

Urban Renewal Authority

Integrity and Probity Questionnaire

This questionnaire is issued by Urban Renewal Authority (“URA”) as part of its due diligence and integrity vetting process to assess the integrity, probity, governance, suitability of entities seeking inclusion, renewal, or retention on the relevant list(s) of [* contractors / consultants] of URA for procurement purposes (“URA’s List(s)”).

Completion of this questionnaire is mandatory. It must be completed in full, accurately and truthfully, and signed by a person (typically a director or the company secretary) duly authorized by your entity (“Respondent”) after making reasonable and diligent enquiries. Please note that **ONE** completed questionnaire covers all URA’s Lists the Respondent is seeking for inclusion, renewal, or retention – the Respondent does not need to submit a separate questionnaire for each URA’s List.

The information provided will be used by URA to determine whether any further due diligence or follow-up actions are required.

A. Instructions

1. The Respondent shall, after making reasonable and diligent enquiries, provide information relating to itself, and the following persons / entities:
 - (1) its directors, key management personnel and shareholders;
 - (2) its beneficial owner(s), meaning any individual or legal entity that has significant control over the Respondent within the meaning of Part 1 of Schedule 5A to the Companies Ordinance (Cap.622) (interpreted in accordance with Part 2 of the same Schedule);
 - (3) its associated company (as defined in Section 2(1) of the Companies Ordinance (Cap. 622)); and
 - (4) any other company, partnership, or business entity (whether incorporated or unincorporated), excluding any listed company, charitable entity (as defined in Section 2(8) of Schedule 16E of the Inland Revenue Ordinance (Cap. 112)), and associated company of the Respondent, in which any director, shareholder, and beneficial owner of the Respondent directly or indirectly holds any beneficial ownership or financial interest, or exercises control or significant influence, including without limitation through a management role, directorship, or voting control (collectively “Connected Companies”).

(Note: For the purposes of this Paragraph A.1.(4), “control” and “significant influence” shall be construed broadly and include any arrangement or relationship through which a person is able to direct or materially influence the management or decision-making of the relevant entity.)
2. All information provided in or in connection with this questionnaire, and any subsequent clarification or supporting documents, must be true, accurate, complete and is not misleading in any material respect.
3. The Respondent shall promptly notify URA in writing if, at any time after submission of this questionnaire and during the period that the Respondent is included in the URA’s List(s), any of the following occurs:

- (1) any information previously provided by the Respondent that is materially relevant to the purposes of this questionnaire has become inaccurate, incomplete, or misleading in any material respect;
 - (2) any material change occurs in the ownership, control, governance, management, financial standing or compliance status of the Respondent which may affect its eligibility, integrity or suitability to participate in URA procurement; and
 - (3) (to the extent permitted by applicable law and without breaching any legal restriction) any investigation, inquiry, disciplinary proceeding, prosecution, enforcement action or other regulatory action is commenced, threatened, or (so far as the Respondent is aware) becomes reasonably likely, in respect of the Respondent or any persons / entities mentioned in Paragraphs A.1.(1) to (4) by any law enforcement agency, regulatory body or public authority in Hong Kong or elsewhere, where the matter is relevant to the integrity, probity, professional suitability or ability of the Respondent to participate in URA procurement.
4. Nothing in this questionnaire requires the Respondent to disclose information where such disclosure is prohibited by applicable law, secrecy obligation or restriction imposed by any competent authority. Where disclosure is restricted, the Respondent shall notify URA (if legally permissible) and provide any alternative relevant information that can be lawfully disclosed.

B. Corporate particulars of the Respondent

(Note: If space is insufficient, please attach a separate sheet, signed by the duly authorized director or company secretary of the Respondent, affixed with the company chop, and dated.)

1. Company Name

Official Name: _____

Trading Name: _____
(if applicable)

2. Business Registration Number / Company Registration Number

3. Registered office address

4. Full names of all directors

(1) _____ (3) _____

(2) _____ (4) _____

5. Full names of all shareholders

(1) _____ (3) _____

(2) _____ (4) _____

6. List of all beneficial owners

(1) _____ (3) _____

(2) _____ (4) _____

7. List of all Associated Companies

(1) _____

(2) _____

(3) _____

8. List of all Connected Companies

*(Note: Please also provide the **names** of the directors, shareholders, or beneficial owners involved as per Paragraph A.1.(4).)*

(1) _____

(2) _____

(3) _____

C. Integrity and Probity Disclosure

1. For the purposes of this questionnaire, the Respondent must answer each question in Part D on its own behalf and on behalf of each party identified below (the Respondent and all such parties are collectively referred to as the “Parties”), unless the question expressly states otherwise:
 - (1) all associated companies of the Respondent;
 - (2) all Connected Companies of the Respondent;
 - (3) the following personnel of the Respondent (each of whom may be an individual or a body corporate, as applicable):
 - (a) director(s);
 - (b) shareholder(s);
 - (c) key management personnel; and
 - (4) all beneficial owner(s) of the Respondent.
2. Answer all questions truthfully, fully, and accurately.
3. Please answer “Yes” or “No” to each question by a tick (“✓”) in the relevant box (“□”). A “Yes” answer does not, by itself, determine the eligibility or suitability of the Respondent. URA will assess the disclosed matter having regard to its nature, seriousness, relevance, date, outcome, remedial measures and any other relevant circumstances.
4. For each “Yes” answer, the Respondent shall provide full details on the following on a separate explanatory sheet **dated** and **signed** by the duly authorized director or company secretary of the Respondent and affixed with company chop:
 - (1) nature of the matter;
 - (2) date and place;
 - (3) persons and entities involved;
 - (4) status of the case or proceedings;
 - (5) outcome, if concluded;
 - (6) current risk controls or corrective measures; and
 - (7) copies of relevant supporting documents, if available.

Please provide sufficient information to enable URA to understand and, where necessary, verify the matter. Do NOT provide personal identifiers that are not reasonably necessary for that purpose. URA may request further identifiers where necessary and lawful.
5. URA reserves the right to seek clarification, supporting documents, and any further information it considers necessary.

D. Questions

	Yes	No
Criminal, Civil and Regulatory Matters		
1. Has any of the Parties been convicted of any offence involving deception, dishonest or fraudulent conduct, conspiracy, bribery, corruption, or any similar or related offence in Hong Kong or elsewhere within the past 5 years?	☐	☐
2. Subject to any applicable secrecy, confidentiality or legal restriction, is any of the Parties currently the subject of a formal investigation, inquiry, prosecution, disciplinary proceeding or enforcement action by a court, law enforcement agency, regulatory body, licensing authority or public body, in Hong Kong or elsewhere, where the matter is relevant to the integrity, probity, professional suitability or ability of the Respondent to participate in URA procurement?	☐	☐
3. Has any of the Parties been found liable in any civil, administrative or arbitral proceedings involving allegations of misrepresentation, fraud, deceit, collusion, bid-rigging, or similar misconduct within the past 5 years?	☐	☐
Insolvency and Financial Integrity		
4. Has any of the Parties been adjudged bankrupt, entered into a voluntary arrangement with creditors, or been the subject of any insolvency, winding-up or receivership proceedings in Hong Kong or elsewhere within the past 5 years?	☐	☐
5. Has any of the Parties been a director or key management personnel of a company that has been wound up, liquidated, dissolved under insolvency process, or placed under administration or receivership other than as part of a solvent re-organization within the past 5 years?	☐	☐
Professional and Regulatory Sanctions		
6. Has any of the Parties been the subject of any sanction, suspension, reprimand, disciplinary action, debarment or disqualification by any licensing authority, regulatory or professional body, in Hong Kong or elsewhere within the past 3 years?	☐	☐
7. Has any of the Parties had any professional license, registration, or accreditation refused, suspended, revoked or conditionally restricted within the past 3 years?	☐	☐
8. Has any individual who is a director, key management personnel, shareholder, or beneficial owner of the Respondent been disqualified from acting as a director of a company, or from being concerned in the management of a company under the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) or equivalent legislation?	☐	☐

Government and Public Procurement Matters

9. Has any of the Parties been debarred, suspended, blacklisted, or otherwise excluded from participation in public tenders or contracts by any government department or public body in Hong Kong or elsewhere within the past **3** years? ☐ ☐

Conflict and Other Integrity Issues

10. Are there any other material and reasonably substantiated facts, circumstances, findings, complaints, allegations, conflicts of interest, or other information, including reliable adverse media reporting, that are directly relevant to the honesty, probity, professional suitability or fitness of the Respondent to participate in URA procurement and that have not been disclosed in response to the preceding questions? ☐ ☐

For this question, unverified rumours, anonymous statements without supporting information, or information that is not materially relevant to the purposes of this questionnaire need not be disclosed. Where information is disclosed pursuant to C.4 above, please also identify its source and current status, where lawfully and reasonably available.

11. Does any individual who is a director, key management personnel, shareholder, or beneficial owner of the Respondent have a material family, business, or financial relationship with any current employee or committee member of URA who is involved, or may reasonably be expected to be involved, in assessing the Respondent, conducting a procurement exercise, evaluating a tender / quotation or making a related decision, where the relationship could give rise to an actual, potential or perceived conflict of interest? ☐ ☐

For this question, “material relationship” means a relationship that could reasonably be perceived as capable of affecting impartiality or decision-making. The Respondent need not disclose ordinary social acquaintance or a remote relationship with no reasonable connection to URA procurement.

E. Personal Data Collection Statement

Purpose of collection and use

1. Personal data supplied in this questionnaire, in any explanatory sheet or supporting document, and in any subsequent clarification or update will be collected and used by URA for the following purposes:
 - (a) processing and assessing the Respondent's application for inclusion, renewal or retention on URA's List(s);
 - (b) carrying out proportionate integrity, probity, suitability, conflict-of-interest and background checks relevant to URA procurement;
 - (c) maintaining and reviewing URA's List(s);
 - (d) administering procurement, contract-management, audit, governance, compliance and risk-management processes;
 - (e) investigating suspected false, incomplete or misleading information or other procurement-related misconduct; and
 - (f) complying with applicable legal, regulatory, audit and public-accountability requirements.

Required information and consequences

2. The Respondent must provide the information required in this questionnaire. Information concerning relevant directors, key management personnel, shareholders, and beneficial owners is required to the extent necessary for the purposes above. If required information is not provided, or if the Respondent does not permit URA to use it for those purposes, URA may be unable to process the application or may be unable to include, renew or retain the Respondent on the relevant URA's List(s).

Classes of transferees

3. Personal data may be disclosed or transferred, where necessary for the purposes above, or where required or permitted by law, to:
 - (a) government departments, public bodies, and members or committees responsible for URA procurement or governance;
 - (b) law-enforcement agencies, courts, tribunals, regulatory, licensing, professional and audit authorities;
 - (c) legal, accounting, audit, investigation, risk, information-technology and other professional advisers engaged by URA;
 - (d) service providers engaged to support procurement administration, document management, information security or due diligence, subject to appropriate confidentiality and security controls; and
 - (e) any other person to whom disclosure is required or permitted by law.

URA will not disclose personal data to a class of recipient that is not relevant to the stated purposes or required or permitted by law.

Indirect provision of data

4. The Respondent may be asked to provide personal data about other individuals. The Respondent should take reasonable steps to provide this statement to each relevant individual before supplying the personal data of that person to URA, unless an exception applies under the Personal Data (Privacy) Ordinance (Cap.486) ("PDPO") or other applicable law. The Respondent should provide only personal data that is relevant and reasonably necessary for the purposes above.

Retention and security

5. URA will retain personal data only for as long as necessary to fulfil the purposes above or to satisfy applicable legal, audit, procurement, complaint-handling, or record management requirements. When personal data is no longer required, URA will securely delete, destroy or anonymise it in accordance with its records-retention and information-security policies. URA will take practicable steps to protect personal data against unauthorised or accidental access, processing, erasure, loss or use.

Access and correction

6. An individual may request access to and correction of his / her personal data held by URA in accordance with the PDPO. Requests shall be made by submitting to URA a completed Personal Data Access and Correction Application Form (available from the website of URA at <https://www.ura.org.hk>). URA may require sufficient information to verify the requester's identity and locate the relevant data.

F. Declaration

WARNING

Making a false declaration or withholding material information in this questionnaire may result in suspension / disqualification / exclusion from the URA's List(s), termination of any current contracts, and potential referral to law enforcement agencies.

I, the undersigned, being duly authorised by the Respondent to sign and complete for and on its behalf this questionnaire, hereby declare that:

1. All information given in this questionnaire and any accompanying documents is true, complete and accurate to the best of my knowledge, and is not misleading in any material respect.
2. I have made all necessary and diligent inquiries with all directors, key management personnel, shareholders and beneficial owners of the Respondent, as well as its associated companies and Connected Companies to obtain the information required in this questionnaire and to ensure the completeness and accuracy of the information and answers provided in this questionnaire.
3. I acknowledge that URA relies on the information and answers provided in this questionnaire in assessing the eligibility, integrity, probity, and suitability of the Respondent for its inclusion, renewal, or retention on the URA's List(s).
4. I shall promptly notify URA in writing if, at any time after submission of this questionnaire and during the period that the Respondent is included in the URA's List(s), any information provided in this questionnaire becomes inaccurate, incomplete or misleading in any material respect.
5. I acknowledge that any false statement, omission, inaccuracy, or misleading answer may constitute a misrepresentation for the purposes of the Misrepresentation Ordinance (Cap. 284) and may result in suspension, disqualification or exclusion from the URA's List(s), and/or such other legal remedies available to URA.

For and on behalf of

(Name of Respondent)

Signed by: _____
(Authorized Signature with Company Chop)

Name: _____

Title: Director / Company Secretary
(* Please delete as appropriate)

Date: _____