

VBAS

PRE-ASSESSMENT CHECKLIST

Hong Kong Quality Building Assessment Panel Secretariat
(December 2024)

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Section 1 Objective, Potential Applicant, Use and Reference**Objective**

This VBAS Pre-Assessment Checklist is used to help owners of buildings understand whether they are eligible and ready to make applications for building certification

Potential Applicant

Building owners / Managers who are interested to join the VBAS

Use

Building owners / Managers shall go through this VBAS Pre-Assessment Checklist before submission of application for building certification and/or appointment of VBAS Assessor(s). This checklist shall be duly completed and submitted together with the application form for Building Certification

Reference

Applicants are advised to read this VBAS Pre-Assessment Checklist in conjunction with the Guidebook for Building Certification. The Guidebook can be downloaded at <http://vbas.hkhs.com>

Section 2 Pre-Assessment Checklist

Part 1	Assess the eligibility criteria of joining the VBAS
Part 2	Review whether there is any MBIS & MWIS (for windows in common parts only) Statutory Notice(s) served by the Building Authority (BA)
Part 3	Review whether there is any Statutory Order(s) / Notice(s) (other than the notice(s) mentioned in Part 2) served by the BA
Part 4	Prepare for Assessment of Building Safety Category (Elements 1 – 6)
Part 5	Review whether there is any Privately Owned Elements
Part 6	Prepare for Assessment of Building Management Category (Elements 7 – 10)
Part 7	Self-Evaluation for Award of VBAS certificate
Part 8	Declaration by Applicant
ANNEX I	Document Checklist for Building Management Category (Elements 7-10)

Part 1 Eligibility Criteria of Joining the VBAS**1.1 – Building Type**

- ☐ Private domestic building / development **OR**
- ☐ Private composite (domestic & commercial) building / development

1.2 – The Applicant

- ☐ Owners' Corporation **OR**
- ☐ Owners' Committee **OR**
- ☐ Mutual Aid Committee **OR**
- ☐ Property Management Company **OR**
- ☐ Registered owner of a single-ownership building

1.3 - Scope of Certification

- ☐ With DMC:
(Multi-owned) All building block(s) and all common parts covered by the same DMC or sub-DMC for phased development. **OR**
- ☐ With DMC:
(Single-owned buildings in Mixed Development) Individual building blocks which are solely owned by a single owner while others were sold to individual owners and the single owner opts to join VBAS independently:

All the whole building block(s) and all parts solely owned by the single owner, if the DMC/sub-DMC(s) can define the boundary of the separate ownership. **OR**
- ☐ Without DMC:
(Single-owned) All building block(s) and all common parts covered by the same occupation permit (OP) or other instrument; or

All building blocks and all common parts in the same phase of development having different OPs.

Remark: The application may also cover all privately owned elements including privately owned external walls and the associated projections, unenclosed balcony and verandah that is connected to the individual premises, and signboards, if any.

If the building(s) has/ have privately owned elements but fail(s) to complete the assessment regarding **ALL** privately owned elements, "VBAS Premium Certificate" will not be awarded. (Details refer to Part 5)

Note:

Please put a "✓" in the appropriate box when the requirements as stated are satisfied.

1.4 – Type of Application

- ☐ Single Application: All building blocks, privately owned elements (if any) and all common parts within the scope of certification of the same estate or development are included in the same application; **OR**
- ☐ Phased Application: The building blocks, privately owned elements (if any) and all common parts split in various phases within the scope of certification of the same estate or development as proposed by the Applicant and accepted by the Panel Secretariat;

The demarcation of phases shall be based on OP, DMC or Sub-DMC, other instruments or discernible structures such as road or fence, etc.

Note:

Please put a “✓” in the appropriate box when the requirements as stated are satisfied.

Part 2 Any MBIS & MWIS (for windows in common parts only) Statutory Notice(s) served by the BA?

2.1 – Any MBIS & MWIS (for windows in common parts only) Statutory Notice(s) served by the BA on the Owners' Corporation or all owners of the Building / Development to be assessed?

☐ Yes

☐ No


If Yes

2.2 ☐ The VBAS Application to be submitted within 2 months from the date of MBIS Statutory Notices under Scenario 1A before completion of the MBIS & MWIS (for windows in common parts only) inspections and repairs



If No

2.4 ☐ The VBAS Application to be submitted before completion of MBIS & MWIS (for windows in Common parts only) inspections and repairs under Scenario 1

OR

2.3 ☐ The VBAS Application shall be submitted after completion of the MBIS & MWIS (for windows in common parts only) inspections and repairs under Scenario 2

Note:

Please put a "✓" in the appropriate box when the requirements as stated are satisfied.

Part 3 Any Statutory Order(s) / Notice(s) served by the BA other than the Notice(s) mentioned in Part 2?**3.1 – Any Statutory Order(s) / Notice(s) (Other than the Notice(s) mentioned in Part 2) served by the BA on the Owners' Corporation or All Owners of the Building / Development to be assessed?**☐ Yes☐ No**If Yes****3.2 – Compliance to Statutory Order(s) / Notice(s)**

- ☐ The Statutory Order(s) / Notice(s) has / have been cancelled, withdrawn or discharged on compliance (Details of the Statutory Order(s) / Notice(s): _____)
- _____
- _____

Remark:

VBAS Certificate / Premium Certificate will not be awarded unless the aforementioned Statutory Order(s) / Notice(s), if any, has / have been cancelled, withdrawn or discharged on compliance.

Note:

Please put a "✓" in the appropriate box when the requirements as stated are satisfied.

Part 4 Preparation for Assessment of Building Safety Category (Element 1-6)

**4.1 - Application under Scenario 1 & 1A
(Application before Completion of
MBIS & MWIS Inspections and Repairs)**
OR
**4.2 - Application under Scenario 2
(Application after Completion of
MBIS & MWIS Inspections and Repairs)**
APPOINTMENT OF VBAS ASSESSOR

- ☐ Prepared to appoint / Already appointed VBAS Assessor (List 1) for assessment of Building Safety Category (Elements 1-6)

Remark:

Assessment of Building Safety Category and Building Management Category and the Assessment Report prepared by VBAS Assessor shall be completed within 12 months from the date of acceptance of application under Scenario 1 or within 12 months from the date of MBIS Statutory Notice under Scenario 1A for building certification. Submission of Assessment Report shall be made within 3 months upon completion

DOCUMENTS READY FOR SUBMISSION

- ☐ In possession of copy of
- MBIS Inspection Report,
 - MBIS Completion Report (if repair is required),
 - MWIS Inspection Report (for windows in common parts only),
 - MBIS Detailed Investigation Proposal and BA's endorsement letter (if any)

AND

- ☐ In possession of Compliance Letter for MBIS & MWIS (for windows in common parts only) / Acknowledgement Letter for Voluntary Building and Window (for windows in common parts only) Inspection issued by the BA

Remark:

- (1) Applicant shall join the VBAS and complete the building assessment and Assessment Report for Building Management Category (Elements 7-10) within 3 months from the issue date of both the Compliance Letters for MBIS & MWIS (for windows in common parts only) as well / Acknowledgement Letters for both the Voluntary Building and Window (for windows in common parts only) Inspection as well.
- (2) Building assessment for Building Safety Category shall be exempted

Note:

Please put a "✓" in the appropriate box when the requirements as stated are satisfied.

Part 5 Checklist for “Privately Owned Elements” Items

5.1 – Checklist for “Privately Owned Elements” Items

- (1) “Privately Owned Elements” including the privately owned external walls & the associated projections, balconies / verandahs and signboards, if any, are ones of the building elements required for building assessment under the Building Safety Category for obtaining “VBAS Premium Certificate”. Applicants for the VBAS shall get to know if “Privately Owned Elements” exist in their estate/development and its ownerships. Please check if the following item(s) exist:
- ☐ Privately owned external wall(s) & the associated projection(s);
 - ☐ Privately owned balcony(ies);
 - ☐ Privately owned verandah(s);
 - ☐ Privately owned signboard(s) erected on building(s);
 - ☐ No Privately Owned Elements
- (2) Applicants have to coordinate with all owners for a consensus to carry out the building inspection and (if necessary) repair of their estate/development, including the common parts and the “Privately Owned Elements” (if any), in order to fulfill the requirements of Building Safety Category for obtaining “VBAS Premium Certificate” under the VBAS. Please note that the requirements of inspection/repair of “Privately Owned Elements” are same as those of MBIS & MWIS.
- (3) ‘VBAS Premium Certificate’ shall be the prime certificate for the buildings to achieve. If the building(s) has/have “Privately Owned Elements” but fail(s) to complete the assessment regarding ALL “Privately Owned Elements” required by “VBAS Premium Certificate”, ‘VBAS Certificate’ can be awarded if the following requirements are achieved:-
- Able to complete the assessment of ALL common parts on the Building Safety Category as required by the current CoP for MBIS & MWIS; and
 - Able to satisfy a minimum set of criteria complying with related statutory and basic requirements in building management and maintenance as described in Annex 1.
- (4) For the award of ‘VBAS Certificate’, additional award of ‘Quality Labels’ will not be considered.
- (5) If any building(s) fail(s) to have the assessment and repairs of ALL “Privately Owned Elements” be completed under the VBAS, if any, the Panel Secretariat will not accept any part submission regarding the “Privately Owned Elements” for examination. Instead, the VBAS Assessor concerned will be required to make submissions of all those “Privately Owned Elements” completed by him / her to BD in a bundle, as and when appropriate. BD may then follow up ALL “Privately Owned Elements” under the MBIS & MWIS.

Note:

Please put a “✓” in the appropriate box.

Part 6 Preparation for Assessment of Building Management Category (Element 7 – 10)**6.1 – Appointment of VBAS Assessor**

- ☐ Prepared to appoint / Already appointed VBAS Assessor(s) (List 1 or 2) for assessment of Building Management Category (Elements 7-10)

Note: (1) VBAS Assessors (List 2) are divided into List 2A and List 2B

- VBAS Assessors (List 2A): restricted to assess Elements 7-10 only
- VBAS Assessors (List 2B): restricted to assess Elements 8-10 only

(2) Appointment of the same VBAS Assessor (List 1) for both Building Safety and Building Management Category (Elements 1 – 10) is allowed

6.2 – Documents / Records / Plans ready

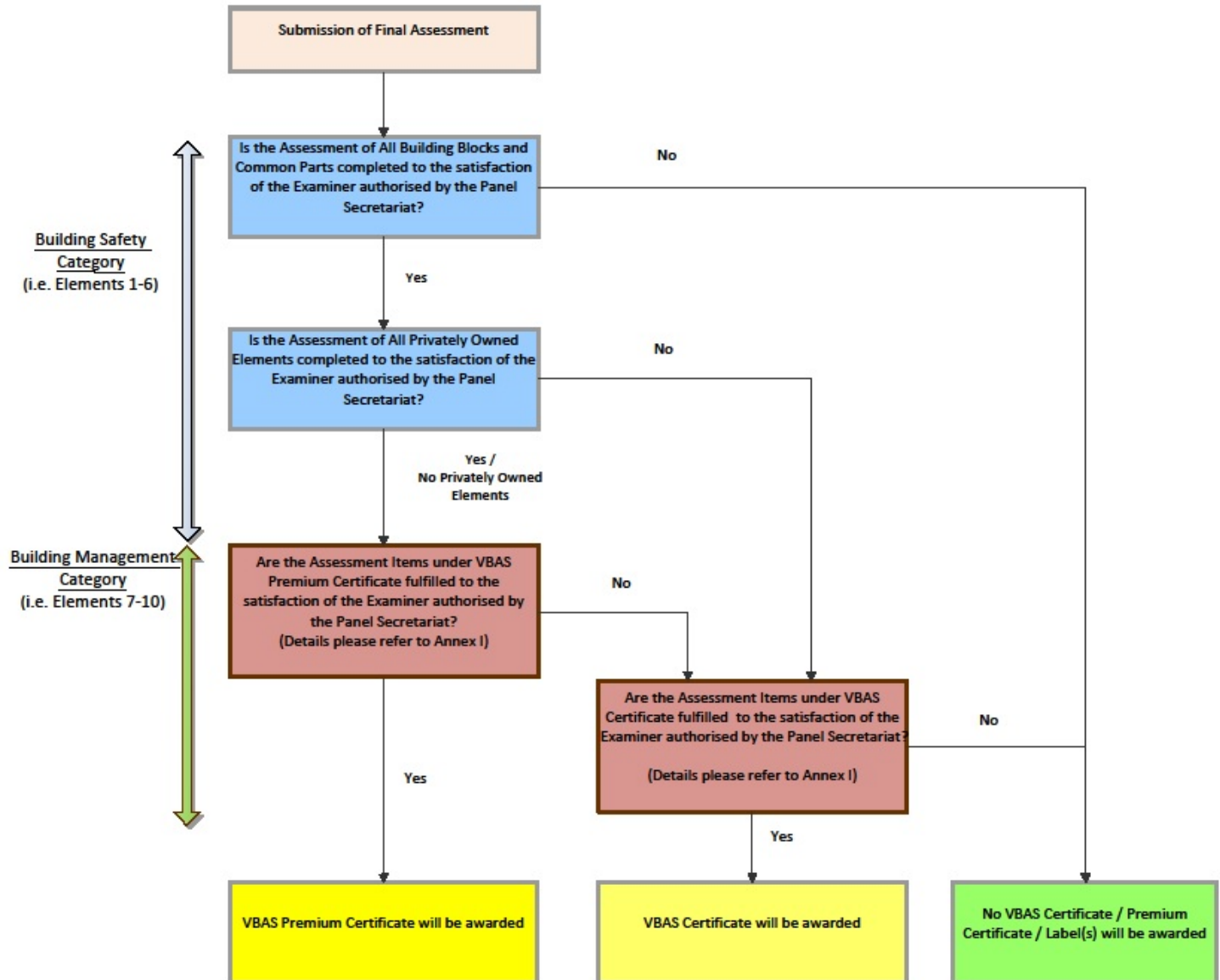
- ☐ Relevant documents / records / plans listed in Document Checklist for Building Management Category (Elements 7-10) in the **Annex I** are ready

Note:

Please put a “✓” in the appropriate box when the requirements as stated are satisfied.

Part 7 Self-Evaluation for Award of VBAS certificate

7.1 – The following provides a self-evaluation for the possible award of the VBAS certificate

**Remarks:**

- (1) Buildings with critical defects or deficiencies that pose an obvious or imminent danger to the safety of the occupants or public will not be awarded any VBAS Certificate and Label.
- (2) Additional Quality Label(s) will be awarded with the VBAS Premium Certificate when extra distinguished performance in the areas of Building Management, Building Maintenance, Environmental Protection and Value-added Elements are observed.
- (3) For award of VBAS Certificate, no additional Quality Label(s) will be awarded.
- (4) The above quick guide for self-evaluation is for reference of the Applicant / Building Manager only for possible achievement; it does not imply any actual result.

Part 8 Declaration by Applicant

8.1 – DECLARATION BY APPLICANT

I/We have gone through and duly completed this Pre-assessment Checklist and its Annexes, and understand the award criteria of VBAS Premium Certificate / VBAS Certificate and /or Quality Label(s).

I/We intend to obtain:-

☐ VBAS Premium Certificate*

OR

☐ VBAS Certificate*

Name of Applicant / Authorised
Representatives: _____

Signature of Applicant / Authorised
Representatives & Chop# : _____

Date : _____

* Award of Certificate depending on the examination results.

Chop of Owners' Corporation/Owners' Committee/Mutual Aid Committee/Property Management Company and signature of authorised representative is required.

Note:

Please put a "✓" in the appropriate box.



Document Checklist for Building Management Category (Elements 7-10)

Note: This Document Checklist is solely used for the purpose of indicating the possible fulfillment of the minimum requirements of VBAS Certificate/ VBAS Premium Certificate under Building Management Category (Elements 7-10). Applicants are advised to complete the following Document Checklist to better understand if they have well prepared necessary documentary records (at least for the preceding one year, counting from the date of building assessment) for making applications for building certification. Most of the assessment items leading to VBAS Certificate/ VBAS Premium Certificate under Building Management Category (Elements 7-10) are listed below, however, some items requiring on-site inspection / interview with related personnel to verify the items are not contained in this Document Checklist.

Element 7 – Building Maintenance Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
1	Records for compliance with orders/ notices served by BA under Cap. 123 (if any)	<input type="checkbox"/>		<input type="checkbox"/>
2	Maintenance records			
	• External Walls		<input type="checkbox"/>	
	• Windows		<input type="checkbox"/>	<input type="checkbox"/>
	• Roof		<input type="checkbox"/>	<input type="checkbox"/>
	• Curtain Walls, Glass Walls and Skylights		<input type="checkbox"/>	<input type="checkbox"/>
	• External Claddings		<input type="checkbox"/>	<input type="checkbox"/>
	• Internal Wall		<input type="checkbox"/>	
	• Internal Floor		<input type="checkbox"/>	
	• Internal Ceiling		<input type="checkbox"/>	
	• Glass Doors		<input type="checkbox"/>	<input type="checkbox"/>
	• Aluminium or Metal Louvers		<input type="checkbox"/>	<input type="checkbox"/>
	• Protective Barriers, Railings, Parapets and Balustrades		<input type="checkbox"/>	<input type="checkbox"/>
	• Fencings		<input type="checkbox"/>	<input type="checkbox"/>
	• Driveway / External Open Carpark		<input type="checkbox"/>	<input type="checkbox"/>
	• Pavement / Private Lane / Private Street		<input type="checkbox"/>	<input type="checkbox"/>
	• Water Feature		<input type="checkbox"/>	<input type="checkbox"/>
	• External Ball Court / Playground Equipment		<input type="checkbox"/>	<input type="checkbox"/>
	• Hard Landscape		<input type="checkbox"/>	<input type="checkbox"/>
	• General Structural Members (e.g. beams, columns, slabs)		<input type="checkbox"/>	

Element 7 – Building Maintenance Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
2	Maintenance records (cont’d)			
	• Cantilevered Projecting Structures (e.g. canopy)		<input type="checkbox"/>	<input type="checkbox"/>
	• Transfer Structures		<input type="checkbox"/>	<input type="checkbox"/>
	• Means of Escape (e.g. staircase, escape route)		<input type="checkbox"/>	
	• Fire Resisting Construction (e.g. fire doors)		<input type="checkbox"/>	
	• Means of Access for Fire Fighting and Rescue (e.g. Emergency Vehicular Access)		<input type="checkbox"/>	
	• Above-Ground Drainage Pipework (including common pipeworks at External Walls, Common Parts, Private Premises and within Common Pipe Ducts)		<input type="checkbox"/>	
	• Underground Drainage Pipework (including common pipeworks at common parts and private premises)		<input type="checkbox"/>	
	• Grease Trap		<input type="checkbox"/>	<input type="checkbox"/>
	• Petrol Interceptor		<input type="checkbox"/>	<input type="checkbox"/>
	• Plumbing System		<input type="checkbox"/>	<input type="checkbox"/>
	• Fire Services System		<input type="checkbox"/>	<input type="checkbox"/>
	• HVAC System (including window type & split type air-conditioners)		<input type="checkbox"/>	<input type="checkbox"/>
	• Electrical System (including Lightning Protection System)		<input type="checkbox"/>	
	• Gas Supply System		<input type="checkbox"/>	<input type="checkbox"/>
3	Inspection schedule / record for metal gates		<input type="checkbox"/>	<input type="checkbox"/>
4	Maintenance records of slope / retaining wall AND Inspection to slope / retaining wall according to DMC's clause (if any)		<input type="checkbox"/>	<input type="checkbox"/>
5	Cleaning records of fresh water tanks (at least once per annum)		<input type="checkbox"/>	<input type="checkbox"/>
6	Cleaning records of flush water tanks (at least once per annum)		<input type="checkbox"/>	<input type="checkbox"/>
7	Valid Certificate of Fire Service Installations and Equipment (F.S.251) for fire services system		<input type="checkbox"/>	<input type="checkbox"/>
8	Log-book required under Cap. 618 for lifts		<input type="checkbox"/>	<input type="checkbox"/>
9	Log-book required under Cap. 618 for escalators		<input type="checkbox"/>	<input type="checkbox"/>
10	Valid “Use Permit” for lifts		<input type="checkbox"/>	<input type="checkbox"/>
11	Valid “Use Permit” for escalators		<input type="checkbox"/>	<input type="checkbox"/>
12	Valid Annual Inspection Certificate on Ventilating Systems		<input type="checkbox"/>	<input type="checkbox"/>
13	Work Completion Certificate (Form WR1) and/or Valid Periodic Test Certificate (Form WR2) for electrical system		<input type="checkbox"/>	<input type="checkbox"/>
14	Valid Report of Annual Inspection of LPG Storage Installation (Form 109)		<input type="checkbox"/>	<input type="checkbox"/>

Element 8 – Building Management Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
1	Essential Documents and Manuals for Building Management:			
	• Deed of Mutual Covenant (English version)	<input type="checkbox"/>		<input type="checkbox"/>
	• Deed of Mutual Covenant (Chinese version) if required by Deed of Mutual Covenant	<input type="checkbox"/>		<input type="checkbox"/>
	• Crown Lease / Government Lease	<input type="checkbox"/>		<input type="checkbox"/>
	• Building Management Ordinance (Cap. 344)	<input type="checkbox"/>		<input type="checkbox"/>
	• Occupation Permit / Letter or Certificate of Compliance / Completion Certificate from relevant government departments	<input type="checkbox"/>		
2	Meeting minutes convened by Owners' Corporation, Owners' Committee or Mutual Aid Committee as required		<input type="checkbox"/>	<input type="checkbox"/>
3	Visitors registration record and procedures for protecting the visitors' personal data		<input type="checkbox"/>	<input type="checkbox"/>
4	Security patrol records with follow-up actions (e.g. patrol logbook)		<input type="checkbox"/>	<input type="checkbox"/>
5	Security patrol point layout plans and patrol schedule		<input type="checkbox"/>	<input type="checkbox"/>
6	Records showing patrol frequency once per day		<input type="checkbox"/>	<input type="checkbox"/>
7	Insurance policy of Third Party Risks Insurance for common areas with insured amount not less than statutory requirement \$10M	<input type="checkbox"/>		
8	Records of financial management:			
	• Annual income and expenditure account and balance sheet for last financial year	<input type="checkbox"/>		<input type="checkbox"/>
	• Auditor's report for last financial year (for building which contains more than 50 flats)	<input type="checkbox"/>		<input type="checkbox"/>
	• Monthly / quarterly statements of income and expenditure	<input type="checkbox"/>		<input type="checkbox"/>
	• Interest-bearing account (evidence showing the account is used exclusively for the building / estate)	<input type="checkbox"/>		<input type="checkbox"/>
	• Annual budget	<input type="checkbox"/>		<input type="checkbox"/>
9	Proof of compliance with Building Management Ordinance (Section 20A) for tendering procedures and procurement and “Code of Practice (CoP) on Procurement of Supplies, Goods and Services (2018 Edition)” <u>or</u> Possess a copy of the CoP or Possess a copy of the “Best Practices on Building Management (2019 Edition)”	<input type="checkbox"/>		<input type="checkbox"/>
10	Proof of proper storage of dangerous goods <u>or</u> Awareness of building manager on the “Dangerous Goods Ordinance” and other relevant ordinances if no storage of dangerous goods on site.	<input type="checkbox"/>		
11	Master layout plan / building plan to define Emergency Vehicular Access (EVA) <u>and / or</u> escape route	<input type="checkbox"/>		
12	Guidelines for occupational safety and health (OSH) related to building management and maintenance <u>and</u> Proof of monitoring for the compliance with OSH guidelines		<input type="checkbox"/>	

Element 9 – Environmental Protection Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
1	Proof of noise control, for example: <ul style="list-style-type: none"> • Patrol records with follow-up actions • Guidelines issued by building managers • House rules to shop tenants / residents 		<input type="checkbox"/>	
2	Proof of water pollution control, for example: <ul style="list-style-type: none"> • Valid effluent discharge licence • Guidelines issued by building managers • House rules to shop tenants / residents 		<input type="checkbox"/>	
3	Proof of renovation waste control, for example: <ul style="list-style-type: none"> • Monthly demand note and waste transaction information issued by the Environmental Protection Department (EPD) for opening a construction waste disposal billing account by building manager • Tender document / quotation / contract that required contractor to open waste disposal billing account with EPD • Evidence for recording renovator's waste disposal (e.g. payment chits with number and vehicle registration number) • House rules to shop tenants / residents • Possess a copy of “The Construction Waste Disposal Charging Scheme” issued by EPD 		<input type="checkbox"/>	
4	Evidence for the engagement of licensed chemical waste collector for disposal of chemical waste <u>or</u> Possess a copy of “A Guide to the Chemical Waste Control Scheme” issued by EPD		<input type="checkbox"/>	
5	Proof of clinical waste control <u>or</u> Possess a copy of the “Code of Practice for the Management of Clinical Waste” issued by EPD		<input type="checkbox"/>	
6	Proof of renovation dust control, for example: <ul style="list-style-type: none"> • Guidelines issued by building manager • Guidelines to shop tenants / residents / renovation contractors • Possess a copy of the “Environmental Guide for Renovation Work” issued by EPD 		<input type="checkbox"/>	
7	Proof of asbestos removal work control <u>or</u> Possess a copy of “A Concise Guide To The Air Pollution Control Ordinance”		<input type="checkbox"/>	

Element 9 – Environmental Protection Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
8	Proof of using Ultra Low Sulphur Diesel <u>or</u> Possess a copy of “A Guide to Air Pollution Control (Fuel Restriction) Regulation and its Amendment of 2008”	<input type="checkbox"/>		
9	Proof of control on dark smoke emission from chimney or relevant plant <u>or</u> Possess a copy of “An Introduction to the Air Pollution Control (Smoke) Regulations	<input type="checkbox"/>		
10	Proof of energy audit every 10 years under the Buildings Energy Efficiency Ordinance (Cap 610)	<input type="checkbox"/>		<input type="checkbox"/>
11	Maintenance records for soft landscape in common areas (e.g. plants watering, supplying of fertilizers)		<input type="checkbox"/>	<input type="checkbox"/>
12	Inspection schedule of trees		<input type="checkbox"/>	<input type="checkbox"/>

Element 10 – Value-added Elements		VBAS Certificate	VBAS Premium Certificate	N/A
Documents Required		Put a “✓” in the appropriate boxes to indicate the availability		Put a “✓” in the appropriate boxes if the item is not applicable
1	Records evidencing the provision of festival decoration for the building (e.g. photos, newsletters)		<input type="checkbox"/>	

- END -