**Prequalification Questionnaire for Prospective Contractors**

**General Instructions**

The responses to Section 1 to 5 below by applicants for prequalificationshall provide complete, true, accurate and up to date information required to enable the MTR Corporation Limited (the Corporation) to prequalify a company (the Applicant) to tender for the Contract(s) as described in the Prequalification Questionnaire.

When completing this Prequalification Questionnaire, Applicants shall be aware of the following conditions:

1. The Corporation shall treat all responses in this Prequalification Questionnaire as confidential and undertakes not to disclose the responses to others (with the exception of the Corporation's financial, legal and insurance advisors and the Government of Hong Kong Special Administrative Region, as appropriate, during the prequalification and the tender assessment period).
2. Completion of the Prequalification Questionnaire shall not bind the Corporation to invite an Applicant to submit a tender and no reasons shall be given for the exclusion of unsuccessful Applicants.
3. The composition of the list of tenderers shall rest entirely with the Corporation and its decisions shall be final.
4. In the event that the applicant has or may have a conflict of interest which may affect its judgment in relation to the contract or its ability to properly discharge the works or services to be delivered (including dealings with third parties), then the applicant shall immediately notify the Corporation as to the nature of the conflict or potential conflict of interest and thereafter shall discuss and agree with the Corporation what action is necessary to resolve the conflict.
5. The Applicant shall not, and shall ensure that its directors, employees, agents and subcontractors shall not, offer or give any advantage as defined in the Prevention of Bribery Ordinance (Cap. 201) to any employee or agent of the Corporation. Any breach of or non-compliance of this condition by the Applicant shall, without affecting its liability for such breach or non-compliance, result in its application not being considered.

Applicant shall note the following:-

1. Please fill in all cells highlighted in yellow.
2. For Section 2
   1. Please submit (i) related job reference, (ii) award certificates and (iii) clients’ commendation (if any) in the form of Appendix with quoting the Item No.
   2. Please insert additional table in same format for more job reference when necessary.
3. For Section 3, please insert additional table in same format for more personnel when necessary.

**Submitted by**

|  |  |
| --- | --- |
| **Company name:** |  |
| **Contact person:** |  |
| **Telephone No.:** |  |
| **Email address:** |  |
| **Date:** |  |

**Section 1**

|  |  |
| --- | --- |
| **Company Profile** | |
| Year of company establishment | Established in \_\_\_\_\_\_\_\_\_\_\_  Copy of business and company registration is enclosed. |
| Organization chart | Submitted in the form of Appendix by referring to Section No. \_\_\_\_\_\_\_\_ |
| Name of related companies e.g. holding, sister companies, subsidiaries |  |
| No. of direct technical staff |  |
|  |  |

**Section 2**

*\* Please list below in a descending order of the total contract value \**

| **A** | **Relevant Local Job Reference to provide energy audits services with contract value UNDER HK$0.5M from 2019** | |
| --- | --- | --- |
| 1 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 2 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 3 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |

**Section 2**

| **A** | **Relevant Local Job Reference to provide energy audits services with contract value UNDER HK$0.5M from 2019** | |
| --- | --- | --- |
| 4 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 5 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 6 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |

**Section 2**

*\* Please list below in a descending order of the total contract value \**

| **B** | **Relevant Local Job Reference to provide energy audits services with contract value OVER HK$0.5M from 2019** | |
| --- | --- | --- |
| 1 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 2 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 3 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |

**Section 2**

*\* Please list below in a descending order of the total contract value \**

| **B** | **Relevant Local Job Reference to provide energy audits services with contract value OVER HK$0.5M from 2019** | |
| --- | --- | --- |
| 4 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 5 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |
| 6 | Location of Services / Name of premises |  |
|  | Name of the Client |  |
|  | Contract Period |  |
|  | Total Contract Value |  |
|  | Client's compliment letters or references |  |

**Section 3**

**#** Please also submit C.V. of your key staff indicating qualification, working experience together with the job reference in the past five years in the form of Appendix by referring to Section & Item Nos.

|  |  |  |
| --- | --- | --- |
|  | **Strength and Quality of Resources (Key Staff #)** | |
| 1 | Name |  |
|  | Position | Project Director |
|  | Qualifications |  |
|  | Years of Relevant Experience in the industry |  |
|  | Job Reference |  |
| 2 | Name |  |
|  | Position | Project Manager |
|  | Qualifications |  |
|  | Years of Relevant Experience |  |
|  | Job Reference |  |
| 3 | Name |  |
|  | Position | Site agent / Engineering |
|  | Qualifications |  |
|  | Years of Relevant Experience |  |
|  | Job Reference |  |
| 4 | Name |  |
|  | Position |  |
|  | Qualifications |  |
|  | Years of Relevant Experience |  |
|  | Job Reference |  |

***(Please insert page and table beyond this page for more key persons when necessary)***

**Section 4**

|  |  |  |  |
| --- | --- | --- | --- |
| **Others** | | | |
| Has your company worked with MTR Corporation before? | Yes / No | If Yes, please list out the job details: | |
|  | |
| Does your company have any Quality Management Plan? | Yes / No | If Yes, please specify  (Including ISO9001 or equivalent) |  |
| Enclosed : \_\_\_\_\_\_\_\_\_\_\_ | |
| Does your company have any Environmental Management Plan? | Yes / No | If Yes, please specify  (Including ISO14001 or equivalent) |  |
| Enclosed : \_\_\_\_\_\_\_\_\_\_\_ | |
| Does your company have any Safety Plan or Manual? | Yes / No | If Yes, please specify  (Including ISO45001 or equivalent) |  |
| Enclosed : \_\_\_\_\_\_\_\_\_\_\_ | |

**Section 5**

**Supplier Code of Practice**

Applicant is required to comply with the Corporation’s Supplier Code of Conduct.  This provides an ethical and behavioural framework for contractor doing business with the Corporation.

|  |  |
| --- | --- |
| **Supplier Code of Practice** | |
| This Supplier Code of Practice (the **“Code”**) provides an ethical and behavioural framework for the Corporation’s suppliers/ contractors/ consultants (herein collectively referred to as a **“Supplier”**) in Hong Kong and overseas. All Suppliers are required to comply with the Code when doing business with the Corporation. Suppliers shall communicate with their workforce (including directors, officers, employees, contractors and consultants) to ensure that they comply with the Code.   The Corporation reserves the right, upon reasonable notice, to conduct Supplier audits to verify compliance with the Code.  The Corporation also reserves the right to request certification from a Supplier that the workforce has read, understood and acknowledges compliance with the Code. Any violation of the Code shall be considered a material breach of the contract/order by the Supplier. | |
| 1 | **Ethical Standards**  The Supplier shall uphold high ethical standards in all aspects of its operation, including:   * Compliance with all applicable laws and regulations * Maintenance of confidentiality * Anti-bribery and corruption (including the soliciting or accepting of advantages) * Open and fair competition |
| 2 | **Human and Labour Rights**  The Supplier shall support the principles of the United Nations Universal Declaration of Human Rights, the International Labour Organization Declaration of Fundamental Principles and Rights at Work, the OECD Principles of Corporate Governance,the United Nations Global Compact and shall comply with relevant laws and regulations in their respective countries in the following areas:   * Child Labour * Forced Labour * Anti-Slavery and Human Trafficking * Health and Safety * Wages and Working Hours * Discrimination * Discipline * Freedom of Association |
| 3 | **Environment**  The Supplier shall manage and minimize the environmental impact of their business and commit to continuously improving their environmental management and monitoring systems to comply with all applicable laws and regulations and keep pace with best practices. |
| 4 | **Supply Chain Management**  The Supplier shall ensure full compliance with the Code by its own suppliers, subcontractors and other business partners. |

On behalf of the management and staff, I confirm full compliance with this Ethical Code of Conduct.

### (to be signed by the Chairman, CEO, Human Resources Director or a member of Senior Management)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Signature: |  |  | Date: |  |
| Name / Title: |  |  | Company: |  |
| And |  |  |  |  |
| Signature: |  |  | Date: |  |
| Name / Title: |  |  | Company: |  |