCRS Core Requirements

4.3.1 Assessment Principles

The following principles guide the preparation, execution and reporting of assessment activities.

- a. Independence;
- b. Ethical conduct;
- c. Fair presentation; and
- d. Due professional care.

4.3.2 Assessment Approach

The Assessors assigned by the HKBRFSL assess the accuracy, relevance and completeness of the information provided by the Applicant, and determine whether this information is reliable and credible.

Assessment approaches may include, but are not limited to:

- a. A review of documentation submitted during the application period (If the original project is not yet due for final payment, or if the project has no variation items, an additional project will be sampled to assess the relevant requirements);
- b. An on-site assessment (i.e. at the Applicant's office);
- c. Interviews with project staff or person(s) in charge;
- d. Cross-checks of information provided by interviewed personnel (i.e. by checking sources and other interviews) to ensure that no relevant information has been omitted.

4.3.3 Assessment Methodology

4.3.3.1 Assessment Criteria

The assessment aims to identify whether Applicants have the related mechanisms or systems in quality management, professional services and customer services ("project management mechanism and system") when performing building rehabilitation works according to BRCRS requirements. Specific Core Requirements Checklists are used as assessment standards to evaluate the performance of Service Providers. The assessment will only cover the existence of the mechanisms or systems but not the quality of the mechanisms or systems.

4.3.3.2 On-site Assessment

Assessors conduct the on-site assessment at the Applicant's office to determine whether the requirements stated in the BRCRS Core Requirements Checklist for the applicable registration type have been adequately fulfilled.

Points are gained for the fulfillment of assessment requirements, and the Assessor will inform the Applicant of the total number of points they have gained at the end of the assessment, and provide a copy of the assessment findings and report.

4.3.3.3 Project Sampling

One completed project will be assessed as a sample by the Qualified Assessor during the registration assessment. Please refer to section 3.4.2 for project eligibility requirements.

4.3.3.4 Evidence Collection and Assessment – Sampling of Implementation Records

During the on-site assessment, the Assessor will review the project records which were submitted for review. They are also free to review records other than those chosen by the Applicant. The sampling method applicable to implementation records is detailed in the Core Requirement Checklist.

The Core Requirement Checklist gives suggestions and examples of the types of evidence which can be presented for assessment, but Assessors may review other types of evidence. Applicants may present any documentation that they think demonstrates fulfillment of the requirements, and Assessors will then review this to determine its relevance and adequacy.

4.3.4 Assessment Reporting and Format

The assessment report should have the following structure:

- BRCRS report form;
- Assessment trail;
- Copies of Applicant’s documentation and photos (if any) etc.

Reviewed documentation will be listed in the report, to support decisions about the adequacy of evidence.

4.4 Registration Process

4.4.1. Application

| Applicant | HKBRFSL |
|---|--|
| <p>- Complete and submit the online application form and upload the relevant supporting documents and information:</p> <ul style="list-style-type: none"> • Basic Company Information; • registration type(s); • organisation chart; • copy of business registration or related document to confirm legal status; • copy of professional certificate; • signed T&C and Self-Declaration confirming content; • project list showing the following information: <ul style="list-style-type: none"> ◆ project name; ◆ project location; ◆ brief project description; ◆ contract period; ◆ date of practical completion certificate; | <p>- Review the application and submitted documents during initial registration.</p> |

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| <ul style="list-style-type: none"> ◆ defects liability period (DLP) completed; ◆ settlement of final payment; ◆ availability of variation order (VO) record; ◆ works contract sum and involvement; ◆ included provision of AP / RI services in the project (Only applicable for Consultant Applicants); and ◆ included availability of minor works and included at least 2 work types (Only applicable for RMWC Applicants). <ul style="list-style-type: none"> - The online application form and supporting documents and information should be submitted at least 8 weeks before the on-site assessment. - The application will be invalidated if it cannot be completed. This may be due to issues with the submitted documents or information, or a failure to agree on a date for the on-site assessment within 12 months of the date of application. | |
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4.4.2. Initial Checking and Settlement of Application Fee

| Applicant | HKBRFSL |
|---|---|
| <p>The application will be invalidated if there are outstanding payments 6 months after the issuance of a debit note.</p> | <ul style="list-style-type: none"> - Conduct document review of the submitted documents. - Ensure all necessary information is provided prior to the arrangement of an on-site Core Requirements assessment. - Email notification of completion of initial checking will be sent within two weeks of all the required information being submitted and reviewed for any missing information. - Official receipt will be sent within 1 week of receiving the application fee. |

4.4.3. Scheduling of On-site Assessment

| Applicant | HKBRFSL |
|--|--|
| <ul style="list-style-type: none"> - Contact the HKBRFSL to tentatively schedule the initial registration assessment. - Confirm the assessment schedule approximately 5 weeks in advance (subject to completeness of information submitted). | <ul style="list-style-type: none"> - Appoint independent consultancy firm to provide assessment services to the Scheme. - Assign independent assessor for on-site assessment and schedule the on-site assessment. - Send assessment confirmation to the |

| | |
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| <ul style="list-style-type: none"> - Provide the latest list of completed projects to HKBRFSL at least 5 weeks before the scheduled on-site assessment. | <p>Applicant approximately 6 weeks in advance.</p> <ul style="list-style-type: none"> - Inform the Applicant of the project selected for assessment at least 4 weeks before the scheduled on-site assessment. |
|--|--|

4.4.4. During the On-site Assessment

| Applicant | HKBRFSL |
|--|---|
| <ul style="list-style-type: none"> - Provide logistical support to Assessors so they can travel to the Applicant’s office if no public transport is available. - Co-operate with Assessors by providing access to the relevant personnel, documents and records. - Acknowledge assessment findings and assessment report. | <ul style="list-style-type: none"> - Assessors conduct the assessment at the Applicant’s office. - Assessors give assessment findings and report to Applicant at the end of the assessment. |

4.4.5. Registration Approval

| Applicant | HKBRFSL |
|-----------|--|
| | <ul style="list-style-type: none"> - Independent technical and quality review of assessment results arranged before proceeding with the recommendation for approval of the registration at Registration Panel meeting. - Registration Panel conducts the final review and approves the registration. |

4.4.6. Successful Registration

| Applicant | HKBRFSL |
|--|---|
| <ul style="list-style-type: none"> - Upon initial registration, the registered Applicant will be granted a registration certificate. - The registered Applicant will be included in the Building Rehabilitation Company Database. - The Applicant has the right to appeal to the HKBRFSL against the application result. - Applicants can apply for re-assessment, which will be done on a different project which completed after the last assessment date. | <ul style="list-style-type: none"> - Upon registration approval, prepare and issue registration certificate with 3-year validity. - Post Basic Company Information to Building Rehabilitation Company Database, for public access. - In cases of appeal against the application result, the HKBRFSL will carry out an investigation in accordance with the appeal procedure. |

4.4.7. Registration Maintenance

| Applicant | HKBRFSL |
|--|--|
| <ul style="list-style-type: none"> - Continue to implement the recommended practices after registration. - Submit any updates to its Basic Company Information through the online platform in a timely manner. | <ul style="list-style-type: none"> - Monitor and act on any possible violations of the BRCRS requirements identified via complaint handling or negative mass media reports related to the registration scope of the Registered Company. - Investigate cases of suspected failure to conform to BRCRS requirements. If the registration is deemed to be no longer valid, HKBRFSL will withdraw it according to the withdrawal procedure. - Check the Basic Company Information in the Building Rehabilitation Company Database, on a sampling basis. |

4.4.8. Application for Registration Renewal

| Applicant | HKBRFSL |
|--|--|
| <ul style="list-style-type: none"> - Submit online application before the expiry of the registration. - Renewal should be conducted before the expiry of the 3-year registration period. - Confirm the proposed schedule of the renewal assessment approximately 5 weeks in advance. - Provide a full list of eligible projects with the following project information at least 5 weeks before the scheduled on-site assessment: <ul style="list-style-type: none"> • project name; • project location; • brief project description; • contract period; • date of practical completion certificate; • defects liability period (DLP) completed; • settlement of final payment; • availability of variation order (VO) record; • works contract sum and involvement; • included provision of AP / RI services in the project (Only applicable for Consultant Applicants); and • included availability of minor works and included at least 2 work types (Only applicable for RMWC Applicants). - During the assessment, provide logistical | <ul style="list-style-type: none"> - Send renewal notification to the Applicant at least 6 months before the expiry of registration. - Schedule and arrange a registration renewal assessment with the Applicant. - Pass the project list and information to Assessors prior to the assessment for project sampling. - Inform the Applicant of the project selected for assessment at least 4 weeks before the scheduled on-site assessment. - Conduct the on-site assessment at the Applicant's office. - Assessors deliver assessment findings and assessment report to the Applicant. - Review by an independent reviewer from the HKBRFSL (where necessary). - The Registration Panel approves the renewal if there are no adverse comments in the independent quality and technical reviews. - Prepare registration certificate for the successful Applicant. The registration certificate may be renewed for 3 years. - If the Applicant appeals, HKBRFSL will carry out an investigation in accordance with the appeal procedure. |

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| <p>support to Assessors if there is no public transport to the Applicant's office.</p> <ul style="list-style-type: none">- Co-operate with Assessors by providing access to personnel, documents and records.- Acknowledge assessment findings and report.- Collect registration certificate upon successful renewal.- Post any updated Basic Company Information to the Building Rehabilitation Company Database.- If the renewal is not successful, the Applicant has the right to appeal to the HKBRFSL.- Applicants has the right to apply for a re-assessment. Re-assessment will be done on a different project which completed after the last assessment date. | |
|--|--|

4.5 Registration Renewal Assessment

Applicants may apply for registration renewal after 3 years, and the renewed registration will be valid for another 3 years. To renew, Applicants need to provide details of new projects which completed after the last registration assessment date.

4.6 Complaint and Appeal Handling

BRCRS Applicants and their stakeholders have the right to file complaints on any aspect of the Scheme, including the application process, assessment activities and registration process, and may appeal against assessment decisions.

Complaints and appeals should be submitted in writing by post, fax (2588-2542) or e-mail (brp@mail1.ura.org.hk) to the HKBRFSL.

HKBRFSL will acknowledge all cases within 7 working days by post, fax or email, and approach the persons concerned to investigate.

For details of the complaint and appeal handling procedure, please refer to the T&C.

4.7 Forms and Documents

1) Online Application Form (including the Declaration on Contraventions, Convictions and Disciplinary Proceedings and Form for Company Information Items)

2) Terms and Conditions

PART FIVE SCHEME REQUIREMENTS

5.1 Basic Company Information

When applying for BRCRS Registration, Applicants shall provide the information specified in Tables 1.1 and 1.2.

Table 1.1 Contraventions, Convictions and Disciplinary Proceedings Declaration Items

Applicants shall declare the following contraventions, convictions and disciplinary proceedings.

| Contraventions, Convictions and Disciplinary Proceedings Declaration Items | <i>Eligibility decision</i> |
|--|--|
| <p><u>(CDI-1) Conviction for Bribery Offences</u></p> <p>The company shall declare any convictions for bribery offences under Cap. 201 Prevention of Bribery Ordinance by company, senior management and employees in the past 3 years</p> <p>and</p> <p>any such cases currently subject to legal proceedings for over 6 months.</p> <p><i>Note: Senior management may refer to i.) the director of a company (incorporated or unincorporated) or a partner in a partnership or an applicant/shareholder of a joint venture; and ii.) any person who, under the immediate authority of the board of directors, exercises managerial functions.¹</i></p> | <p><i>If the declaration is not made, the company will not be eligible to proceed with the application.</i></p> <p><i>For cases subject to legal proceedings, the company should update the declared information once the judgement is known.</i></p> <p><i>The application or registration will be terminated if it is found that a false declaration has been made, or if there has been misrepresentation of a material fact.</i></p> |

¹ Source: Contractor Management Handbook (Sections 5.2.4 & 5.2.5, Nov 2022 version)

| | |
|---|--|
| <p><u>(CDI-2) Contravention and Conviction for Anti-competition</u></p> <p>The company shall declare any contraventions and convictions under Cap. 619 Competition Ordinance by company, senior management and employees in the past 3 years</p> <p>and</p> <p>any such cases currently subject to legal proceedings for over 6 months.</p> | <p><i>If the declaration is not made, the company will not be eligible to proceed with the application.</i></p> <p><i>For cases subject to legal proceedings, the company should update the declared information once the judgement is known.</i></p> <p><i>The application or registration will be terminated if it is found that a false declaration has been made, or if there has been misrepresentation of a material fact.</i></p> |
| <p><u>(CDI-3) Conviction for Registered Professional Offences</u></p> <p>The company shall declare any convictions for offences under Cap.123 Buildings Ordinance or Cap. 95A Fire Service (Installation Contractors) by employees when employed by the company, or by the company, in the past 3 years</p> <p>and</p> <p>any such cases currently subject to legal proceedings for over 6 months.</p> | <p><i>If the declaration is not made, the company will not be eligible to proceed with the application.</i></p> <p><i>For cases subject to legal proceedings, the company should update the declared information once the judgement is known.</i></p> <p><i>The application or registration will be terminated if it is found that a false declaration has been made, or if there has been misrepresentation of a material fact.</i></p> |
| <p><u>(CDI-4) Conviction Leading to Imprisonment</u></p> <p>The company shall declare any convictions by senior management for malpractice or misconduct in building works or construction-related activities, leading to imprisonment, in the past 3 years.</p> | <p><i>If the declaration is not made, the company will not be eligible to proceed with the application.</i></p> <p><i>For cases subject to legal proceedings, the company should update the declared information once the judgement is known.</i></p> <p><i>The application or registration will be terminated if it is found that a false declaration has been made, or if there has been misrepresentation of a material fact.</i></p> |

(CDI-5) Disciplinary Proceedings

The company shall declare if any of its employed registered professionals, when employed by the company or as a company, have been subject to disciplinary proceedings relating to suspension of or expulsion from the following professional qualifications in the past 1 year:

- Registered Authorized Persons
- Registered Structural Engineers
- Registered Geotechnical Engineers
- Registered Inspectors (for all MBIS projects)
- Registered Minor Works Contractors (Company (RMWC(Co)) / Individual (RMWC(Ind)))
- Registered General Building Contractors
- Registered FS Installation Contractors (Company / Individual)

If the declaration is not made, the company will not be eligible to proceed with the application.

The application or registration will be terminated if it is found that a false declaration has been made, or if there has been misrepresentation of a material fact.

Table 1.2 Company Information Items

The applicants shall provide the following company information for public access.

| Company Information Items | | | | | | | | | | | | | | | |
|---|---|-------------------|---|--|--|---|--|--|---|---|--|--------------------------------------|--|---|--|
| <u>(GDI-1) Project Reference</u> | | | | | | | | | | | | | | | |
| 1. The company shall give details of <u>1 to 3</u> projects which have been completed within the previous 5 years. | | | | | | | | | | | | | | | |
| Scope of works (please <input checked="" type="checkbox"/> to select the applicable information) | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="padding: 5px;">Consultant</th> <th style="padding: 5px;">Contractor</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;"><input type="checkbox"/> Building rehabilitation consultancy services</td> <td style="padding: 5px;"><input type="checkbox"/> Building rehabilitation works</td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Building / fire safety consultancy services</td> <td style="padding: 5px;"><input type="checkbox"/> Building / fire safety works</td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Project management services</td> <td style="padding: 5px;"><input type="checkbox"/> Alteration & addition works</td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Authorized Person services</td> <td style="padding: 5px;"><input type="checkbox"/> New building works</td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Registered Inspector services</td> <td style="padding: 5px;"><input type="checkbox"/> Minor works</td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Architectural conservation consultancy services</td> <td style="padding: 5px;"><input type="checkbox"/> Architectural conservation works</td> </tr> </tbody> </table> | Consultant | Contractor | <input type="checkbox"/> Building rehabilitation consultancy services | <input type="checkbox"/> Building rehabilitation works | <input type="checkbox"/> Building / fire safety consultancy services | <input type="checkbox"/> Building / fire safety works | <input type="checkbox"/> Project management services | <input type="checkbox"/> Alteration & addition works | <input type="checkbox"/> Authorized Person services | <input type="checkbox"/> New building works | <input type="checkbox"/> Registered Inspector services | <input type="checkbox"/> Minor works | <input type="checkbox"/> Architectural conservation consultancy services | <input type="checkbox"/> Architectural conservation works | |
| Consultant | Contractor | | | | | | | | | | | | | | |
| <input type="checkbox"/> Building rehabilitation consultancy services | <input type="checkbox"/> Building rehabilitation works | | | | | | | | | | | | | | |
| <input type="checkbox"/> Building / fire safety consultancy services | <input type="checkbox"/> Building / fire safety works | | | | | | | | | | | | | | |
| <input type="checkbox"/> Project management services | <input type="checkbox"/> Alteration & addition works | | | | | | | | | | | | | | |
| <input type="checkbox"/> Authorized Person services | <input type="checkbox"/> New building works | | | | | | | | | | | | | | |
| <input type="checkbox"/> Registered Inspector services | <input type="checkbox"/> Minor works | | | | | | | | | | | | | | |
| <input type="checkbox"/> Architectural conservation consultancy services | <input type="checkbox"/> Architectural conservation works | | | | | | | | | | | | | | |
| <p><i>Notes:</i></p> <p>- <i>Projects that applicants can demonstrate the fulfillment of the core requirements of BRCRS are eligible.</i></p> | | | | | | | | | | | | | | | |

- *For Consultant Applicants, subconsultant projects are eligible if the projects involve contract management of the outsourced works.*
- *Eligible projects for assessment submitted under application of RGBC shall be main contractor projects.*
- *Eligible projects for assessment submitted under application of RMWC and RFSIC shall be contracts with building owners or their representatives (i.e. Consultants), and main contractors.*
- *Eligible projects for assessment submitted under application of RMWC must be works included under the Minor Works Control System administered by Buildings Department, and with at least 2 work types be included in one project.*

Project locations: _____

Contract period: _____

Actual completion date: _____

Works contract sum (please to select the applicable range):

<HKD200,000 HKD200,000-1,000,000 HKD1,000,001-5,000,000

HKD5,000,001-10,000,000 >HKD10,000,000

Involvement (please to select the applicable information):

Main consultant

Subconsultant

| | |
|--|--|
| <p><input type="checkbox"/> Main contractor</p> <p><input type="checkbox"/> Subcontractor</p> <p>2. The company shall indicate the total number of projects completed within the past 5 years.</p> | |
| <p><u>(GDI-2) In-house Authorized Persons (AP) / Registered Inspectors (RI)</u></p> <p>Companies which provide AP / RI for the project shall specify the names and number of in-house AP / RI employed by the company and their registration numbers.</p> <p>(Only applicable for Consultant Applicants)</p> | |
| <p><u>(GDI-3) In-house Professional Staff</u></p> <p>Companies shall specify the names and number of in-house professional staff and their professional qualifications and registration numbers (if any).</p> | |
| <p><u>(GDI-4) Other Company Information</u></p> <p>1. The company shall indicate whether the company has purchased and maintained professional indemnity insurance.</p> <p>2. The company shall state whether it is currently on any existing government department's approved list or reference list with registration number (if any), such as the Architectural Services Department's List of Consultants of the Architectural and Associated Consultants Selection Board, the Development Bureau's List of Public Works Contractors, Housing Authority's List of Building Contractors, and etc.</p> | |

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| <p>3. The company shall disclose whether any parties included in the Building Rehabilitation Company Database are under common control with the company, or have significant or joint control over the company, e.g. in a parent company subsidiary relationship.</p> | |
| <p><u>(GDI-5) Change of Company Name</u></p> <p>The company shall disclose any previous company name(s), with dates, if different from the name on the Business Registration.</p> | |

5.2 Core Requirements

5.2.1 For AP/RI



| CORE REQUIREMENTS | | | Consultants providing Authorized Persons services (AP) | | | Consultants providing Registered Inspectors services (RI) (Note: with AP requirements) | | |
|--|----------|---|---|--------|--------------------|---|--------|--------------------|
| | | | Guidelines on Key Evidence of Compliance | Points | Conditional Points | Guidelines on Key Evidence of Compliance | Points | Conditional Points |
| 1 Provision of registered professionals and sufficient staffing | | | | | | | | |
| | a | <p><u>Properly qualified personnel</u></p> <p>The company shall provide registered professionals to perform the work according to legal requirements.</p> | <p><u>Documents to examine:</u> Tender submission document.</p> <p><u>Evidence of compliance:</u> Tender submission document including copy of AP's qualification</p> | 1 | | <p><u>Documents to examine:</u> Tender submission document.</p> <p><u>Evidence of compliance:</u> Tender submission document including copies of the RI's qualification, and/or AP's qualification.</p> | 1 | |

| | | | | | | | | |
|--|----------|--|---|---|--|--|---|--|
| | b | <p style="text-align: center;"><u>Staffing proposal and key personnel</u></p> <p>The company shall submit a staffing proposal upon tender invitation and specify which personnel will carry out the work. The staffing proposal shall include the qualifications and relevant experience of the key personnel, and their responsibilities and degree of involvement.</p> | <p><u>Documents to examine:</u> Staffing proposal, meeting minutes, inspection records, supervision plan.</p> <p><u>Evidence of compliance:</u></p> <p>i. Staffing proposal shall be provided to show the qualifications and relevant experience of the key personnel with names indicated, and their responsibilities and degree of involvement upon tender invitation.</p> <p>ii. Meeting minutes, inspection records and supervision plan showing the participation and degree of involvement of key personnel which match the staffing proposal submitted.</p> <p>Note: The supervision plan includes i. watching and inspecting the Works, ii. testing and examining any material to be used, and workmanship.</p> | 1 | | <p><u>Documents to examine:</u> Staffing proposal, meeting minutes, inspection records, supervision plan.</p> <p><u>Evidence of compliance:</u></p> <p>i. Staffing proposal shall be provided to show the qualifications and relevant experience of the key personnel with names indicated, and their responsibilities and degree of involvement upon tender invitation.</p> <p>ii. Meeting minutes, inspection records and supervision plan showing the participation and degree of involvement of key personnel, which matches the staffing proposal submitted.</p> <p>Note: The supervision plan includes i. watching and inspecting the Works, ii. testing and examining any material to be used, and workmanship.</p> | 1 | |
|--|----------|--|---|---|--|--|---|--|

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|--|----------|---|---|---|--|---|---|--|
| | c | <p><u>Commitment to progress checking and identifying any delay, and to taking action to mitigate any impact from the delay</u></p> <p>The company shall monitor progress, identify delays and take action to mitigate any impacts from delays.</p> | <p><u>Documents to examine:</u> Master programme, site photos, minutes of progress meeting with Contractors, progress reports received from Contractors, delay reporting records received from Contractors (if any).</p> <p><u>Evidence of compliance:</u></p> <p>i. The above documents show the latest progress updates from the Contractors.</p> <p>ii. If a delay is found when comparing the master programme and the progress report or progress meeting minutes, a delay reporting record shall be obtained. This record shall include details of the possible impact of the delay, and actions to be taken to pre-empt or mitigate the impacts.</p> | 1 | | <p><u>Documents to examine:</u> Master programme, site photos, minutes of progress meeting with Contractors, progress reports received from Contractors, delay reporting records received from Contractors (if any).</p> <p><u>Evidence of compliance:</u></p> <p>i. The above documents show the latest progress updates from the Contractors.</p> <p>ii. If delay is found when comparing the master programme and the progress report or progress meeting minutes, a delay reporting record shall be obtained. This record shall include details of the possible impact of the delay, and actions to be taken to pre-empt or mitigate the impacts.</p> | 1 | |
|--|----------|---|---|---|--|---|---|--|

| 2 Oversight of hidden works | | | | | | | |
|-----------------------------|---|---|---|--|---|---|--|
| a | <p><u>Evidence of completion of hidden works</u></p> <p>The contract shall include a requirement that measurement records, site photos and site supervision records be submitted to prove the completion of hidden works.</p> | <p><u>Documents to examine:</u> Contract document.</p> <p><u>Evidence of compliance:</u> Contract document shows the requirements for submitting measurement records, site photos and site supervision records proving the completion of hidden works.</p> | 1 | | <p><u>Documents to examine:</u> Contract document.</p> <p><u>Evidence of compliance:</u> Contract document shows the requirements for submitting measurement records, site photos and site supervision records proving the completion of hidden works.</p> | 1 | |
| b | <p><u>Inspection of hidden works</u></p> <p>The company shall provide hold-point inspection records for any hidden works.</p> | <p><u>Documents to examine:</u> Hold-point inspection records of hidden works, master programme.</p> <p><u>Evidence of compliance:</u> Hold-point inspection records show the inspection of hidden works carried out as per the works progress scheduled in the master programme.</p> | 1 | | <p><u>Documents to examine:</u> Hold-point inspection records of hidden works, master programme.</p> <p><u>Evidence of compliance:</u> Hold-point inspection records show the inspection of hidden works carried out as per the works progress scheduled in the master programme.</p> | 1 | |

| 3 | | Approval of materials | | | | | | |
|----------|----------|--|--|---|--|--|---|--|
| | a | <p><u>Adherence to project brief and contract specifications</u></p> <p>The company shall review and approve contractor's material submissions in accordance with the project brief and contract specifications.</p> | <p><u>Documents to examine:</u> Project brief, contract specifications, Consultant's material approval records.</p> <p><u>Evidence of compliance:</u> Sample of Consultant's material approvals shall be provided to show that materials are in accordance with the project brief and contract specifications.</p> | 1 | | <p><u>Documents to examine:</u> Project brief, contract specifications, Consultant's material approval records.</p> <p><u>Evidence of compliance:</u> Sampled Consultant's material approvals shall be provided to show that materials are in accordance with the project brief and contract specifications.</p> | 1 | |

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| | | <p><u>Material samples review and approval</u></p> <p>The company shall request the contractor to provide samples of materials for review and approval.</p> | <p><u>Documents to examine:</u> Consultant's request to the Contractor for materials samples, Consultant's materials samples approval.</p> <p><u>Evidence of compliance:</u> Consultant's request records and approval records showing that the materials samples have been reviewed and approved.</p> | 1 | | <p><u>Documents to examine:</u> Consultant's requests to the Contractor for materials samples, Consultant's materials samples approval.</p> <p><u>Evidence of compliance:</u> Consultant's request records and approval records showing that the materials samples have been reviewed and approved.</p> | 1 | |
| | b | <p><u>Display of approved material samples</u></p> <p>The company shall display the approved material samples for viewing by building owners.</p> | <p><u>Documents to examine:</u> Photos of sample display / written record demonstrating that the sample was displayed.</p> <p><u>Evidence of compliance:</u> photo records / written records showing that the samples have been displayed for building owner's inspection. (Written records include emails, meeting minutes and letters.)</p> | 1 | | <p><u>Documents to examine:</u> Photos of sample display / written record demonstrating that the sample was displayed.</p> <p><u>Evidence of compliance:</u> Photo records / written record showing that the samples have been displayed for building owner's inspection. (Written records include emails, meeting minutes and letters.)</p> | 1 | |

| | | | | | | | | |
|--|----------|--|--|--|---|--|--|---|
| | C | <p><u>Approval of and justification for use of brand name or restrictive specifications (Conditional Point)</u></p> <p>The company shall review and approve the use of repair materials with brand name or restrictive specifications based on justifiable, quality-related grounds.</p> | <p><u>Documents to examine:</u> Consultant's approval & justification for the use of brand name repair material or restrictive specifications.</p> <p><u>Evidence of compliance:</u> The Consultant's approval & justification showing that the use of the requested brand of repair materials or restrictive specifications has been approved and that the approval is justifiable. Justification details shall include information on functionality.</p> | | 1 | <p><u>Documents to examine:</u> Consultant's approval & justification for the use of brand name repair material or restrictive specifications.</p> <p><u>Evidence of compliance:</u> The Consultant's approval & justification showing that the use of requested brand of repair materials or restrictive specifications has been approved and that the approval is justifiable. Justification details shall include information on functionality.</p> | | 1 |
|--|----------|--|--|--|---|--|--|---|

| | | | | | | | | |
|----------|--|--|--|---|--|--|---|--|
| 4 | Approval of completion of defects rectification | | | | | | | |
| | a | <p><u>List of defective works issued before practical completion (PC)</u></p> <p>The company shall issue a defect list to the contractor, and make sure that the client is informed about all defects, before issuing a certificate of practical completion.</p> | <p><u>Documents to examine:</u> Defects list issued to the Contractor, client's approval of defects liability period (DLP) commencement, practical completion (PC) certificate.</p> <p><u>Evidence of compliance:</u> Defects list issued to the Contractor, evidence of informing the client about the overall defects, approval of DLP commencement, PC certificate showing that all the defective works have been confirmed with the Contractor before certifying the PC, and with client's approval of the DLP commencement.</p> | 1 | | <p><u>Documents to examine:</u> Defects list issued to the Contractor, client's approval of defects liability period (DLP) commencement, practical completion (PC) certificate.</p> <p><u>Evidence of compliance:</u> Defects list issued to the Contractor, evidence of informing the client about the overall defects, approval of DLP commencement, PC certificate showing that all the defective works have been confirmed with the Contractor before certifying the PC, and with client's approval of the DLP commencement.</p> | 1 | |

| | | | | | | | |
|----------|--|--|---|--|--|---|--|
| b | <p><u>Joint inspection by Consultant, Contractor and client before practical completion (PC) to confirm defective works</u></p> <p>The company shall invite the client to a joint inspection to view and confirm the defective works before issuing a certificate of practical completion.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before the PC.</p> | 1 | | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before the PC.</p> | 1 | |
| | <p><u>Joint inspection by Consultant, Contractor and client before defects liability period (DLP) expiry</u></p> <p>The company shall invite the client to a joint inspection to confirm the satisfactory rectification of defects before the expiry of the defects liability period.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before DLP expiry.</p> | 1 | | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before DLP expiry.</p> | 1 | |

| 5 | | Approval of variation order (VO) | | | | |
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| | a | <p><u>Client's approval prior to variation order (VO) works</u></p> <p>The company shall seek client approval of variation orders before work commences.</p> | <p><u>Documents to examine:</u> Client's approval document.</p> <p><u>Evidence of compliance:</u> Client's approval document showing that the client has approved the VO before the commencement of the work variations.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | <p><u>Documents to examine:</u> Client's approval document.</p> <p><u>Evidence of compliance:</u> Client's approval document showing that the client has approved the VO before the commencement of the work variations.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 |

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| | b | <p><u>Client's approval of ceiling amount for variation order (VO)</u></p> <p>The company shall seek client approval of the ceiling amount applicable to any work variations.</p> | <p><u>Documents to examine:</u> Client's approved ceiling amount.</p> <p><u>Evidence of compliance:</u> Supporting documents for the client's approved ceiling amount show that the client has approved the budget estimate / quotation for VO. The information shall be formally documented in progress meeting minutes, separate letters or similar.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | | <p><u>Documents to examine:</u> Client's approved ceiling amount.</p> <p><u>Evidence of compliance:</u> Supporting documents for the client's approved ceiling amount show that the client has approved the budget estimate / quotation for VO. The information shall be formally documented in progress meeting minutes, separate letters or similar.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | |
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| c | <p><u>Cost estimate/quotation provided to client prior to variation order (VO) works</u></p> <p>The company shall seek client approval of the cost estimates of variation orders before commencing work.</p> | <p><u>Documents to examine:</u> Cost estimation submissions.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has been provided and approved by client prior to VO works. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | <p><u>Documents to examine:</u> Cost estimation submissions.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has been provided and approved by client prior to VO works. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 |
| | <p><u>Variation order (VO) similar to works item in contract (Conditional Point)</u></p> <p>The company shall make reference to the original contract in determining the cost estimation of work variation orders, when applicable.</p> | <p><u>Documents to examine:</u> Cost estimation submissions, referencing original contract prices.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has made reference to the original contract prices. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | <p><u>Documents to examine:</u> Cost estimation submissions, referencing original contract prices.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has made reference to the original contract prices. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 |

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| | | <p><u>Variation order (VO) due to omission of basic inspection items required in the Code of Practice on Mandatory Building Inspection Scheme (MBIS) or Mandatory Window Inspection Scheme (MWIS) (Conditional Point)</u></p> <p>The company shall provide a written explanation of any variation orders caused by the failure to comply with the legal requirements stipulated by the MBIS or MWIS identified after contract.</p> | <p><u>Documents to examine:</u> RI report, works completion document or repair proposal, written confirmation.</p> <p><u>Evidence of compliance:</u> The omissions found shall be explained with written confirmation with client. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | | | <p><u>Documents to examine:</u> RI report, works completion document or repair proposal, written confirmation.</p> <p><u>Evidence of compliance:</u> The omissions found shall be explained with written confirmation with client. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | | | 1 |
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| | d | <p><u>Documentation of variation order (VO) works and associated costs, and submission to client</u></p> <p>The company shall document and submit all variation orders and their costs to the client.</p> | <p><u>Documents to examine:</u> VO log.</p> <p><u>Evidence of compliance:</u> The VO log includes the work variations and costs. Information should be traceable in the relevant progress reports, which should also give evidence of submission to the client. If not, a formal document submission shall be obtained.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | | <p><u>Documents to examine:</u> VO log.</p> <p><u>Evidence of compliance:</u> The VO log includes the work variations and costs. Information should be traceable in the relevant progress reports, which should also give evidence of submission to the client. If not , a formal document submission shall be obtained.</p> <p>Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | |
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| 6 Validation of final payment | | | | | | | |
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| | a | <p><u>Completion of defective works rectification prior to certificate of final completion (FC)</u></p> <p>The company shall ensure that all the defect rectification works are completed before issuing the certificate of final completion.</p> | <p><u>Documents to examine:</u> Certificate of FC issued by the Consultant, defective works rectification completion reports submitted by the Contractor, defect list submitted to the client.</p> <p><u>Evidence of compliance:</u> The certificate of FC, defective works rectification completion reports and the defect list showing that all defective works were rectified before the certificate of FC was issued by the Consultant.</p> <p>Note: If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement.</p> | 1 | <p><u>Documents to examine:</u> Certificate of FC issued by the Consultant, RI's completion certificate submitted to Buildings Department (only for MBIS and MWIS), defective works rectification completion reports submitted by the Contractor, defect list submitted to the client.</p> <p><u>Evidence of compliance:</u> The certificate of FC, RI's completion certificate, defective works rectification completion reports and the defect list showing that all defective works were rectified before the certificate of FC was issued by the Consultant.</p> <p>Note: If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement.</p> | 1 | |

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| | | <p><u>Joint inspection with client before final completion</u></p> <p>b The company shall invite the client to conduct a joint inspection to verify the completion of works before making the final payment.</p> | <p><u>Documents to examine:</u> Invitation record, joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record, joint inspection records in the form of emails, meeting minutes and/or photo records, showing the joint inspection was planned for the client before making the final payment. Note: If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement.</p> | 1 | | <p><u>Documents to examine:</u> Invitation record, joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record, joint inspection records in the form of emails, meeting minutes and/or photo records, showing the joint inspection was planned for the client before making the final payment. Note: If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement.</p> | 1 | |
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| 7 Handling of complaints | | | | | | | |
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| a | <p><u>System for receiving, following-up and taking corrective action on complaints</u></p> <p>The company shall put in place a mechanism for handling complaints. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints is in place.</p> | 1 | | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints is in place.</p> | 1 | |
| b | <p><u>System for receiving, following-up and taking corrective action on complaints about contractor's work</u></p> <p>The company shall put in place a mechanism for handling complaints about contractor's work. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints about Contractors is in place.</p> | 1 | | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints about Contractors is in place.</p> | 1 | |

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| | c | <p><u>Complaint log</u></p> <p>The company shall maintain a complaint log.</p> | <p><u>Documents to examine:</u> Complaint log.</p> <p><u>Evidence of compliance:</u> A complaint log, such as the project site client feedback log or the site inspection feedback log, records complaints received throughout the project life cycle.</p> | 1 | | <p><u>Documents to examine:</u> Complaint log.</p> <p><u>Evidence of compliance:</u> A complaint log, such as the project site client feedback log or the site inspection feedback log, records complaints received throughout the project life cycle.</p> | 1 | |
| | d | <p><u>Timely follow-up actions, if complaint received (Conditional Point)</u></p> <p>The company shall take timely actions to resolve any complaints.</p> | <p><u>Documents to examine:</u> Client's final agreed timeframe / instruction, written complaint reply.</p> <p><u>Evidence of compliance:</u> Client's final agreed timeframe or the client's written instruction, and the company's written complaint reply showing that the complaint has been followed up and resolved in a timely manner.</p> | | 1 | <p><u>Documents to examine:</u> Client's final agreed timeframe / instruction, written complaint reply.</p> <p><u>Evidence of compliance:</u> Client's final agreed timeframe or the client's written instruction, and the company's written complaint reply showing that the complaint has been followed up and resolved in a timely manner.</p> | | 1 |

5.2.2 For RGBC



| CORE REQUIREMENTS | | Registered General Building Contractors (RGBC) | | |
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| | | Guidelines on Key Evidence of Compliance | Points | Conditional Points |
| 1 | Provision of registered professionals and sufficient staffing | | | |
| | <p><u>Properly qualified personnel</u></p> <p>a The company shall provide registered professionals to perform the work according to legal requirements.</p> | <p><u>Documents to examine:</u> Tender submission document.</p> <p><u>Evidence of compliance:</u> Tender submission document including copy of RGBC's qualification</p> | 1 | |



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| | b | <p><u>Staffing proposal and key personnel</u></p> <p>The company shall submit a staffing proposal upon tender invitation and specify which personnel will carry out the work. The staffing proposal shall include the qualifications and relevant experience of the key personnel, and their responsibilities and degree of involvement.</p> | <p><u>Documents to examine:</u> Staffing proposal, approved site supervision plan, supervision records.</p> <p><u>Evidence of compliance:</u></p> <p>i. Staffing proposal shall be provided to show the qualifications and relevant experience of the key personnel with names indicated, and their responsibilities and degree of involvement upon tender invitation.</p> <p>ii. The approved site supervision plan and supervision records showing the participation and degree of involvement of key personnel which match the staffing proposal submitted.</p> <p>Note: The site supervision plan shall be approved by the Consultant before the commencement of work, and the site supervision plan shall include the site inspection frequency and level. If the client did not hire any Consultant for the project, the site supervision plan shall be approved by the client before the commencement of work.</p> | 1 | |
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| | <p>c</p> | <p><u>Commitment to progress checking and identifying any delay, and to taking action to mitigate any impact from the delay</u></p> <p>The company shall monitor progress, identify delays and take action to mitigate any impacts from delays.</p> | <p><u>Documents to examine:</u> Master programme, site photos, minutes of progress meeting, progress reports, delay reporting records (if any).</p> <p><u>Evidence of compliance:</u></p> <p>i. The above documents show the latest progress updates submitted to Consultant.</p> <p>ii. If a delay is found when comparing to the master programme and the progress report or progress meeting minutes, a delay reporting record shall be submitted. This record shall include details of the possible impact of the delay, and actions to be taken to pre-empt or mitigate the impacts.</p> <p>Note: If the client did not hire any Consultant for the project, the company shall submit the documents showing the latest progress updates to the client.</p> | <p>1</p> | |
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| 2 | | Oversight of hidden works | | | |
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| | a | <p><u>Evidence of completion of hidden works</u></p> <p>The company shall submit the measurement records, site photos and site supervision records to prove the completion of hidden works.</p> | <p><u>Documents to examine:</u> Submissions of measurement records, site photos, site supervision records, master programme.</p> <p><u>Evidence of compliance:</u> Submission of measurement records, site photos and site supervision records relating to the completion of hidden works, showing that the company has provided the evidence of the hidden works completion as per the works progress scheduled in the master programme.</p> | 1 | |
| | b | <p><u>Supervision of hidden works</u></p> <p>The company shall provide on-site supervision records for any hidden works.</p> | <p><u>Documents to examine:</u> On-site supervision records of hidden works, master programme.</p> <p><u>Evidence of compliance:</u> On-site supervision records show the on-site supervision of hidden works carried out as per the works progress scheduled in the master programme.</p> | 1 | |



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| 3 Approval of materials | | | |
| a | <p><u>Adherence to project brief and contract specifications</u></p> <p>The company shall submit material submissions in accordance with the project brief and contract specifications to the Consultant and obtain approval from the Consultant.</p> | <p><u>Documents to examine:</u> Project brief, contract specifications, material submissions, approval document from Consultant, material procurement records.</p> <p><u>Evidence of compliance:</u></p> <ul style="list-style-type: none"> i. Sample of material submissions shall be provided to show that materials are in accordance with the project brief and contract specifications. ii. The material approval documents from the Consultant and the material procurement records shall be provided to show the materials were procured after obtaining the Consultant's approval on the material submissions. The material procurement records could be the delivery notes and invoices. <p>Note: If the client did not hire any Consultant for the project, the company shall provide the documents showing that the materials were procured after obtaining the client's approval on the material submissions.</p> | 1 |



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| | <p>b</p> | <p><u>Material samples provision</u></p> <p>The company shall provide material samples for review and approval by Consultant.</p> | <p><u>Documents to examine:</u> Material samples provision, materials samples approval from Consultant, material procurement records.</p> <p><u>Evidence of compliance:</u> Material samples provision, the corresponding approval by Consultant and the corresponding material procurement records showing that the materials were procured after obtaining the Consultant's approval on the samples. The material procurement records could be the delivery notes and invoices.</p> <p>Note: If the client did not hire any Consultant for the project, the company shall provide the documents showing that the materials were procured after obtaining the client's approval on the samples.</p> | <p>1</p> | |
| | <p>c</p> | <p><u>Justification for use of brand name or restrictive specifications (Conditional Point)</u></p> <p>The company shall provide justifiable, quality-related grounds on the use of repair materials with brand name or restrictive specifications.</p> | <p><u>Documents to examine:</u> Justification for the use of brand name repair material or restrictive specifications.</p> <p><u>Evidence of compliance:</u> The justification shows the reason of the use of the requested brand of repair materials or restrictive specifications. Justification details shall include information on functionality.</p> | | <p>1</p> |



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| 4 | | Oversight of subcontractor works | | |
| | a | <p><u>Joint inspection with Consultant or client for subcontractor works</u></p> <p>The company shall invite Consultant or client to a joint inspection on the subcontractors' works.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned for checking the subcontractors' works and work progress.</p> | 1 |



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| 5 | Approval of completion of defects rectification | | | | |
| | a | <p><u>Joint inspection by Consultant and Contractor before practical completion (PC) to confirm defective works</u></p> <p>The company shall invite Consultant to a joint inspection to view and confirm the defective works before issuing a certificate of practical completion.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before PC.</p> <p>Note: If the client did not hire any Consultant for the project, the company shall invite the client to a joint inspection to view and confirm the defective works before PC.</p> | 1 | |
| | | <p><u>Joint inspection by Consultant and Contractor before defects liability period (DLP) expiry</u></p> <p>The company shall invite Consultant to a joint inspection to confirm the satisfactory rectification of defects before the expiry of the defects liability period.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before DLP expiry.</p> <p>Note: If the client did not hire any Consultant for the project, the company shall invite the client to a joint inspection to confirm the satisfactory rectification of defects before the expiry of DLP.</p> | 1 | |



| 6 | | Approval of variation order (VO) | |
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| | a | <p><u>Consultant's approval prior to variation order (VO) works</u></p> <p>The company shall seek Consultant approval of variation orders before work commences.</p> | <p><u>Documents to examine:</u> Consultant's approval document.</p> <p><u>Evidence of compliance:</u> Consultant's approval document showing that the Consultant has approved the VO before the commencement of the work variations.</p> <p>Note:</p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant for the project, the company shall provide the document showing that the client has approved the VO before the commencement of the work variations. |
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| b | <p><u>Cost estimate/quotation provided to Consultant prior to variation order (VO) works</u></p> <p>The company shall seek Consultant approval of the cost estimates of variation orders before commencing work.</p> | <p><u>Documents to examine:</u> Cost estimation submissions.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has been provided and approved by the Consultant prior to VO works.</p> <p><u>Note:</u></p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant for the project, the company shall provide the document showing that the cost estimation or quotation has been provided and approved by the client prior to VO works. | 1 | |
| | <p><u>Variation order (VO) similar to works item in contract (Conditional Point)</u></p> <p>The company shall make reference to the original contract in determining the cost estimation of work variation orders, when applicable.</p> | <p><u>Documents to examine:</u> Cost estimation submissions, referencing original contract prices.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has made reference to the original contract prices.</p> <p><u>Note:</u> If there are no VO in the original project, the assessor shall sample another project with VO.</p> | 1 | |

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| | c | <p><u>Documentation of variation order (VO) works and associated costs, and submission to Consultant</u></p> <p>The company shall document and submit all variation orders and their costs to the Consultant.</p> | <p><u>Documents to examine:</u></p> <p>VO log.</p> <p><u>Evidence of compliance:</u></p> <p>The VO log includes the work variations and costs. Information should be traceable in the relevant progress reports, which should also give evidence of submission to the Consultant. If not, a formal document submission shall be obtained.</p> <p><u>Note:</u></p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant for the project, the company shall provide the documents showing that all variation orders and their costs were submitted to the client. | 1 | |
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| 7 Validation of final payment | | | |
| | <p>a The company shall ensure that all the defect rectification works are completed before submitting the final claims to the Consultant.</p> | <p><u>Completion of defective works rectification prior to final claims submission</u></p> <p><u>Documents to examine:</u> Final claims submissions, defective works rectification completion reports, defect list, certificate of final completion (FC)</p> <p><u>Evidence of compliance:</u> The final claims submissions, defective works rectification completion reports and defect list showing that all defective works were rectified before submitting the final claims to the Consultant.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client did not hire any Consultant for the project, the company shall provide the documents showing that all the defect rectification works are completed before submitting the final claims to the client. | 1 |

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| | <p>b</p> | <p><u>Joint inspection with Consultant before final payment</u></p> <p>The company shall invite the Consultant to a joint inspection to verify the completion of works before making the final payment.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records; or inspection photo records and formal written notification.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing the joint inspection was planned for the Consultant before making the final payment. If the consultant refused to go on-site for the joint inspection, inspection photo records and formal written notification shall be provided to show that the Consultant was informed about the progress details before making the final payment.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client did not hire any Consultant for the project, the company shall invite the client to a joint inspection to verify the completion of works before making the final payment. | <p>1</p> | |
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| 8 Handling of complaints | | | | | |
| | a | <p><u>System for receiving, following-up and taking corrective action on complaints</u></p> <p>The company shall put in place a mechanism for handling complaints. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints is in place.</p> | 1 | |
| | b | <p><u>System for receiving, following-up and taking corrective action on complaints about subcontractor's work</u></p> <p>The company shall put in place a mechanism for handling complaints about subcontractor's work. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints about subcontractors is in place.</p> | 1 | |



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| | <p>c</p> | <p><u>Complaint log</u></p> <p>The company shall maintain a complaint log.</p> | <p><u>Documents to examine:</u> Complaint log.</p> <p><u>Evidence of compliance:</u> A complaint log, such as the project site client or Consultant feedback log or the site inspection feedback log, records complaints received throughout the project life cycle.</p> | <p>1</p> | |
| | <p>d</p> | <p><u>Timely follow-up actions, if complaint received (Conditional Point)</u></p> <p>The company shall take timely actions to resolve any complaints.</p> | <p><u>Documents to examine:</u> Client's or Consultant's final agreed timeframe / instruction, written complaint reply.</p> <p><u>Evidence of compliance:</u> Client's or Consultant's final agreed timeframe or written instruction, and the company's written complaint reply showing that the complaint has been followed up and resolved in a timely manner.</p> | | <p>1</p> |



5.2.3 For RMWC

| CORE REQUIREMENTS | | Registered Minor Works Contractors (RMWC) | | |
|--|--|--|--------|--------------------|
| | | Guidelines on Key Evidence of Compliance | Points | Conditional Points |
| 1 Provision of registered professionals and sufficient staffing | | | | |
| | <p>a</p> <p><u>Properly qualified personnel</u></p> <p>The company shall provide registered professionals to perform the work according to legal requirements.</p> | <p><u>Documents to examine:</u> Tender submission document or quotation submission document.</p> <p><u>Evidence of compliance:</u> Tender submission document or quotation submission document including copy of the Registered Minor Works Contractors' qualification.</p> | 1 | |
| | <p>b</p> <p><u>Staffing proposal and key personnel</u></p> <p>The company shall submit a staffing proposal upon tender invitation and specify which personnel will carry out the work. The staffing proposal shall include the qualifications and relevant experience of the key personnel, and their responsibilities and degree of involvement.</p> | <p><u>Documents to examine:</u> Staffing proposal or project organization chart, supervision records.</p> <p><u>Evidence of compliance:</u></p> <p>i. The company shall provide a staffing proposal or project organization chart showing the key personnel with names indicated and their responsibilities upon tender invitation, contract or subcontract commencement.</p> <p>ii. The company shall provide the supervision records showing the participation of the key personnel which match the staffing proposal or project organization chart submitted.</p> | 1 | |

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| | c | <p><u>Commitment to progress checking and identifying any delay, and to taking action to mitigate any impact from the delay</u></p> <p>The company shall monitor progress, identify delays and take action to mitigate any impacts from delays.</p> | <p><u>Documents to examine:</u> Master programme or works schedule, site photos, minutes of progress meeting with Consultant or main contractor, progress reports, delay reporting records (if any).</p> <p><u>Evidence of compliance:</u></p> <ul style="list-style-type: none"> i. The company shall provide site photos and meeting minutes showing that the latest contract or subcontract progress updates to the Consultant or main contractor. ii. If a delay is found, a delay reporting record shall be obtained. This record shall include details of the possible impact of the delay, and actions to be taken to pre-empt or mitigate the impacts. <p>Note: If the client did not hire any Consultant in the project, the company shall provide the documents showing the latest progress updates to the client.</p> | 1 | |
|--|----------|---|--|---|--|



| 2 Oversight of hidden works | | | | | |
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| | a | <p><u>Evidence of completion of hidden works</u></p> <p>The company shall submit the measurement records, site photos and site supervision records to prove the completion of hidden works.</p> | <p><u>Documents to examine:</u> Submissions of measurement records, site photos, site supervision records, master programme or works schedule.</p> <p><u>Evidence of compliance:</u> Submissions of measurement records, site photos and site supervision records of the completion of hidden works show the company has provided the evidence of the hidden works completion as per the works progress scheduled in the master programme or works schedule.</p> | 1 | |
| | b | <p><u>Supervision of hidden works</u></p> <p>The company shall provide on-site supervision records for any hidden works.</p> | <p><u>Documents to examine:</u> On-site supervision records of hidden works, master programme or works schedule.</p> <p><u>Evidence of compliance:</u> On-site supervision records show the on-site supervision of hidden works carried out as per the works progress scheduled in the master programme or works schedule.</p> | 1 | |

| 3 | | Approval of materials | |
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| | a | <p><u>Adherence to project brief and contract specifications</u></p> <p>The company shall submit the material submissions in accordance with the project brief and contract specifications to the Consultant and obtain the approval from the Consultant.</p> | <p><u>Documents to examine:</u> Project brief, contract specifications, material submissions, approval document from Consultant or main contractor, material procurement records.</p> <p><u>Evidence of compliance:</u></p> <p>i. The company shall provide the documents showing that materials are in accordance with the project brief, contract or subcontract specifications or the quotations.</p> <p>ii. The material approval documents received from the Consultant or main contractor and the material procurement records shall be provided to show the materials were procured after obtaining the Consultant’s or main contractor’s approval on the material submissions. The material procurement records could be the delivery notes and invoices.</p> <p>Note: If the client did not hire any Consultant in the project, the company shall provide the documents showing that the materials were procured after obtaining the client’s approval on the material submissions.</p> |
| | | | 1 |

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|--|-----------------|--|---|----------|--|
| | <p>b</p> | <p><u>Material samples provision</u></p> <p>The company shall provide samples of materials for the Consultant to review and approve.</p> | <p><u>Documents to examine:</u> Material samples provisions, materials samples approval from Consultant or main contractor, material procurement records.</p> <p><u>Evidence of compliance:</u> Material samples provision, the corresponding approval from Consultant or main contractor and the corresponding material procurement records showing that the materials were procured after obtaining the Consultant's or main contractor's approval on the samples. The material procurement records could be the delivery notes and invoices.</p> <p>Note: If the client did not hire any Consultant in the project, the company shall provide the documents showing that the materials were procured after obtaining the client's approval on the samples.</p> | <p>1</p> | |
| | <p>c</p> | <p><u>Justification for use of brand name or restrictive specifications (Conditional Point)</u></p> <p>The company shall have justifiable, quality-related grounds on the use of repair materials with brand name or restrictive specifications.</p> | <p><u>Documents to examine:</u> Justification for the use of brand name repair material or restrictive specifications.</p> <p><u>Evidence of compliance:</u> The justification shows the reason of the use of the requested brand of repair materials or restrictive specifications. Justification details shall include information on functionality.</p> | <p>1</p> | |



| 4 | | Oversight of subcontractor works | | | |
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| | a | <p><u>Joint inspection with Consultant or client for subcontractor works</u></p> <p>The company shall invite the Consultant or client to a joint inspection on the subcontractors' works.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned for observing the subcontractors' works and work progress.</p> <p>Note: If the project is a subcontract job, the company shall invite the main contractor to a joint inspection on the subcontractors' works that the company contracted out.</p> | 1 | |



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| 5 | | Approval of completion of defects rectification | |
| | a | <p><u>Joint inspection by Consultant and Contractor before practical completion (PC) to confirm defective works</u></p> <p>The company shall invite the Consultant to a joint inspection to view and confirm the defective works before issuing a certificate of practical completion.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before PC.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the client did not hire any Consultant in the project, the company shall invite the client to a joint inspection to view and confirm the defective works before PC. - If the project is a subcontract job, the company shall invite the main contractor to a joint inspection to view and confirm the defective works before confirming the works completion of the subcontract. |
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| | <p>a</p> | <p><u>Joint inspection by Consultant and Contractor before defects liability period (DLP) expiry</u></p> <p>The company shall invite the Consultant to a joint inspection to confirm the satisfactory rectification of defects before the expiry of the defects liability period.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records; or submission of works rectification photos to the Consultant or client.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before DLP expiry. Or the works rectification photos showing the photos were submitted to the Consultant or client before DLP expiry.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the client did not hire any Consultant in the project, the company shall invite the client to a joint inspection to confirm the satisfactory rectification of defects before the expiry of DLP. - If the project is a subcontract job and if there is defect rectification during DLP, the company shall invite the main contractor to a joint inspection to confirm the satisfactory rectification of defects before the expiry of DLP. If the defect rectification is not required by the main contractor during DLP, the company shall provide the document showing the confirmation with the main contractor. | <p>1</p> | |
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| 6 | | Approval of variation order (VO) | |
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| | a | <p><u>Consultant's approval prior to variation order (VO) works</u></p> <p>The company shall seek Consultant approval of variation orders before work commences.</p> | <p><u>Documents to examine:</u> Consultant's or main contractor's approval document.</p> <p><u>Evidence of compliance:</u> Consultant's approval document showing that the Consultant has approved the VO before the commencement of the work variations. If the Consultant refused to issue any approval document, formal written notification shall be provided to show that the Consultant was informed by the company about the confirmation of the VO before the commencement of the work variations.</p> <p>Note:</p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant in the project, the company shall provide the document showing that the client has approved the VO before the commencement of the work variations. - If the project is a subcontract job, the company shall seek main contractor approval of variation orders before work commences. |
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|--|-----------------|--|--|----------|--|
| | <p>b</p> | <p><u>Cost estimate/quotation provided to Consultant prior to variation order (VO) works</u></p> <p>The company shall seek Consultant approval of the cost estimates of variation orders before commencing work.</p> | <p><u>Documents to examine:</u> Cost estimation submissions.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has been provided and approved by the Consultant prior to VO works. If the Consultant refused to issue any approval document, formal written notification shall be provided to show that the Consultant was informed by the company about the confirmation of the cost estimation before the commencement of the work variations.</p> <p><u>Note:</u></p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant in the project, the company shall provide the document showing that the cost estimation or quotation has been provided and approved by the client prior to VO works. - If the project is a subcontract job, the company shall seek main contractor approval of the cost estimates of variation orders before commencing work. | <p>1</p> | |
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|---|--|---|---|---|---|
| | | <p><u>Variation order (VO) similar to works item in contract (Conditional Point)</u></p> <p>The company shall make reference to the original contract in determining the cost estimation of work variation orders, when applicable.</p> | <p><u>Documents to examine:</u> Cost estimation submissions, referencing original contract prices.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has made reference to the original contract prices. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | | 1 |
| c | | <p><u>Documentation of variation order (VO) works and associated costs, and submission to Consultant</u></p> <p>The company shall document and submit all variation orders and their costs to the Consultant.</p> | <p><u>Documents to examine:</u> VO log.</p> <p><u>Evidence of compliance:</u> The VO log includes the work variations and costs. Information should be traceable in the relevant progress reports, which should also give evidence of submission to the Consultant. If not, a formal document submission shall be obtained.</p> <p>Note:</p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client did not hire any Consultant in the project, the company shall provide the documents showing that all variation orders and their costs were submitted to the client. - If the project is a subcontract job, the company shall document and submit all variation orders and their costs to the main contractor. | 1 | |



| 7 Validation of final payment | | | |
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| | <p data-bbox="264 663 775 743"><u>Completion of defective works rectification prior to final claims submission</u></p> <p data-bbox="203 810 741 983">a The company shall ensure that all the defect rectification works are completed before submitting the final claims submissions to the Consultant.</p> | <p data-bbox="801 296 1084 322"><u>Documents to examine:</u></p> <p data-bbox="801 344 1671 421">Final claims submissions, defective works rectification completion reports, defect list, certificate of final completion (FC)</p> <p data-bbox="801 488 1093 513"><u>Evidence of compliance:</u></p> <p data-bbox="801 536 1711 660">The final claims submissions, defective works rectification completion reports and defect list showing that all defective works were rectified before the final claims submissions were submitted to the Consultant.</p> <p data-bbox="801 730 869 756">Note:</p> <ul data-bbox="801 810 1702 1225" style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client did not hire any Consultant in the project, the company shall provide the documents showing that all the defect rectification works are completed before submitting the final claims submissions to the client. - If the project is a subcontract job, the company shall provide documents showing that all defective works were rectified as specified in the subcontract before submitting the final claims submissions to the main contractor. | <p data-bbox="1823 810 1845 836">1</p> |



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|--|--|--|--|----------|--|
| | | <p><u>Joint inspection with Consultant before final payment</u></p> <p>b The company shall invite the Consultant to conduct a joint inspection to verify the completion of works before making the final payment.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records; or inspection photo records and formal written notification.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing the joint inspection was planned for the Consultant before making the final payment. If the consultant refused to go on-site for the joint inspection, inspection photo records and formal written notification shall be provided to show that the Consultant was informed by the company about the progress details before making the final payment.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client did not hire any Consultant in the project, the company shall invite the client to a joint inspection to verify the completion of works before making the final payment. - If the project is a subcontract job, the company shall invite the main contractor to a joint inspection to view and confirm the completion of works as specified in the subcontract before making the final payment. If the main contractor refused to join the inspection, inspection photo records and formal written notification shall be provided to show that the main contractor was informed by the company about the progress details before making the final payment. | <p>1</p> | |
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| 8 Handling of complaints | | | | |
|---------------------------------|---|--|---|--|
| | <p>a</p> <p><u>System for receiving, following-up and taking corrective action on complaints</u></p> <p>The company shall put in place a mechanism for handling complaints. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints is in place.</p> | 1 | |
| | <p>b</p> <p><u>System for receiving, following-up and taking corrective action on complaints about subcontractor's work</u></p> <p>The company shall put in place a mechanism for handling complaints about subcontractor's work. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company's internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company's internal procedure or documentation showing that a mechanism for handling complaints about subcontractors of the company is in place.</p> | 1 | |

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| | <p>c</p> | <p><u>Complaint log</u></p> <p>The company shall maintain a complaint log.</p> | <p><u>Documents to examine:</u> Complaint log.</p> <p><u>Evidence of compliance:</u> A complaint log, such as the project site client or Consultant feedback log or the site inspection feedback log, records complaints received throughout the project life cycle.</p> | <p>1</p> | |
| | <p>d</p> | <p><u>Timely follow-up actions, if complaint received (Conditional Point)</u></p> <p>The company shall take timely actions to resolve any complaints.</p> | <p><u>Documents to examine:</u> Client's or Consultant's final agreed timeframe / instruction, written complaint reply.</p> <p><u>Evidence of compliance:</u> Client's or Consultant's final agreed timeframe or written instruction, and the company's written complaint reply showing that the complaint has been followed up and resolved in a timely manner.</p> | | <p>1</p> |



5.2.4 For RFSIC

| CORE REQUIREMENTS | | Registered Fire Service Installation Contractor (RFSIC) | | |
|--|--|--|--------|--------------------|
| | | Guidelines on Key Evidence of Compliance | Points | Conditional Points |
| 1 Provision of registered professionals and sufficient staffing | | | | |
| | <p>a</p> <p><u>Properly qualified personnel</u></p> <p>The company shall provide registered professionals to perform the work according to legal requirements.</p> | <p><u>Documents to examine:</u> Tender submission document or quotation submission document.</p> <p><u>Evidence of compliance:</u> Tender submission document or quotation submission document including copy of the Registered Fire Service Installation Contractors' qualification.</p> | 1 | |
| | <p>b</p> <p><u>Staffing proposal and key personnel</u></p> <p>The company shall submit a staffing proposal upon tender invitation and specify which personnel will carry out the work. The staffing proposal shall include the qualifications and relevant experience of the key personnel, and their responsibilities.</p> | <p><u>Documents to examine:</u> Staffing proposal or project organization chart, supervision records.</p> <p><u>Evidence of compliance:</u></p> <p>i. The company shall provide a staffing proposal or project organization chart showing the key personnel with names indicated and their responsibilities upon tender invitation, contract or subcontract commencement.</p> <p>ii. The company shall provide the supervision records showing the participation of the key personnel which match the staffing proposal or project organization chart submitted.</p> | 1 | |



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| | <p>c</p> | <p><u>Commitment to progress checking and identifying any delay, and to taking action to mitigate any impact from the delay</u></p> <p>The company shall monitor progress, identify delays and take action to mitigate any impacts from delays.</p> | <p><u>Documents to examine:</u> Quality plan or programme of installations, site photos, minutes of progress meeting with the client or main contractor, progress reports, delay reporting records (if any).</p> <p><u>Evidence of compliance:</u></p> <p>i. The company shall provide site photos and meeting minutes showing that the latest contract or subcontract progress updates to the client or main contractor.</p> <p>ii. If a delay is found, a delay reporting record shall be obtained. This record shall include details of the possible impact of the delay, and actions to be taken to pre-empt or mitigate the impacts.</p> <p>Note:</p> <ul style="list-style-type: none"> - If design is included in the project, the progress of Stage 1 design submission to FSD shall be reviewed. - If the client hired Consultant in the project, the company shall provide the documents showing the latest progress updates to the Consultant. | <p>1</p> | |
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| 2 Oversight of hidden works | | | | |
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| | <p>a</p> <p><u>Evidence of completion of hidden works (Conditional Point)</u></p> <p>The company shall submit the measurement records, site photos and site supervision records to prove the completion of hidden works.</p> | <p><u>Documents to examine:</u> Submissions of measurement records, site photos, site supervision records, quality plan or programme of installations.</p> <p><u>Evidence of compliance:</u> Submissions of measurement records, site photos and site supervision records of the completion of hidden works show the Contractor has provided the evidence of the hidden works completion as per the works progress scheduled in the quality plan or programme of installations.</p> | | 1 |
| | <p>b</p> <p><u>Supervision of hidden works (Conditional Point)</u></p> <p>The company shall provide on-site supervision records for any hidden works.</p> | <p><u>Documents to examine:</u> On-site supervision records of hidden works, quality plan or programme of installations.</p> <p><u>Evidence of compliance:</u> On-site supervision records show the on-site supervision of hidden works carried out as per the works progress scheduled in the quality plan or programme of installations.</p> | | 1 |



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| 3 Approval of materials | | | |
| a | <p><u>Adherence to project brief and contract specifications</u></p> <p>The company shall submit the material submissions in accordance with the contract specifications to the client and obtain the approval from the client.</p> | <p><u>Documents to examine:</u> Contract specifications, material submissions, approval document from the client or main contractor, material procurement records.</p> <p><u>Evidence of compliance:</u></p> <p>i. The company shall provide the documents showing that materials are in accordance with the contract or subcontract specifications or the quotations.</p> <p>ii. The material approval documents received from the client or main contractor and the material procurement records shall be provided to show the materials were procured after obtaining the client's or main contractor's approval on the material submissions. The material procurement records could be the delivery notes and invoices.</p> <p>Note: If the client hired Consultant in the project, the company shall provide the documents showing that the materials were procured after obtaining the Consultant's approval on the material submissions.</p> | 1 |



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|--|-----------------|--|--|----------|----------|
| | <p>b</p> | <p><u>Material samples provision</u></p> <p>The company shall provide samples of materials for the client to review and approve.</p> | <p><u>Documents to examine:</u> Material samples provisions, materials samples approval from the client or main contractor, material procurement records.</p> <p><u>Evidence of compliance:</u> Material samples provision, the corresponding approval from the client or main contractor and the corresponding material procurement records showing that the materials were procured after obtaining the client's or main contractor's approval on the samples. The material procurement records could be the delivery notes and invoices.</p> <p>Note: If the client hired Consultant in the project, the company shall provide the documents showing that the materials were procured after obtaining the Consultant's approval on the samples.</p> | <p>1</p> | |
| | <p>c</p> | <p><u>Justification for use of brand name or restrictive specifications (Conditional Point)</u></p> <p>The company shall have justifiable, quality-related grounds on the use of repair materials with brand name or restrictive specifications.</p> | <p><u>Documents to examine:</u> Justification for the use of brand name repair material or restrictive specifications.</p> <p><u>Evidence of compliance:</u> The justification shows the reason of the use of the requested brand of repair materials or restrictive specifications. Justification details shall include information on functionality.</p> | | <p>1</p> |



| 4 Oversight of subcontractor works | | | |
|------------------------------------|--|---|---|
| | <p><u>Joint inspection with client for subcontractor works</u></p> <p>a The company shall invite the client to a joint inspection on the subcontractors' works.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned for observing the subcontractors' works and work progress.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the client hired Consultant in the project, the company shall invite the Consultant to a joint inspection for observing the subcontractors' works and work progress. - If the project is a subcontract job, the company shall invite the main contractor to a joint inspection on the subcontractors' works that the company contracted out. | 1 |



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|---|--|--|--|---|--|
| 5 | Approval of completion of defects rectification | | | | |
| | | <p><u>Joint inspection by client and Contractor before substantial completion to confirm defective works</u></p> <p>a The company shall invite the client to a joint inspection to view and confirm the defective works before issuing a certificate of substantial completion.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records, in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before substantial completion.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the client hired the Consultant in the project, the company shall invite the Consultant to a joint inspection to view and confirm the defective works before the substantial completion. - If the project is a subcontract job, the company shall invite the main contractor to a joint inspection to view and confirm the defective works before confirming the works completion of the subcontract. | 1 | |

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| | | <p><u>Joint inspection by client and Contractor before expiry of maintenance period</u></p> <p>The company shall invite the client to a joint inspection to confirm the satisfactory rectification of defects before the expiry of maintenance period.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records, or submission of final inspection report with photo records to the client.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing that the joint inspection was planned before the expiry of maintenance period. Or the final inspection report with photo records showing that the report was submitted to the client before the expiry of maintenance period.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the maintenance period is longer than one year, annual inspection report with photo shall be submitted to the client before the expiry of maintenance period. - If the client hired Consultant in the project, the company shall invite the Consultant to a joint inspection to confirm the satisfactory rectification of defects before the expiry of maintenance period. - If the project is a subcontract job and if there is defect rectification during the maintenance period, the company shall invite the main contractor to a joint inspection to confirm the satisfactory rectification of defects before the expiry of the maintenance period. If defect rectification is not required by the main contractor during the maintenance period, the company shall provide document showing the confirmation with the main contractor. | <p>1</p> | |
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| 6 | | Approval of variation order (VO) | | | |
|---|----------|--|--|---|--|
| | a | <p><u>Client's approval prior to variation order (VO) works</u></p> <p>The company shall seek client approval of variation orders before work commences.</p> | <p><u>Documents to examine:</u> Client's or main contractor's approval document.</p> <p><u>Evidence of compliance:</u> Client's approval document showing that the client has approved the VO before the commencement of the work variations. If the client refused to issue any approval document, formal written notification shall be provided to show that the client was informed by the company about the confirmation of the VO before the commencement of the work variations.</p> <p>Note:</p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client hired Consultant in the project, the company shall provide the document showing that the Consultant has approved the VO before the commencement of the work variations. - If the project is a subcontract job, the company shall seek main contractor approval of VO before work commences. | 1 | |

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|--|-----------------|--|--|----------|--|
| | <p>b</p> | <p><u>Cost estimate/quotation provided to client prior to variation order (VO) works</u></p> <p>The company shall seek client approval of the cost estimates of variation orders before commencing work.</p> | <p><u>Documents to examine:</u> Cost estimation submissions.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has been provided and approved by the client prior to VO works. If the client refused to issue any approval document, formal written notification shall be provided to show that the client was informed by the Contractor about the confirmation of the cost estimation before the commencement of the work variations.</p> <p><u>Note:</u></p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client hired Consultant in the project, the company shall provide the document showing that the cost estimation or quotation has been provided and approved by the Consultant prior to VO works. - If the project is a subcontract job, the company shall seek main contractor approval of the cost estimates of variation orders before commencing work. | <p>1</p> | |
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| | <p>b</p> | <p><u>Variation order (VO) similar to works item in contract (Conditional Point)</u></p> <p>The company shall make reference to the original contract in determining the cost estimation of work variation orders, when applicable.</p> | <p><u>Documents to examine:</u> Cost estimation submissions, referencing original contract prices.</p> <p><u>Evidence of compliance:</u> The cost estimation submissions show that the cost estimation or quotation has made reference to the original contract prices. Note: If there are no VO in the original project, the assessor shall sample another project with VO.</p> | | <p>1</p> |
| | <p>c</p> | <p><u>Documentation of variation order (VO) works and associated costs, and submission to client</u></p> <p>The company shall document and submit all variation orders and their costs to the client.</p> | <p><u>Documents to examine:</u> VO log.</p> <p><u>Evidence of compliance:</u> The VO log includes the work variations and costs. Information should be traceable in the relevant progress reports, which should also give evidence of submission to the client. If not, a formal document submission shall be obtained.</p> <p>Note:</p> <ul style="list-style-type: none"> - If there are no VO in the original project, the assessor shall sample another project with VO. - If the client hired the Consultant in the project, the company shall provide the documents showing that all variation orders and their costs were submitted to the Consultant. - If the project is a subcontract job, the company shall document all variation orders and their costs to the main contractor. | <p>1</p> | |



| 7 Validation of final payment | | | |
|-------------------------------|---|--|--|
| | <p data-bbox="264 646 772 726"><u>Completion of defective works rectification prior to final claims submission</u></p> <p data-bbox="203 794 741 965">a The company shall ensure that all the defect rectification works are completed before submitting the final claims submissions to the client.</p> | <p data-bbox="801 295 1086 322"><u>Documents to examine:</u></p> <p data-bbox="801 343 1675 418">Final claims submissions, defective works rectification completion reports, defect list, Confirmation of rectification works completion</p> <p data-bbox="801 486 1093 513"><u>Evidence of compliance:</u></p> <p data-bbox="801 534 1713 657">The final claims submissions, defective works rectification completion reports and defect list showing that all defective works were rectified before the final claims submissions were submitted to the client.</p> <p data-bbox="801 726 869 753">Note:</p> <ul data-bbox="801 774 1713 1189" style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client hired Consultant in the project, the company shall provide the documents showing that all the defect rectification works are completed before submitting the final claims submissions to the Consultant. - If the project is a subcontract job, the company shall provide documents showing that all defective works were rectified as specified in the subcontract before submitting the final claims submissions to the main contractor. | <p data-bbox="1818 794 1841 821">1</p> |



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| | | <p><u>Joint inspection with client before final payment</u></p> <p>b The company shall invite the client to conduct a joint inspection to verify the completion of works before making the final payment.</p> | <p><u>Documents to examine:</u> Invitation record and joint inspection records; or inspection photo records and formal written notification.</p> <p><u>Evidence of compliance:</u> Invitation record and joint inspection records in the form of emails, meeting minutes and/or photo records, showing the joint inspection was planned for the client before making the final payment. If the client refused to go on-site for the joint inspection, inspection photo records and formal written notification shall be provided to show that the client was informed by the Contractor about the progress details before making the final payment.</p> <p>Note:</p> <ul style="list-style-type: none"> - If the original project is not yet due for final payment, the assessor shall sample another project to assess this requirement. - If the client hired Consultant in the project, the company shall invite the Consultant to a joint inspection to verify the completion of works before making the final payment. - If the project is a subcontract job, the company shall invite the main contractor to a joint inspection to view and confirm the completion of works as specified in the subcontract before making the final payment. If the main contractor refused to join the inspection, inspection photo records and formal written notification shall be provided to show that the main contractor was informed by the company about the progress details before making the final payment. | <p>1</p> | |
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| 8 Handling of complaints | | | | |
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| | <p>a</p> <p><u>System for receiving, following-up and taking corrective action on complaints</u></p> <p>The company shall put in place a mechanism for handling complaints. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company’s internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company’s internal procedure or documentation showing that a mechanism for handling complaints is in place.</p> | <p>1</p> | |
| | <p>b</p> <p><u>System for receiving, following-up and taking corrective action on complaints about subcontractor’s work</u></p> <p>The company shall put in place a mechanism for handling complaints about subcontractor’s work. The mechanism shall include a communication process for resolving complaints and a process for taking corrective action to eliminate the cause of a detected nonconformance and preventing its recurrence.</p> | <p><u>Documents to examine:</u> Company’s internal procedure or documentation.</p> <p><u>Evidence of compliance:</u> Company’s internal procedure or documentation showing that a mechanism for handling complaints about subcontractors of the company is in place.</p> | <p>1</p> | |



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| | <p>c</p> | <p><u>Complaint log</u></p> <p>The company shall maintain a complaint log.</p> | <p><u>Documents to examine:</u> Complaint log.</p> <p><u>Evidence of compliance:</u> A complaint log, such as the project site client or Consultant feedback log or the site inspection feedback log, records complaints received throughout the project life cycle.</p> | <p>1</p> | |
| | <p>d</p> | <p><u>Timely follow-up actions, if complaint received (Conditional Point)</u></p> <p>The company shall take timely actions to resolve any complaints.</p> | <p><u>Documents to examine:</u> Client's or Consultant's final agreed timeframe / instruction, written complaint reply.</p> <p><u>Evidence of compliance:</u> Client's or Consultant's final agreed timeframe or written instruction, and the company's written complaint reply showing that the complaint has been followed up and resolved in a timely manner.</p> | | <p>1</p> |