



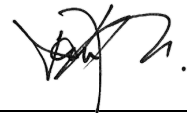



PROJECT INTEGRATED MANAGEMENT SYSTEM (PIMS)

STATUTORY COMPLIANCE PROCEDURE **PIMS/STC/PRO-001/A2**

Document Change Record

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A1	08.Dec.2021	All	First issue.
A2	11 Aug 2023	All	Roles and Responsibility of MTR Construction Team, and AP/RSE/RGE added and general updates.

Document Approval Record

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1. Introduction

1.1 Scope

1.1.1 The Project Integrated Management System (PIMS) is developed to support the achievement of the Corporation's business objectives in project delivery and the implementation of:

[**PIMS/POL-001 Project Integrated Management System \(PIMS\) Policy**](#)

1.1.2 This procedure sets out how MTR will comply with the statutory requirements of the Hong Kong Special Administrative Region (HKSAR) ("Government") which are applicable to railway projects.

1.1.3 This procedure covers:

- all railway studies undertaken to develop a project proposal to Government;
- all new railway projects for which formal Government policy support has been given; and
- Enhancement Works which are undertaken under the Railways Ordinance, the Mass Transit Railway Ordinance, or will become railway area on completion, and for which formal Government policy support has been given.

1.1.4 This procedure sets requirements for:

- Buildings Ordinance (BO);
- Safety and Security Coordinating Committee (SSCC) Submission;
- Trackside Safety and Security Committee (TSSC) Submission;
- Station and Transport Integration Committee (STIC) Submission;
- Fire Service Installations (FSI) Inspection; and
- Railways Branch-Electrical and Mechanical Services Department (RB-EMSD) Consultation and Inspection.

1.2 Objectives

1.2.1 This procedure defines the principal roles, responsibilities, and processes to be adopted by the Capital Works Business Unit (CWBU) to ensure compliance with the statutory requirements of the government which are applicable to railway projects with the following objectives:

- establish the extent to which the BO will be applicable to new railway and extension projects with associated modification and related process for application to Building Authority (BA) for Instrument of Exemption (IoE).
- comply with the consultation and submissions processes as required under the terms of the IoE.
- apply the process for the submission of detailed plans and calculations to the Buildings Department (BD) for full approval under the BO in cases where the works are not exempted from BO.

- elaborate the management process for handling consultation and submission to BD, roles and responsibilities of different personnel under the process.

1.2.2 Additional objectives for specific submissions, inspections and consultations are as follows:

a) SSCC Submission:

- state the process and the adoption of statutory committee for SSCC consultation specific to each railway project.
- comply with the process and the content of submissions on safety and security related aspects for stations, depots and/or other associated structures as required under the SSCC Terms of Reference (ToR) and SSCC submission procedures adopted by the SSCC.
- outline the management process for handling discussion, submission and agreement of SSCC documents for various project stages from design to construction to inspection to record.

b) TSSC Submission:

- state the process and the adoption of statutory committee for TSSC consultation specific to each railway project.
- comply with the process and the content of submissions on safety and security related aspects for trackside areas and associated facilities as required under the TSSC ToR and submission procedures adopted by TSSC.
- outline the management process for handling discussion, submission and agreement of TSSC documents for various project stages from design to construction to inspection to record.

c) STIC Submission:

- state the process and the adoption of statutory committee for STIC consultation specific to each railway project.
- comply with the process and the content of submissions on transport integration of stations, depots and/or other associated structures as required under the STIC ToR adopted by the STIC.
- outline the management process for handling discussion, submission and endorsement of STIC documents for various project stages from design to construction to inspection to record.

d) FSI Inspection:

- outline the process of preparation works leading to statutory inspection of FSI by Fire Services Department (FSD) for new railway and extension projects.
- follow the process to ensure smooth and effective delivery for FSI works from design to construction to inspection to statutory acceptance, including regular and timely communication with FSD for project programme.

e) RB-EMSD Consultation & Inspection:

- sets out requirements for RB-EMSD consultation and inspection of railway projects and lays down guidelines for the preparation and conducting of the inspections.

1.2.3 For modification submissions on the Operating Railway which are not associated with new railway or extension projects, please refer to separate PIMS document under Operations Projects Management.

1.3 Ownership and Application

1.3.1 This procedure is owned by the Head of Design (HoD) and controlled by the General Manager-Capital Works Technical (GM-CWT), and HoD is accountable for its ongoing maintenance to reflect current good practice.

1.3.2 General Manager / Project Manager (GM / PM) has overall accountability for application of PIMS on a specific project. Responsibility for application of this procedure can be delegated by the GM / PM to the Chief Design Manager (CDM) / Chief Construction Manager (CCM) assigned to that project, or another individual of equivalent competence. This delegation of responsibility must be assigned in writing by the GM / PM, and a record maintained of this delegation.

1.4 Interfaces

1.4.1 Internal Interfaces

The main internal interfaces during the Statutory Compliance processes include, but are not limited to the following:

WHO	WHAT
Project Management Team (PMT)	Accountable for application of PIMS to deliver a specific project and have responsibility to assure the compliance to statutory requirements throughout the project delivery process.
Capital Works Technical	Provide expert advice from a technical point of view and support PMT to coordinate with corresponding Government departments for the statutory processes.

1.4.2 External Interfaces

The main external interfaces during the Statutory Compliance processes include, but are not limited to the following:

WHO	WHAT
Buildings Department (BD)	The Government department (and a member department of STIC / SSCC / TSSC) to exercise the powers of BO by vetting and monitoring the design and construction process to ensure compliance with the Building Standard. Also act as coordinator with other Government departments such as Geotechnical Engineering Office in the vetting process.
Building Authority (BA)	All references to BD shall mean the working Department as it is acting on behalf of the BA.
Contractor	A construction company (or a joint-venture) appointed by the Corporation to execute construction contract(s) of a project. Under the Instrument of Exemption (IoE) consultation process, the contractor is responsible for developing and submitting temporary works design schemes, construction methods and related settlement and monitoring reports for those works types and areas defined under the IoE and Reference Schedules of a project.
Designers	They develop the design and provide the design packages for statutory submission to relevant Government departments.
Railways Branch - Electrical & Mechanical Services Department (RB-EMSD)	The Government department that acts as Chair / Secretary of SSCC / TSSC which is responsible for vetting the design, and as the railway inspectorate who assesses the safety of the new railway or extension prior to passenger service.
Fire Services Department (FSD)	The Government department (and a member department of STIC / SSCC / TSSC) to exercise the powers of BO by vetting the design and conducting site acceptance inspection under the Fire Services Ordinance (FSO).
Hong Kong Police Force (HKPF)	The Government department as a member department of STIC, SSCC and TSSC to vet the design, especially on security aspects.

WHO	WHAT
Railway Development Office - Highways Department (RDO-HyD)	The Government department as a member department of SSCC / TSSC and the Chair / Secretary department of STIC to vet the design.
Safety and Security Coordinating Committee (SSCC)	A committee with representatives from RB-EMSD, FSD, BD, HKPF and RDO-HyD, formed to agree the safety and security aspects of new and modification works for stations, depots and ancillary buildings, working in accordance with the Terms of Reference and submission procedures of SSCC.
Station and Transport Integration Committee (STIC)	<p>A committee appointed by Chair of STIC with representatives typically from HyD, FSD, HKPF, BD, Transport Department (TD), Lands Department (LandsD), Planning Department (PlanD), other Government departments as deemed appropriate, together with the Corporation.</p> <p>Provides a forum for the endorsement of the integration of MTR stations and other associated structures with their immediate surroundings, including the provision of transport interchanges, working in accordance with the Terms of Reference for STIC.</p>
Trackside Safety and Security Committee (TSSC)	A committee with representatives from RB-EMSD, FSD, BD, HKPF and RDO-HyD, formed to agree the matters relating to fire safety and security along the trackside area and associated facilities, including existing and new facilities, permanent and temporary structures and modifications to existing facilities, working in accordance with the Terms of Reference and Submission procedures of TSSC.

2. Statutory Compliance Overview

2.1 Introduction

- 2.1.1 Each GM / PM for a project shall have the responsibility for ensuring compliance with all statutory obligations for their project(s). Expert assistance or support will be provided from Capital Works Technical.

2.2 Overview of Key Statutory Compliance Activities

- 2.2.1 To conform to the particular statutory requirements, there are several different but related activities that must be followed.
- 2.2.2 Buildings Ordinance: in recognition of the exception nature of the building structures and other works connected with the construction of the project, BA may grant an exemption for the project (i.e. IoE) which is confined to those administrative procedures.
- 2.2.3 There are three government committees to whom submissions shall be made and whose agreement / endorsement shall be obtained in respect of the following provisions:
- a) SSCC:
Statutory agreement of SSCC is required in respect of safety and security provisions for stations, ancillary buildings and depots which forms the basis for statutory inspections (BD, FSD, RB-EMSD) and inspection-related submissions.
 - b) TSSC:
Statutory agreement of TSSC is required in respect of trackside and other associated facilities and structures, which form the basis for statutory inspections (BD, FSD, RB-EMSD) and inspection-related submissions.
 - c) STIC:
Submissions to the STIC shall be undertaken in respect of the integration with immediate surroundings and within the built environment of stations, depots and/or ancillary buildings as appropriate.
- 2.2.3 Consultation meetings with submissions to and inspections by RB-EMSD will be arranged to provide sufficient information to RB-EMSD for the assessment of the safety of the railway prior to passenger service.
- 2.2.4 The Corporation will prepare an IOE Project Management Plan (IOE PMP) to fulfil the conditions imposed in the IoE document.
- 2.2.5 A graphical representation of the statutory submissions processes is set out below in Figure 1:

Overview of Key Activities

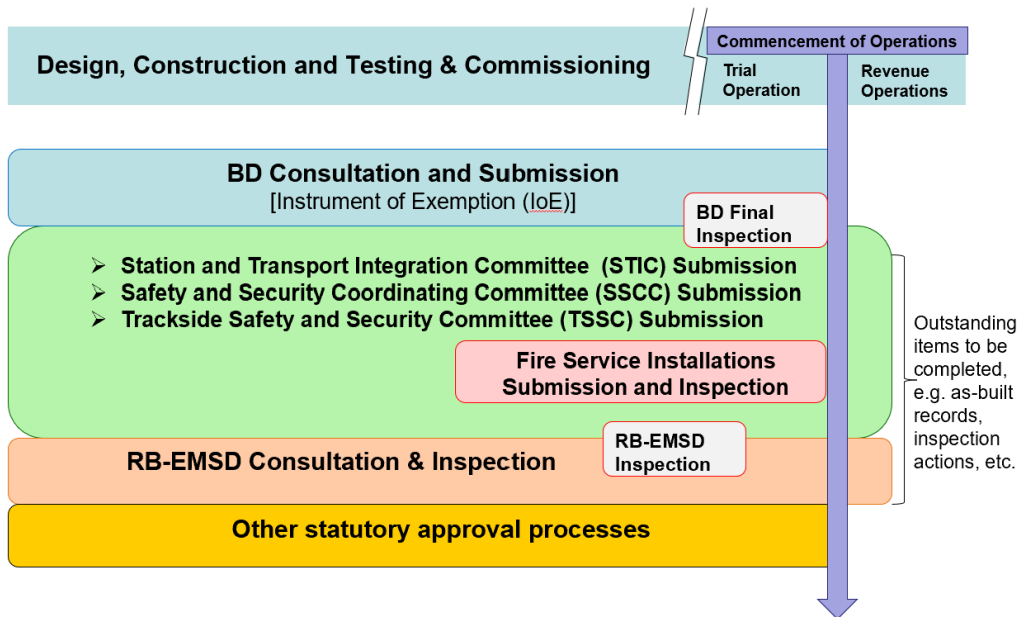


Figure 1: Representation of the statutory submissions processes

3. Statutory Compliance Outputs across the Project Lifecycle

3.1 Statutory Compliance Project Lifecycle Overview

- 3.1.1 The Statutory Compliance process for a project shall commence as soon as the project enters the Preliminary Design stage and continues through to end of Project Handover and Close Out stage.
- 3.1.2 An outline of the objectives and outputs for Statutory Compliance activities at different project stages is given below for reference.

3.2 Statutory Compliance Activities and Objectives across the Project Lifecycle

3.2.1 Planning and Feasibility Study stage

Nil

3.2.2 Preliminary Design stage

When a project enters the Preliminary Design stage, PMT supported by Capital Works Technical, shall:

- a) Liaise with BD to establish the basis of the IoE with a view to maintaining the required degree of flexibility in project implementation.
- b) Identify the type of works within the scope of the project during the preparation of the IoE, which will meet the exemption requirements under BO for incorporation in the Reference Schedule of IoE and make a formal application to BD for the exemption from BO.
- c) Formulate the PMP to facilitate the process of application for exemption from BO.
- d) Liaise with RDO-HyD to establish the membership and ToR for STIC.
- e) Coordinate and liaise with BD / FSD / SSCC / TSSC / STIC as appropriate for early enquiry of any critical technical issues or other matters as necessary.
- f) Develop the Fire Safety and Security Strategy(ies) (FSSS(s)) and Trackside Safety & Security Strategy(ies) (TSSS(s)).
- g) Provide initial submissions to SSCC / STIC / TSSC as appropriate, aiming to secure spatial and planning certainty, rather than concluding all details as outlined in:

[PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart](#)

[PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart](#)

[PIMS/STC/INS-030 Station and Transport Integration Committee Submission Process Flowchart](#)

- h) Communicate with RB-EMSD on salient design features as outlined in:

[PIMS/STC/INS-050 Railway Branch – Electrical and Mechanical Services Department \(RB-EMSD\) Consultation and Inspection](#)

3.2.3 Detailed Design stage

During the Detailed Design stage, PMT supported by Capital Works Technical, shall:

- a) Commence pre-consultation process based on the draft IoE document for submission to BD, and associated Plan Index as outlined in:

[**PIMS/STC/INS-001 Requirements of the Buildings Ordinance**](#)

- b) Update and/or prepare the FSSS(s), STIC, SSCC Stages (1, 2A, 2B, 3), TSSS(s), TSSC Stages (1, 2A, 2B, 3) consultation submissions along with design development and to address comments from statutory bodies made on the Preliminary Design.
- c) Liaise with STIC/SSCC/TSSC on technical issues, programme and planning of submission works as outlined in:

[**PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart**](#)

[**PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart**](#)

[**PIMS/STC/INS-030 Station and Transport Integration Committee Submission Process Flowchart**](#)

- d) Communicate to RB-EMSD on salient design features as outlined in:

[**PIMS/STC/INS-050 Railway Branch – Electrical and Mechanical Services Department \(RB-EMSD\) Consultation and Inspection**](#)

3.2.4 Construction stage

During the Construction stage, PMT supported by Capital Works Technical, shall:

- a) Make a formal application to formalise pre-consultation submissions to BD as formal consultation.
- b) Continue to maintain the IoE consultation process, and associated Plan Index as outlined in:

[**PIMS/STC/INS-001 Requirements of the Buildings Ordinance**](#)

- c) Continue / amend submissions to STIC /SSCC /TSSC to incorporate updates as needed and to address any comments from statutory bodies to obtain endorsement/agreement.
- d) Liaise with STIC / SSCC / TSSC to timely resolve any technical issues and/or comments arising from the amendment submissions, as outlined in:

[**PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart**](#)

[**PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart**](#)

[**PIMS/STC/INS-030 Station and Transport Integration Committee Submission Process Flowchart**](#)

- e) Liaise with SSCC / TSSC for programme and inspection by BD, FSD and RB-EMSD for their inspection as shown above and as outlined in:

[PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)

[PIMS/STC/INS-050 Railway Branch – Electrical and Mechanical Services Department \(RB-EMSD\) Consultation and Inspection](#)

- f) In case of any accident or emergency cases, GM / PM shall inform BD via the Authorised Person (AP) / Registered Structural Engineer (RSE) / RGE as soon as practicable. Refer to the Cap. 123 Buildings Ordinance section 19 for details.
- g) If any non-conformity arises and comes to the attention of a Technically Competent Person (TCP), the TCP shall inform AP / RSE / RGE and complete Part 1 of Form B as appended in the “Code of Practice for Site Supervision” and deal with the non-conformity accordingly.

Documents and submissions during Construction stage:

- a) Before construction works, the following documents shall be submitted to notify BD seven days prior to commencement of works to achieve a standard not inferior to that required under BO:
- duly signed Certificate for Notice of Commencement of Works;
 - Site Supervision Plan (SSP) in accordance with the “Code of Practice for Site Supervision” published by the Buildings Department.
- b) Site auditing may be conducted by BD during Construction stage, therefore the documents as stipulated below shall be properly retained on site ready for site auditing purposes. Reference may also be made to PNAP ADM-18.
- c) During the Construction stage, CCM shall coordinate with AP, RSE, RGE and their TCPs to ensure the following documents are properly retained on site and/or submitted to BD to demonstrate site supervision achieved a standard not inferior to that required under BO:
- on-going monitoring data and interpretative reports (e.g. Registered Geotechnical Engineer’s (RGE) T5 Report);
 - site supervision report as accordance with the “Code of Practice for Site Supervision”;
 - material test results;
 - drawings accepted by BD must be properly kept on site;
 - performance review report (if necessary); and
 - any documents as required under the conditions imposed in BD acceptance letters.

3.2.5 Testing and Commissioning stage

At Testing and Commissioning stage, PMT will coordinate with AP, RSE, RGE and the Contractors to compile 'As-Built' records as required by various authorities and statutory committees.

- a) Upon successful completion of the works, PMT shall ensure the contractor prepares as-built drawings which include any left-in Temporary Works, and submit, via AP, RSE and RGE, all the as-built documents to the structural engineer of BD to achieve a standard not inferior to that required under BO as below:
 - duly signed Completion Certificate (for Structural aspect);
 - as-built drawings in a format agreed with BD;
 - proof test results and as-built records;
 - slopes registration, maintenance manual and other relevant documents;
 - any documents as required under the conditions imposed in BD's acceptance letter; and
 - as-built Plan Index to record all submitted documents.
- b) Other than submission of structural engineering aspect as mentioned above, the following documents based on the SSCC / TSSC layouts shall be submitted to the building surveyor of BD, via AP, to achieve a standard not inferior to that required under BO as below:
 - duly signed Completion Certificate (for Building aspect);
 - Schedule of Building Materials and Products as per Annex A.2 of PNAP APP-13.
- c) PMT will, as required, coordinate with AP, RSE and RGE to arrange with BD / FSD / RB-EMSD to conduct inspections for statutory acceptance in accordance with the processes outlined in this procedure document.
- d) Chief Engineering Manager – System Assurance (Capital Works) (CEM-SA(CW)) will facilitate PMT for planning and conducting the RB-EMSD inspection.
- e) Upon various inspections completed, PMT will submit 'As-Built' records as required by various authorities, via AP, RSE and RGE.

3.2.6 Project Handover and Close Out stage

PMT shall complete any outstanding items as in earlier stages, e.g. as-built records, post-inspection actions, etc.

3.3 Statutory Compliance Outputs across the Project Lifecycle

- 3.3.1 A full matrix for all discipline outputs defining who is involved in the development of these is included in the table below:

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Output	Originator	Reviewer	Controller	Approver	Endorser
IOE Project Management Plan	CDM	N/A	HoD	GM-CWT / GM-[project]	N/A
Structural Submission (BD)	Designer	PMT / CWT	N/A	BD	AP / RSE / RGE
Fire Safety and Security Strategy document(s) Trackside Safety and Security Strategy document(s)	Designer	PMT / CWT	PMT	SSCC / TSSC	AP / MTR Senior Management**
STIC submission	Designer	PMT / CWT	PMT	STIC	MTR Senior Management**
SSCC Stage 1 & 2A submission TSSC Stage 1 & 2A submission	Designer	PMT / CWT	PMT	SSCC / TSSC	AP
SSCC Stage 2B submission TSSC Stage 2B submission	Designer	PMT / CWT	PMT	SSCC / TSSC	MTR Senior Management**
SSCC Stage 3 submission TSSC Stage 3 submission	Designer	PMT / CWT	PMT	SSCC / TSSC	RPE
System Safety Report *	System Assurance Manager (SAM)	PMT / CWT	CEM-SA(CW)	CWD	Chief of respective segment
Service Reliability Report *	SAM	PMT / CWT	CEM-SA(CW)	CWD	Chief of respective segment
RB-EMSD Inspection agendas, statements and procedures	CEM-SA(CW)	PMT	PMT	OD	N/A
FSD Inspection Form 1 / Form 2 & Form 2a Submissions	Contractor	PMT	PMT	FSD	AP/ RPE / MTR Rep***

- * Refer to [PIMS/PJM/PRO-001 Project Management Procedure](#) (section 4.8) for process to develop and update System Safety Report and Service Reliability Report.
- ** MTR Senior Management shall be at CDM/ CCM or above level.
- *** MTR Rep is the position to be filled in the Form 1 / Form 2 & Form 2a Submissions to be assigned by the PM.

PIMS/STC/PRO-001/A2
PIMS – STATUTORY COMPLIANCE PROCEDURE

3.3.2 Table showing outputs specific to the discipline across the project lifecycle:

Output	Planning and Feasibility Study	Preliminary Design	Detailed Design	Construction	Testing and Commissioning	Project Handover and Close Out
IOE Project Management Plan	N/A	Create	Update / Agreed	Update / Agreed	Update / Agreed	Record
Structural Submission (BD)	N/A	Create	Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
Fire Safety and Security Strategy document(s)	N/A	Create	Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
STIC submissions	N/A	Create	Update / Endorsed	Update / Endorsed	Update / Endorsed	"As-built" record
SSCC Stage 1, 2A & 3 submissions	N/A	Create	Create / Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
SSCC Stage 2B submission	N/A	N/A	Create / Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
Trackside Safety and Security Strategy document(s)	N/A	Create	Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
TSSC Stage 1, 2A & 3 submissions	N/A	Create	Create / Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record
TSSC Stage 2B submission	N/A	N/A	Create / Update / Agreed	Update / Agreed	Update / Agreed	"As-built" record

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Output	Planning and Feasibility Study	Preliminary Design	Detailed Design	Construction	Testing and Commissioning	Project Handover and Close Out
System Safety Report	N/A	N/A	N/A	N/A	Create	Submitted to RB-EMSD
Service Reliability Report	N/A	N/A	N/A	N/A	Create	Submitted to TD and copied to RB-EMSD
RB-EMSD Inspection agendas, statements and procedures	N/A	N/A	N/A	N/A	Create	Submitted to RB-EMSD
FSD Inspection (Form 1 / Form 2 / Form 2a submissions) (Form 3)	N/A	N/A	N/A	Create Form 1 submissions	Update Form 1 submissions / Submit Form 2 & Form 2a / Conduct inspection /	Obtained Form 3 / "As-built" Form 1 record/ Submitted Form 2 & Form 2a

4. Key Processes

4.1 Statutory Compliance Overview

4.1.1 This section sets out the key processes relating to the required statutory submissions and acceptances from various Government departments and statutory committees, as follows:

- Buildings Ordinance (BO) and IoE Requirements;
- Safety and Security Coordinating Committee (SSCC) Submission;
- Trackside Safety and Security Committee (TSSC) Submission;
- Station and Transport Integration Committee (STIC) Submission;
- Fire Service Installations (FSI) Inspection; and
- Railways Branch – Electrical & Mechanical Services Department (RB-EMSD) Consultation and Inspection.

4.1.2 A mapping showing the relationships between the key processes and Instructions, Guidance Notes, Forms and Templates is included in Appendix 1.

4.2 Buildings Ordinance (BO) and IoE Requirements

4.2.1 The process for establishing the extent to which the BO will be applicable for new railway project works and the related process for application for IoE exemption is set out in:

[PIMS/STC/INS-001 Requirements of the Buildings Ordinance](#)

4.2.2 The required IoE consultation process and scope of submissions, including IoE PMP, the structural submission to BD, detailed submission plans and calculations to BD are covered within:

[PIMS/STC/INS-002 Buildings Ordinance Process Flowchart](#)

4.2.3 Management of the guidance on the Roles and Responsibility of MTR Construction Team, AP/RSE/RGE and designer/ checkers are set out in:

[PIMS/STC/GUI-001 Roles and Responsibility of MTR Construction Team, AP/RSE/RGE and designer/ checkers](#)

4.2.4 Submissions to BD subject to full application of the BO shall apply to works not exempted under the project-specific IoE or any other IoE or equivalent document (Note: older exemption documents may not be titled as Instrument of Exemption). Details may refer to the BO (CAP 123) and the relevant PNAPs and Code of Practice. These typically cover the following works.

- a) Primary railway structural elements which also provide support to integrated private property developments.
- b) Railway structures such as station entrances and vent shafts, etc. incorporated in existing or proposed private developments.

- c) Property Enabling Works constructed by or on behalf of the Corporation. The portion of the development to be constructed in later phases may be approved as an “outline” submission.
- d) Additions, alterations and strengthening works (such as underpinning) to existing private buildings affected by the railway works.

4.2.5 Meeting Protocol with BD / RDO-HyD / GEO.

- a) A three-tier meeting protocol, namely at working level, management level and senior management level shall be established and agreed by BD, RDO-HyD, GEO and the Corporation, and shall be adopted to provide a platform for regular discussions between the Corporation, Government departments, Designer(s) and Contractor(s) on all consultation / BD full approval submissions. The ToR for the three-tier meeting protocol with BD / RDO-HyD / GEO is set out in:

[PIMS/STC/IFT-001 Terms of Reference for Three Tier Meetings](#)

- b) The meetings are required to:
 - i) At working level:
 - align planned submission schedule, brief upcoming submissions, and priorities according to the Submission Shared Logs;
 - conduct pre-consultation prior to formal submission;
 - clarify and resolve technical issues;
 - determine issues to be escalated to management meetings; and
 - consult government representatives on expectations on starting works.
 - ii) At management level:
 - review performance on making/reviewing the submissions and discuss improvement ideas;
 - resolve issues escalated from working level meetings; and
 - coordinate cross-contract issues and priorities.
 - iii) At senior management level:
 - discuss resource planning issues;
 - review overall programme and progress of projects;
 - review management reports on the submissions to discuss performance and improvement; and
 - resolve escalated issues.
- c) CDM, CCM, GM / PM and GM-CWT shall take coordination roles in arranging meetings at various levels. Participation from PMT, Contractor(s), Designer(s),

AP, RSE, RGE and representatives from Capital Works Technical is required subject to levels of the meetings.

- d) Representatives from government departments at different levels shall be invited to participate in the three-tier meetings as referred in:

PIMS/STC/IFT-001 Terms of Reference for Three Tier Meetings

4.2.6 Buildings Department Inspection

- a) Approaching completion of construction works, PMT shall coordinate with AP, RSE, RGE and the Contractor to ensure all design packages, material certificate, testing reports and as-built Records required to comply with BO are correctly submitted. The detailed processes to ensure compliance for submission of the Completion Certificate and associated documents to obtain BD's acknowledgement are set out in:

PIMS/STC/INS-001 Requirements of the Buildings Ordinance

PIMS/STC/INS-002 Buildings Ordinance Process Flowchart

- b) PMT shall coordinate with the AP to submit the Completion Certificate (Building aspect) and the following processes should be conducted to ensure compliance with BO.
- i) A pre-inspection with the Contractor to ensure the building is constructed in accordance with the agreed SSCC Stage 1 / TSSC Stage 1 drawings and materials used are in-line with the Schedule of Building Materials and Product.
 - ii) If any deviations from SSCC / TSSC drawings were noted on site, PMT shall inform the AP and Designer to prepare the final amendment to the SSCC / TSSC drawings to capture all the site changes prior to the submission of Completion Certificate (Building aspect).
 - iii) Prior to the submission of the Completion Certificate (Building aspect), PMT shall ensure the following documents have been obtained from relevant Authorities.
 - Certificate of Potable and Flushing water supply;
 - Fire Service Certificate (Form 3); and
 - Drainage Connection Certificate.
 - iv) PMT shall request the Contractor to submit the Completion Certificate (Building aspect) endorsed by the Authorised Signatory (AS) and passing to the AP for their endorsement and onward submission to BD.
 - v) After submission of the Completion Certificate (Building aspect), PMT shall coordinate with the AP to invite the site inspection with the BD case officer (Building Surveyor). PMT shall arrange rectification works, post-inspection amendment or revision to the Schedule of Building Materials and Product

for the defect items as recorded in the site inspection. The information/rectification record shall be provided to the AP to prepare the response or amendment for submission to BD.

- vi) If BD received all required documents and found them satisfactory with no contravention of the BO, BD will issue the acknowledgement letter addressed to the AP. The AP shall distribute the letter to PMT and PMT shall ensure the letter is distributed to Capital Works Technical and other relevant departments.

4.2.6 PMTs shall coordinate with the RSE to submit the Completion Certificate (Structural aspect) and the following processes should be conducted to ensure the compliance with BO.

- a) Regular inspection and site supervision should be conducted to ensure the structural elements are constructed in according to the accepted structural plan. If any site changes or deviation are noted, PMT shall notify the RSE and Designer to prepare the amendment submission accordingly.
- b) Review the imposed conditions as stipulated in each acceptance letter and submit the as-built materials, test report and relevant documents as per imposed conditions upon completion of each structural element.
- c) Record all submissions to BD. PMT shall ensure all the design submissions have been accepted/ approved by BD and all required documents as stipulated as the imposed conditions of acceptance letter have been submitted and found satisfactory by BD.
- d) PMT shall request the Contractor to submit the Completion Certificate (Structural aspect) endorsed by the AS and pass to the RSE for their endorsement and onward submission to BD.
- e) If BD has received all required documents and found them satisfactory with no contravention of the BO, BD will issue the acknowledgement letter addressed to the RSE. The RSE shall distribute the letter to PMT, and PMT shall ensure the letter is distributed to Capital Works Technical and other relevant departments.

4.2.7 To review the submission and inspection process to ensure the coordination with BD and other government departments and facilitate the acknowledgement of BD, PMT shall make use of the three-tier meetings as set out in:

[PIMS/STC/IFT-001 Terms of Reference for Three Tier Meetings](#)

4.3 Safety and Security Coordinating Committee (SSCC) Submission

4.3.1 The process flowchart setting out the process steps to be followed for SSCC submissions is detailed in:

[PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart](#)

4.3.2 The SSCC submission procedures document on the details of the application, stages of submission, submission processes and submission for permitted trades in new line

or extension, circulated by Chair / Secretary of SSCC is available from iShare Communities / Capital Works Technical and contained / linked within:

[PIMS/STC/GUI-010 Safety and Security Coordinating Committee Submission](#)

4.3.3 Capital Works Technical in support of respective PMTs shall liaise with Chair / Secretary and members for any updates to the SSCC ToR and the SSCC submission procedures.

4.3.4 To enable project design certainty, the SSCC submission process for projects of new line or extension shall be initiated at Preliminary Design stage.

4.3.5 PMT in charge of the project design deliverables will prepare and agree a design programme for SSCC submission and consultation process. Capital Works Technical will provide necessary support as needed.

4.3.6 For design review, design verification and consultation refer to:

[PIMS/DEM/PRO-001 Design Management Procedure](#)

4.3.7 An overview for the documents of SSCC submission is listed below and further details are set out in:

[PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart](#)

[PIMS/STC/GUI-010 Safety and Security Coordinating Committee Submission](#)

4.3.8 SSCC consultation and submission is divided into 6 stages:

WHO	WHAT
Preliminary Stage – Fire Safety and Security Strategy (FSSS)	Line (station / depot / facility) specific fire safety and security strategy document on approach and principles of fire safety design including security considerations
Stage 1	Plans and details on fire resisting construction and compartmentation, evacuation, means of escape/ access, passenger flow (for station emergency evacuation) and security considerations
Stage 2A	Plans and details on fire service installations and emergency signage
Stage 2B	Plans and details on communications systems and CCTV system
Stage 3	Plans and details on smoke control systems, staircase pressurisation system and ventilation control

WHO	WHAT
Final Stage - Record	Record documents for FSSS, Stage 1, 2A, 2B and 3 comprising the latest report content and drawings agreed by SSCC, aligning with the as-built / inspected condition.

- 4.3.9 Submissions and consultations with SSCC shall be planned and implemented with due consideration to the project programme at various stages of Preliminary Design, Detailed Design, Construction, Testing and Commissioning and Project Close-out.
- 4.3.10 PMT shall circulate SSCC submissions to various related internal parties for review and shall address comments from internal and external bodies until completion of the statutory process with record submissions completed.
- 4.3.11 Submissions to SSCC shall be signed / certified by the AP(s) / MTRCL senior management [for Stage 2B] / RPE [for Stage 3] as required and appointed for specific project. Submissions to SSCC will be arranged and made by PMT to obtain statutory acceptance. Capital Works Technical will provide support as needed, e.g. high-level communication with SSCC, procedures, content of submission. Softcopy submission to all SSCC members shall be made and hardcopy submission shall also be made to BD, FSD and HyD.
- 4.3.12 The table below shows the SSCC / TSSC submission circulation purpose for individual member department, where R indicates circulated for formal comment, and I is for information only.

SSCC / TSSC SUBMISSION	RECIPIENT				
	EMSD	BD	FSD	HKPF	HyD
Stage 1	R	R	R	R	R
Stage 2A	R	R	R	I	R
Stage 2B	R	I	R	R	R
Stage 3	R	I	R	I	R

- 4.3.13 The protocol of circulation for softcopy / hardcopy distribution and “for comment” / “for information” responsibility for individual SSCC members shall be subject to SSCC agreement.
- 4.3.14 PMT, over the project life cycle, will maintain record keeping for all SSCC submissions and capture in softcopy form within the iShare SS&FE Communities (AcceSSS) system for all correspondence and documents. Capital Works Technical will provide review for the SSCC submissions for checking of quality and necessary technical alignment from

a line-wide and network-wide perspective, as well as the initial setup in AcceSSS for each individual project.

- 4.3.15 On completion of the Project, Capital Works Technical shall retain the softcopy and hardcopy of all the original (if any) stamped and/or signed agreement drawings, the agreed FSSS and other SSCC-related reports and any other agreed documents for all submissions for record purpose, while all related correspondence and documents shall be captured in softcopy form within the iShare SS&FE Communities (AcceSSS) system for permanent record. Refer to section 5 Information Management for details.

4.4 Trackside Safety and Security Committee (TSSC) Submission

- 4.4.1 Management of the process and guidance on the detailed documentation required for TSSC submissions are set out in:

[PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart](#)

[PIMS/STC/GUI-020 Trackside Safety and Security Committee Submission](#)

- 4.4.2 Capital Works Technical in support of respective PMTs shall liaise with the Chair / Secretary and members for any updates to the TSSC ToR and the TSSC submission procedures.

- 4.4.3 To enable project design certainty, the TSSC submission process for projects of new line or extension shall be initiated at the Preliminary Design stage.

- 4.4.4 PMT in charge of the project design deliverables will prepare and agree a design programme for TSSC submission and consultation. Capital Works Technical will provide necessary support as needed.

- 4.4.5 For design review, design verification and consultation, please refer to:

[PIMS/DEM/PRO-001 Design Management Procedure](#)

- 4.4.6 An overview for the documents of TSSC submission is listed below. Further details are set out in:

[PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart](#)

[PIMS/STC/GUI-020 Trackside Safety and Security Committee Submission](#)

- 4.4.7 TSSC consultation and submission is divided into 6 stages:

STAGE	DESCRIPTION
Preliminary Stage – Trackside Safety and Security Strategy (TSSS)	Line (trackway section) specific trackside safety and security strategy document on approach and principles of fire safety design including security considerations

STAGE	DESCRIPTION
Stage 1	Plans and details on fire separation, fire resistance rating, trackside emergency evacuation, emergency access and security considerations
Stage 2A	Plans and details on fire services installations, trackside auxiliaries and emergency signage
Stage 2B	Plans and details on communications systems and CCTV system
Stage 3	Plans and details on tunnel ventilation system and other smoke control systems
Final Stage - Record	Record documents for TSSS, Stage 1, 2A, 2B and 3 comprising the latest report content and drawings agreed by TSSC, aligning with the as-built / inspected condition.

- 4.4.8 TSSC submissions and consultations shall be planned and implemented with due consideration to the project programme at various stages of Preliminary Design, Detailed Design, Construction, Testing and Commissioning and Project Close-out.
- 4.4.9 PMT shall circulate TSSC submissions to various related internal parties for review and shall address comments from internal and external bodies until completion of the statutory process with record submissions completed.
- 4.4.10 Submissions to TSSC shall be signed / certified by the AP(s) / MTRCL Senior Management [for Stage 2B] / RPE [for Stage 3] as required and appointed for specific project. Submissions to TSSC will be arranged and made by PMT to obtain statutory acceptance. Capital Works Technical will provide support as needed, e.g. high-level communication with TSSC, procedures, content of submission. Softcopy submission shall be made to all TSSC members, and hardcopy submission shall also be made to BD, FSD and HyD. SSCC / TSSC. Submission circulation purpose “for comment” / “for information” for individual member department is shown in 4.3.12 above. Protocol of circulation for softcopy / hardcopy distribution and “for comment” / “for information” responsibility for individual TSSC members shall be subject to TSSC agreement.
- 4.4.11 PMT, over the project life cycle, will maintain record keeping for all TSSC submissions and capture in softcopy form within the iShare SS&FE Communities (AcceSSS) system for all correspondence and documents. Capital Works Technical will provide review of the TSSC submissions for checking of quality and necessary technical alignment from a line-wide and network-wide perspective, as well as the initial setup in AcceSSS for each individual project.
- 4.4.12 On completion of the Project, Capital Works Technical shall retain the softcopy and hardcopy of all the original (if any) stamped and signed agreement drawings, the agreed TSSS and other TSSC-related reports and any other agreed documents for all

submissions for record purpose, while all related correspondence and documents shall be captured in softcopy form within the iShare SS&FE Communities (AcceSSS) system for permanent record. Refer to section 5 Information Management for details.

4.5 Station and Transport Integration Committee (STIC) Submission

4.5.1 Terms of Reference for STIC, typically covering objectives and membership shall be established for each project and circulated by Chair / Secretary of STIC. PMT will liaise with Chair / Secretary of STIC to establish the ToR for each line or extension.

4.5.2 Capital Works Technical will provide support as needed for the establishment of ToR. The ToR is an externally controlled document, but a link to it is listed within:

[PIMS/STC/GUI-030 Station and Transport Integration Committee Submission](#)

4.5.3 To enable project design certainty, the STIC submission process for required stations/ facilities of projects of new line or extension shall be initiated at the Preliminary Design stage.

4.5.4 PMT in charge of the project design deliverables will prepare and agree a design programme for STIC submission and consultation process. Capital Works Technical will provide necessary support as needed. Programme of STIC submission shall be planned and implemented ahead of SSCC stages submission, in order that STIC endorsement is obtained prior to the agreement of SSCC stages submissions.

4.5.5 For design review, design verification and consultation refer to:

[PIMS/DEM/PRO-001 Design Management Procedure](#)

4.5.6 Whilst governed in turn by the external document STIC ToR specific to each line or extension, the process and content of submission are set out in:

[PIMS/STC/INS-030 Station and Transport Integration Committee Submission Process Flowchart](#)

[PIMS/STC/GUI-030 Station and Transport Integration Committee Submission](#)

4.5.7 Submissions to and consultations with STIC shall be planned and implemented with due consideration to the project programme at various stages of Preliminary Design, Detailed Design, Construction, Testing and Commissioning and Project Close-out.

4.5.8 PMT shall circulate STIC submissions to various related internal parties for review and shall address comments from internal and external bodies until completion of the statutory process with record submissions completed.

4.5.9 Submissions to STIC shall be signed/ certified by the MTR Senior Management appointed for specific project. Submissions to STIC will be arranged and made by PMT to obtain statutory acceptance. Capital Works Technical will provide support as needed, e.g. high-level communication with STIC, procedures, content of submission. Softcopy and hardcopy submissions to STIC members shall be made in discussion and agreement with respective STIC members.

4.5.10 PMT, over project life cycle, will maintain record keeping for all STIC submissions and capture in softcopy form within the iShare SS&FE Communities (AcceSSS) system for

all correspondence and documents. Capital Works Technical will provide review for the STIC submissions for checking of quality and necessary technical alignment from line-wide and network-wide perspective, as well as the initial setup in AcceSSS for each individual project.

- 4.5.11 On completion of the Project, Capital Works Technical shall retain the softcopy and hardcopy of all the original (if any) stamped and signed endorsement drawings, the endorsed STIC and other STIC-related reports and any other agreed documents for all submissions for record purpose, while all related correspondence and documents shall be captured in softcopy form within the iShare SS&FE Communities (AcceSSS) system for permanent record. Refer to section 5 Information Management for details.

4.6 Fire Service Installations (FSI) Inspection

- 4.6.1 Relevant requirements for the processes in relation to FSI Inspections are included in FSD's Code of Practice for Minimum Fire Service Installations and Equipment and Inspection, Testing and Maintenance of Installations and Equipment (FSD COP); Guidelines on Formulation of Fire Safety Requirements for New Railway Infrastructures (FSD Guidelines); Circular Letters and other documents issued by FSD. The detailed processes are set out in:

[PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)

[PIMS/STC/GUI-040 Fire Service Installations \(FSI\) Inspection](#)

[PIMS/STC/GUI-041 Pre-FSI Inspection Requirements](#)

- 4.6.2 PMT in charge of FSI detailed design, manufacture, installation, testing & commissioning and documentation shall develop an inspection programme for FSD consultation. PMT shall liaise with FSD on the planned inspection programme for initial agreement and works planning at suitable early time of the Construction stage. Capital Works Technical will provide necessary support as needed.
- 4.6.3 The inspection programme shall be subject to regular review, monitoring and updating to suit the works and to meet project programme where continuous communication and consultation with FSD shall be maintained for the latest inspection programme.
- 4.6.4 PMT shall liaise with FSD on the required FSI detailed design packages for Form 1 / Form 2 & Form 2a submissions at suitable early time of the Construction stage.
- 4.6.5 An overview of the typical SSCC / TSSC Stages 2A and 3 and an example of the corresponding detailed design packages of FSI systems under Form 1 submissions, subject to FSD agreement, is illustrated as follows:

SSCC/ TSSC SUBMISSION		FSI SYSTEM FORM 1 SUBMISSION (Packaging arrangement subject to FSD agreement)
SSCC for a station, ancillary building, depot	Stage 2A	<ul style="list-style-type: none"> Form 1 (sprinklers, FH / HR) Form 1 (AFA) Form 1 (gas flooding) Form 1 (audio visual alarm system)
	Stage 3	<ul style="list-style-type: none"> Form 1 (smoke extraction) Form 1 (staircase pressurisation) Form 1 (ventilation & air-conditioning control)
TSSC for trackside	Stage 2A	<ul style="list-style-type: none"> Form 1 (FH / HR, trackside auxiliaries)
	Stage 3	<ul style="list-style-type: none"> Form 1 (tunnel environmental control system)

- 4.6.6 Form 1 / Form 2 & Form 2a submissions to FSD will be arranged and made by PMT to obtain statutory acceptance. Capital Works Technical will provide support as needed, e.g. high-level communication with FSD, procedures, technical resolution.
- 4.6.7 To enable effective coordination of works the detailed design of FSI shall be produced at early time of the Construction stage once the Contractor is on-board.
- 4.6.8 Form 1, Form 2 and Form 2a (forms originate and are available from FSD) shall be filled-in at the appropriated time by the submitter for the FSI detailed design submission of respective systems. Upon successful inspection outcome, FSD will issue Form 3 for FSI systems. Sample forms are available for reference at iShare SS&FE Communities / Capital Works Technical and contained / linked within:

[PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)
[PIMS/STC/GUI-040 Fire Service Installations \(FSI\) Inspection](#)

4.6.9 The process of Form 1 / Form 2 & Form 2a / Form 3 applicable for new FSI systems are outlined as below:

FORM	CONTENT PURPOSE
<p>Form 1 (<i>form originated from FSD</i>)</p> <p>Installation drawings, details and calculations</p>	<p>Part A: signed by FSI Contractor, certifying the details and specifications of the installation as shown on the attached fire service installation plans are in accordance with FSD COP, Circular Letters and relevant SSCC / TSSC Stage (2A, 3) submissions as listed in Appendix A.</p> <p>Part B: signed by AP and MTR Corporation Representative, certifying the attached fire service installation plans tally with the relevant SSCC / TSSC Stage (1, 2A, 3) submissions as listed in Appendix A.</p> <p>Appendix A: SSCC/TSSC Agreed Drawings List</p>
<p>Form 2 (<i>form originated from FSD</i>)</p> <p>Application for Inspection and Testing of Fire Service Installations and Equipment</p>	<p>Part A: signed by RPE, to certify the installations and equipment in the attached Form 2a, under RPE's purview, are installed and tested in accordance with FSD's requirements, and are operating in accordance with the approved design and the requirements of FSD.</p> <p>Part B: signed by AP and MTR Corporation Representative, to certify the installations in accordance with the relevant SSCC/TSSC Stage (2A, 3) submissions as listed in Appendix A are ready for inspection.</p>

FORM	CONTENT PURPOSE
Form 2a (<i>form originated from FSD</i>) Completion Certificate of Installation of Fire Service Installations and Equipment in Railway Premises	Signed by FSI Contractor, to certify the installations and equipment in accordance with the approved Form 1 submission and/or the agreed drawings in SSCC/TSSC Stage (2A, 3) submissions as listed in Appendix A are ready for inspection and are in efficient working order in accordance with FSD's requirements. Appendix A: SSCC/TSSC Agreed Drawings List
Form 3 (<i>letter issued by FSD</i>)	Certifying the fire service installations and equipment shown on the drawings agreed by SSCC/TSSC have been installed and are in efficient working order and satisfactory condition at the time of inspection on (date).

- 4.6.10 For Form 1 submission and confirmation of the completeness of contract, reference shall be made to:

[PIMS/STC/IFT-040 Sample Checklist for Form 1 Submissions](#)

- 4.6.11 For modification works of existing FSI systems with Form 3 obtained, Form FSI/314A and Form FS251 will be applicable instead of the Form 1 / Form 2 & Form 2a / Form 3 process. Sample forms are available for reference at iShare SS&FE Communities/ Capital Works Technical and contained / linked within:

[PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)

[PIMS/STC/GUI-040 Fire Service Installations \(FSI\) Inspection](#)

- 4.6.12 PMT shall liaise with FSD at early time of the Construction stage to agree the adoption of FSI/314A and FS251 process for FSI modification works and to agree if inspection by FSD is required.

FORM	CONTENT / PURPOSE
FSI/314A (<i>form originated from FSD</i>)	Signed by FSI Contractor/ Consultant, certifying the details and specifications of the installation as shown on the attached fire service installation plans are in accordance with FSD COP and relevant rules of and COP of respective systems.
FS251 (<i>form originated from FSD</i>)	Signed by FSI Contractor, for completion of annual maintenance and/or modification/repairing/inspection works of the installed FSI systems.

- 4.6.13 All systems requiring FSD inspection shall be thoroughly tested and witnessed by PMT before FSD inspection. Test format and test reports shall be in accordance with the FSD COP requirements.
- 4.6.14 A single daily inspection action list shall be prepared, with action parties and completion date of defects rectification clearly stated. Daily update of the FSD inspection action list shall be made throughout the inspection period to ensure all problems are identified and resolved the same day wherever possible.
- 4.6.15 Changes arising from the FSI inspection process and affecting the agreed SSCC / TSSC submissions shall be notified to and discussed with CDM and shall be addressed accordingly by the submission of revised SSCC / TSSC submissions in discussion with relevant statutory bodies. Capital Works Technical will provide support as needed, e.g. liaison with FSD / SSCC / TSSC for streamlining the inspection and document submission process.
- 4.6.16 PMT, over the project life cycle, will maintain record keeping for all Form 1 / Form 2 & Form 2a / FSI314A / FS251 submissions and capture in softcopy form all related correspondence and documents within the iShare SS&FE Communities (AcceSSS) system. Capital Works Technical will provide the initial setup in AcceSSS for each individual project.
- 4.6.17 On completion of the Project, Capital Works Technical shall retain softcopy and hardcopy of Form 3 (provided by the PMT); the softcopy stamped and signed approved Form 1 drawings and any related reports for record purpose. Related correspondence and documents shall be captured in softcopy form within the iShare Communities (AcceSSS) system for permanent record (based on information provided by the PMT). Refer to section 5 Information Management for details.

4.7 RB-EMSD Consultation and Inspection

- 4.7.1 This section provides a summary overview of the detailed processes to be implemented in respect of RB-EMSD consultation and inspection. The detailed processes are set out in:

[PIMS/STC/INS-050 Railway Branch – Electrical and Mechanical Services Department \(RB-EMSD\) Consultation and Inspection](#)

[PIMS/STC/INS-051 RB-EMSD Inspection Process Flowchart](#)

[PIMS/STC/INS-052 Major Activities of RB-EMSD Inspections](#)

- 4.7.2 RB-EMSD is empowered under Section 27 of the Mass Transit Railway Ordinance (Cap 556) to inspect the railway to ensure its safety. MTR has entered into an Operating Agreement with the HKSAR government to allow an assessment of the safety of the railway prior to operation. MTR cannot operate any new railway until the RB-EMSD has expressed to the Secretary for Transport & Housing that in their opinion, the new railway is “in all respects safe and in sound condition to be used for the conveyance of passengers and their luggage and goods”. For each new railway project, RB-EMSD consultation meetings and inspections will be arranged to provide adequate and sufficient information to RB-EMSD for the assessment of the safety of the new railway. Reference is made to the Regulatory Guide on Railway Projects by RB-EMSD.
- 4.7.3 The purpose of the RB-EMSD consultation / communication meetings is to consult RB-EMSD as the project develops so that RB-EMSD is kept informed of relevant major issues, in particular operational safety issues. Meetings are held at regular intervals throughout the project stages, from Preliminary Design through to Testing and Commissioning.
- 4.7.4 Inspections by the RB-EMSD are divided into four types:
- a) Pre-energisation Inspections – required prior to the energisation of any section of Overhead Line.
 - b) Station pre-opening inspection – required prior to putting any station into public service. (Normally key plant rooms in a station or ancillary building will be inspected immediately following commissioning and in advance of station opening to reduce the extent of inspection required at a station pre-opening inspection. RB-EMSD may also audit procedures to control the work carried out in commissioned plant rooms when inspecting the key plant rooms. The operations control centre and the relevant depots may also be inspected at this stage).
 - c) System Functional Inspection – RB-EMSD have the authority to notify the GM and CEM-SA(CW), which particular tests they would like to inspect. This also applies to Electric Multiple Units and any other new rolling stocks to be introduced.
 - d) Attendance of Trial Operations exercises – RB-EMSD will identify, in advance, particular exercises they wish to observe to verify adequacy of the procedures.
- 4.7.5 For each inspection, the GM will appoint an Inspection Manager (IM) who will be responsible for coordinating RB-EMSD inspections with assistance from the Inspection Secretary (IS). The IM will normally be the CCM responsible for the facility under inspection.

- 4.7.6 After confirming satisfactory completion of all critical actions arising from consultation meetings, document review and inspections, CEM-SA(CW) will further confirm with the respective GM on the completion of other necessary statutory consultation and inspection processes (e.g. SSCC / TSSC). CEM-SA(CW) will then prepare a letter declaring readiness of the new railway project for safe and sound operations for OD to sign off. The signed letter will be sent to RB-EMSD.
- 4.7.7 Upon receiving the above letter and confirming with other government departments on satisfactory completion of necessary actions, RB-EMSD will advise the Secretary for Transport and Housing that they believe the facilities inspected are “in all respects safe and in sound condition to be used for the conveyance of passengers and their luggage and goods”.
- 4.7.8 RB-EMSD will then confirm in writing to Operations Director (OD) that there are no objection to the facility being opened to the public. Specified items may remain to be completed within a given time period.

5. Information Management

5.1 Project Information Management Requirements

- 5.1.1 Management of all Statutory Compliance information, and all Records as defined within the supporting Statutory Compliance process documentation will be within the Common Data Environment (CDE). The CDE is to be used in accordance with:

[PIMS/PIM/PRO-001 Project Information Management Procedure](#)

5.2 Supporting Information Systems

- 5.2.1 The following table lists Information Systems used to support key Statutory Compliance processes:

System	Details
AcceSSS	AcceSSS (contained within the iShare Portal Community of Practice for Statutory Submissions and Fire Engineering) is managed by the Capital Works Technical Department, providing an overall framework and hyperlink access to SSCC, TSSC, STIC and FSI submissions. During the project life cycle, the PMT will capture all submission correspondence and documentation within the AcceSSS system.
iShare Portal	iShare Portal is the web-based knowledge and information management portal used by the CWBU for managing documents, information and other functions for internal document management, knowledge sharing and collaboration purposes. iShare Portal is housed within the Corporation's Intranet.
BD Website	BD website, accessible by the public, is a web-based knowledge and information management portal maintained by the BD as the BA under Buildings Ordinance. It contains relevant information such as Code of Practice, PNAP, standard forms, material central data bank and other latest news for Buildings information, etc. The BD website can be accessed from <u>https://www.bd.gov.hk</u> .
FSD Website	FSD website, accessible by the public, is a web-based knowledge and information management portal maintained by the FSD. It contains relevant information such as Code of Practice, circular letters, standard forms, approved product list and other latest news for Fire Safety

System	Details
	information, etc. The FSD website can be accessed from https://www.hkfsd.gov.hk .
Common Data Environment (CDE)	Single source of information for a given project, used to collect, manage, and share all relevant or approved project documents for multi-disciplinary teams in a managed collaborative process. PMT and designers are required to use the Corporation's Common Data Environment (CDE) and follow the Building Information Modelling (BIM) process and comply with the BIM requirements to digitally produce, store, manage and distribute contract information.

5.3 Statutory Compliance Records

5.3.1 The records of the Statutory Compliance discipline should be archived after the completion of the project. Records related to the Statutory Compliance process to be retained include:

- a) Records for Buildings Department Submission
 - PMT shall maintain all documentary records relating to the IoE consultation and BD full approval process including submission documents, comments from the BD (except the original “chopped and signed” BD Approval drawings). All documents shall be recorded in the Plan Index. A set of documents in digital format as agreed with BD to be submitted together with the Completion Certificate. Upon completion of the project, this set of documents to be tagged by PMT as a project record.
 - PMT shall send the original and soft copy of “chopped and signed” BD Approval drawings to the Manager - CADD (M-CADD) for uploading to Drawing Management System (DMS) or other digital platform as agreed with GM-CWT. After uploading, the original shall be kept by Capital Works Technical for safekeeping and future reference.
 - For the record of three-tier meetings, PMT shall keep the records of Working Level and Management Level meetings. Capital Works Technical shall keep the record of Senior Management Level meeting.
- b) Records for SSCC / STIC / TSSC Submissions
 - PMT shall maintain all documentary records relating to SSCC / TSSC / STIC submission and consultation throughout the project period including design assumptions and calculations, submission drawings and documents (both hardcopy and softcopy) including the agreed / endorsed submissions “stamped and signed”, comments from internal/ external parties, records of

informal liaison and consultation meetings with SSCC / TSSC / STIC. PMT shall progressively provide documentation to Capital Works Technical for capture in AcceSSS until such time as CDE can fulfil this function. A set of documents in digital/ hardcopy format as agreed with BD / SSCC / TSSC / STIC shall be submitted. Upon completion of the project, this entire set of documents is to be tagged as a project record.

- PMT shall send the original and scanned copy (or electronic copy for SSCC and TSSC) of “stamped and signed” SSCC / TSSC / STIC agreed / endorsed / record strategies, documents and drawings for project records in both PDF, associated CADD where applicable and Word files to Capital Works Technical and M-CADD for uploading to AcceSSS and DMS for safekeeping and future reference, in accordance with:

[PIMS/PIM/INS-002 Digital Document Management](#)

- The documents to be permanently retained by Capital Works Technical are set out in:

[PIMS/PIM/INS-004 Archiving and Retention of Project Information \(available in future revision\)](#)

c) Records for FSI Inspections

- PMT shall progressively provide documentation to the Capital Works Technical for capture in AcceSSS until such time as CDE can fulfil this function. In addition, PMT shall retain all documentary records relating to statutory inspection and testing throughout the project period, both hardcopy and softcopy, including correspondence with statutory parties, inspection records / test results / certificates / reports / defects list, construction phasing report and hoarding plan for modification works, the “stamped and signed” approved FSI detailed design drawings / calculations / reports and the associated FSD Form 1 / Form 2 & Form 2a / Form 3 as well as the acceptance certificates, licences, permits and letters from utility companies and government department upon inspection result accepted as outlined in:

[PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)

- PMT shall send the original and scanned copy of Form 3 and softcopy of the relevant correspondence of detailed design approval process (including Form 1), inspection process (Form 2 & Form 2a) and approved FSI detailed design drawings for project records in PDF and CADD/Word files as appropriate to Capital Works Technical and M-CADD for uploading to AcceSSS and DMS as appropriate for safekeeping and future reference.
- PMT shall send all the required documents listed in the Record of Statutory Submissions to the Chief Operations Risk Manager (CORM) upon

completion of the project for retention and onward process with the asset owners as outlined in:

PIMS/STC/GUI-040 Fire Service Installations (FSI) Inspection

- d) Records for RB-EMSD Consultation and Inspection
 - CEM-SA(CW) is to maintain the following records:
 - i) Formal correspondence with RB-EMSD issued by CEM-SA(CW).
 - ii) Other records pertaining to RB-EMSD inspections (including inspection agendas, statements, procedures and records).
 - The respective CDMs and CCMs to maintain records of submission of design and T&C documents and responses to RB-EMSD's comments (if any) and attendance record of T&C activities attended by RB-EMSD.

6. Assurance and Quality Management

6.1 Project Quality and Assurance Management Requirements

- 6.1.1 Assurance of the Statutory Compliance processes will reflect the MTRCL ‘Lines of Defence’ assurance approach in accordance with:

[PIMS/PQA/PRO-001 Project Quality Assurance Procedure](#)

6.2 First Line of Defence

- 6.2.1 Design to Handover and Project Close-out stages

- a) The First Line of Defence (1LoD) for Statutory Compliance during the Design stages will focus on quality and compliance of Statutory Compliance key documents / outputs managed through day-to-day management control, as implemented by PMT, with additional support from Project Quality Team (PQT).
- b) Throughout the other project life-cycle stages the quality of Statutory Compliance information will continue to be assured through regular review of Statutory Compliance documentation. Chief Project Quality Manager (CPQM) shall ensure PMT are made aware of PMT audit findings and recommendations that are applicable to the project.
- c) Specific audits and performance assessments on Statutory Compliance that may be reviewed as part of 1LoD assurance checks throughout the project lifecycle include:
 - i) PIMS Compliance Audits on Statutory Compliance conducted by the PQT on individual projects and on the Statutory Compliance function in accordance with:

[PIMS/PRI/PRO-001 PIMS Management Review & Improvement Procedure](#)

6.3 Second Line of Defence

- 6.3.1 The Legal & Governance (L&G) function and other corporate functions as appropriate undertake Second Line of Defence activities which can be summarized into 4 different categories:

- a) Assuring

To define corporate level standards and to assure compliance and conformance, to conduct / commission reviews (based on risk) to challenge and check effectiveness of “standards” and / or controls.
- b) Advising

To monitor risks, trends and opportunities from across the Corporation and outside and to advise on lessons learnt and best practices.
- c) Supporting

When and where required, to support 1LoD to meet “standards” and / or design / implement / improve controls.

d) Governance / Reporting

To liaise with 1LoD and 3LoD to ensure minimum overlap and implement a risk-based approach to assurance, i.e. Risk-based Assurance. Ultimately, to provide accurate and timely reports and raise concerns to Executive as needed.

6.3.2 The assurance activity type to be covered by Centres of Excellence includes:

- Audits;
- Surveillance;
- Inspections;
- Assurance reviews (including Strategic Assurance Review Board (SARB), Integrated Assurance Review (IAR), Gatekeeper, Peer to Peer, etc.);
- Assessment;
- Continuous Monitoring;
- Investigation; and
- Data Mining.

6.4 Third Line of Defence

6.4.1 Internal Audit Department (IAD) undertake Third Line of Defence activities to:

- maintain primary accountability to the governing body, independent from the responsibilities of management;
- communicate objective assurance and advice to management and the governing body on the adequacy and effectiveness of governance and risk management (including internal controls) to support the achievement of organisational objectives, and to promote and facilitate continuous improvement, and
- report impairments to independence and objectivity to the governing body and implement safeguards as required.

6.4.2 With respect to railway projects, the following processes are generally reviewed to ensure the system of internal controls are adequate and effective:

- a) Cost control and reporting;
- b) Progress management;
- c) Quality management; and
- d) Safety management.

Appendix 1: Statutory Compliance Key Process Mapping

No.	Key Process	Related Document	Instructions / Guidance Notes	Forms / Templates
1.	Buildings Ordinance	Requirements of the Building Ordinance	PIMS/STC/INS-001	
		Buildings Ordinance Process Flowchart	PIMS/STC/INS-002	
		Roles and Responsibility of MTR Construction Team, AP/RSE/RGE and designer/ checkers	PIMS/STC/GUI-001	
		Terms of Reference for Three Tier Meetings		PIMS/STC/IFT-001
2.	Safety and Security Coordinating Committee (SSCC)	Safety and Security Coordinating Committee Submission Process Flowchart	PIMS/STC/INS-010	
		Safety and Security Coordinating Committee Submission	PIMS/STC/GUI-010	
		Schedule of SSCC Members' Comments and MTR Corporation's Responses		PIMS/STC/GFT-010
		Sample AP / RPE Certificate – SSCC		PIMS/STC/GFT-011

No.	Key Process	Related Document	Instructions / Guidance Notes	Forms / Templates
		Schedule of Proposed Amendments and Justifications – SSCC		PIMS/STC/GFT-012
3.	Trackside Safety and Security Committee (TSSC)	Trackside Safety and Security Committee Submission Process Flowchart	PIMS/STC/INS-020	
		Trackside Safety and Security Committee Submission	PIMS/STC/GUI-020	
		Schedule of TSSC Members' Comments and MTR Corporation's Responses		PIMS/STC/GFT-020
		Sample AP / RPE Certificate – TSSC		PIMS/STC/GFT-021
		Schedule of Proposed Amendments and Justifications – TSSC		PIMS/STC/GFT-022
4.	Station and Transport Integration Committee (STIC)	Station and Transport Integration Committee Process Flowchart	PIMS/STC/INS-030	
		Station and Transport Integration Committee Submission	PIMS/STC/GUI-030	
		Guidance for Production of STIC Submissions	PIMS/STC/GUI-031	
		Guidance on Drawing Standards for STIC	PIMS/STC/GUI-032	

No.	Key Process	Related Document	Instructions / Guidance Notes	Forms / Templates
		Schedule of STIC Members' Comments and MTR Corporation Responses		PIMS/STC/GFT-030
		Sample AP Certificate – STIC		PIMS/STC/GFT-031
		Schedule of Proposed Amendments and Justifications – STIC		PIMS/STC/GFT-032
		Revision Numbering for Statutory Submissions		PIMS/STC/GFT-033
		Distribution List for STIC Submissions		PIMS/STC/GFT-034
5.	Fire Service Installations Inspection (FSI)	Fire Service Installations (FSI) Inspection Process Flowchart	PIMS/STC/INS-040	
		Fire Service Installations (FSI) Inspection	PIMS/STC/GUI-040	
		Pre-FSI Inspection Requirements	PIMS/STC/GUI-041	
		Sample Checklist for Form 1 Submissions		PIMS/STC/IFT-040
		Example Form 1		PIMS/STC/IFT-041
		Example Forms 2 and 2a		PIMS/STC/IFT-042

No.	Key Process	Related Document	Instructions / Guidance Notes	Forms / Templates
		Example Form 3		PIMS/STC/IFT-043
		Example Form FSI 314A		PIMS/STC/IFT-044
		Example Form FS251		PIMS/STC/IFT-045
6.	Railways Branch – Electrical & Mechanical Services Department (RB-EMSD) Consultation and Inspection	Railway Branch – Electrical and Mechanical Services Department (RB-EMSD) Consultation and Inspection	PIMS/STC/INS-050	
		RB-EMSD Inspection Process Flowchart	PIMS/STC/INS-051	
		Major Activities of RB-EMSD Inspections	PIMS/STC/INS-052	
		RB-EMSD Inspection – Initiation Meetings	PIMS/STC/GUI-050	
		Inspection Preparation Checklist	PIMS/STC/GUI-051	
		Standard Letters of Correspondence with RB-EMSD		PIMS/STC/IFT-051
		Example of RB-EMSD Inspection Statement		PIMS/STC/IFT-052
		Sample Incident Notification Form		PIMS/STC/IFT-053

Appendix 2: Reference Documents

PIMS References:

Policy:

- **PIMS/POL-001 Project Integrated Management System (PIMS) Policy**

Procedures:

- [PIMS/PGM/PRO-001 Programme Management Procedure](#)
- [PIMS/PJM/PRO-001 Project Management Procedure](#)
- [PIMS/PIM/PRO-001 Project Information Management Procedure](#)
- [PIMS/PQA/PRO-001 Project Quality Assurance Procedure](#)
- [PIMS/PRI/PRO-001 PIMS Management Review & Improvement Procedure](#)

Instructions:

- [PIMS/PIM/INS-002 Digital Document Management](#)
- [PIMS/PIM/INS-004 Archiving and Retention of Project Information \(available in future revision\)](#)
- [PIMS/STC/INS-001 Requirements of the Buildings Ordinance](#)
- [PIMS/STC/INS-002 Buildings Ordinance Process Flowchart](#)
- [PIMS/STC/INS-010 Safety and Security Coordinating Committee Submission Process Flowchart](#)
- [PIMS/STC/INS-020 Trackside Safety and Security Committee Submission Process Flowchart](#)
- [PIMS/STC/INS-030 Station and Transport Integration Committee Submission Process Flowchart](#)
- [PIMS/STC/INS-040 Fire Service Installations \(FSI\) Inspection Process Flowchart](#)
- [PIMS/STC/INS-050 Railway Branch – Electrical and Mechanical Services Department \(RB-EMSD\) Consultation and Inspection](#)
- [PIMS/STC/INS-051 RB-EMSD Inspection Process Flowchart](#)
- [PIMS/STC/INS-052 Major Activities of RB-EMSD Inspections](#)

Guidance Notes:

- [PIMS/STC/GUI-001 Roles and Responsibility of MTR Construction Team, AP/RSE/RGE and designer/ checkers](#)
- [PIMS/STC/GUI-010 Safety and Security Coordinating Committee Submission](#)
- [PIMS/STC/GUI-020 Trackside Safety and Security Committee Submission](#)
- [PIMS/STC/GUI-030 Station and Transport Integration Committee Submission](#)
- [PIMS/STC/GUI-031 Guidance for Production of STIC Submissions](#)
- [PIMS/STC/GUI-032 Guidance on Drawing Standards for STIC](#)
- [PIMS/STC/GUI-040 Fire Service Installations \(FSI\) Inspection](#)
- [PIMS/STC/GUI-041 Pre-FSI Inspection Requirements](#)
- [PIMS/STC/GUI-050 RB-EMSD Inspections – Initiation Meetings](#)
- [PIMS/STC/GUI-051 Inspection Preparation Checklists](#)

Templates and Forms:

- [PIMS/STC/GFT-010 Schedule of SSCC Members' Comments and MTR Corporation's Responses](#)
- [PIMS/STC/GFT-011 Sample AP/RPE Certificate – SSCC](#)
- [PIMS/STC/GFT-012 Schedule of Proposed Amendments and Justifications -- SSCC](#)
- [PIMS/STC/GFT-020 Schedule of TSSC Members' Comments and MTR Corporation's Responses](#)
- [PIMS/STC/GFT-021 Sample AP/RPE Certificate – TSSC](#)
- [PIMS/STC/GFT-022 Schedule of Proposed Amendments and Justifications – TSSC](#)
- [PIMS/STC/GFT-030 Schedule of STIC Members' Comments and MTR Corporation's Responses](#)
- [PIMS/STC/GFT-031 Sample AP Certificate – STIC](#)
- [PIMS/STC/GFT-032 Schedule of Proposed Amendments and Justifications – STIC](#)

- [PIMS/STC/GFT-033 Revision Numbering for Statutory Submissions](#)
- [PIMS/STC/GFT-034 Distribution List for STIC Submissions](#)
- [PIMS/STC/IFT-001 Terms of Reference for Three Tier Meetings](#)
- [PIMS/STC/IFT-040 Sample Checklist for Form 1 Submissions](#)
- [PIMS/STC/IFT-041 Example Form 1](#)
- [PIMS/STC/IFT-042 Example Forms 2 and 2a](#)
- [PIMS/STC/IFT-043 Example Form 3](#)
- [PIMS/STC/IFT-044 Example Form FSI 314A](#)
- [PIMS/STC/IFT-045 Example Form FS251](#)
- [PIMS/STC/IFT-051 Standard Letters of Correspondence with RB-EMSD](#)
- [PIMS/STC/IFT-052 Example of RB-EMSD Inspection Statement](#)
- [PIMS/STC/IFT-053 Sample Incident Notification Form](#)

Internal References (Excluding PIMS):

N/A

External References:

- Cap 95 Fire Services Ordinance (www.doj.gov.hk)
- Cap 123 Buildings Ordinance (www.doj.gov.hk)
- Cap 556 Mass Transit Railway Ordinance (www.doj.gov.hk)
- Code of Practice for Fire Safety in Buildings (www.bd.gov.hk)
- Guidelines on Formulation of Fire Safety Requirements for New Railway Infrastructures (www.hkfsd.gov.hk)
- PNAP APP-13 Submission of Certificate of Completion of Building Works, Application for Occupation Permit and Submission of Record Plans and Information (www.bd.gov.hk)
- PNAP ADM-18 Site Auditing for Building Works (www.bd.gov.hk)