**National Prequalification System for Civil (Road and Bridge) Construction**

Application Form

Transport for NSW | September 2023

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GENERAL INSTRUCTIONS:

This Application Form must be fully completed by all Applicants for prequalification. Contractors that are already prequalified under the National Prequalification System and wish to apply for an upgrade in their prequalification status must also complete this Application Form in sufficient detail to enable consideration of the Application.

The Application Form contains a Preliminaries section, and four further sections addressing the four assessment criteria. Applicants that are not prequalified under the National Prequalification System with any Participating Authority must complete all sections of the Application Form. Applicants that are already prequalified with another Participating Authority and are seeking recognition with this authority do not need to complete this Application Form, but must apply for recognition using the National Prequalification System Application Form for Mutual Recognition.

The Application Form contains form fields to enable it to be completed electronically.

Guide notes are included to assist in the completion of the Application Form. Guide notes are shown in shaded boxes within the relevant section. This Application Form should be read and filled out in conjunction with the National Prequalification System Guidelines (“Guidelines”) which provide additional relevant information.

It is possible that the provision of the same information is required more than once as the same information may be assessed a number of times under different assessment criteria. Unless otherwise specified, an Applicant may provide information once, and in instances where the information is requested again, provide a cross-reference to the location of the original information.

# PRELIMINARIES

## Nature of Application

Indicate whether this is a new Application, renewal of an existing Application, or an Application for an upgrade of prequalification categories or Financial level (tick whichever applies).

 OR  OR 

If Application is for an upgrade, indicate the upgrade type (tick whichever applies).

  

## General Information

Provide the following general information:

1. Name of the company or entity under which this Application is being made and under which tenders will be submitted (hereinafter referred to as the Applicant).



1. Trading name (if different)



1. Type of entity e.g. public or private company, joint venture etc



1. State in which Applicant is already registered (if applying for upgrade)



1. ABN



1. ACN or ARBN



1. Registered office address



1. Postal address



1. Business address



1. Preferred address (tick whichever applies)



1. Telephone number



1. Facsimile number



1. Email address



1. Website address



1. Contact for prequalification enquiries (provide full name, position, email address and mobile number)



1. Contact for general enquiries (provide full name, position, email address and mobile number)



1. Membership of industry associations (list all that is relevant)



## Prequalification Categories and Financial Levels

The prequalification categories and Financial levels are defined in the Guidelines.

Applicants must tick to indicate which prequalification category/ies are being applied for. (Note that, if applying for Specialist categories, the Applicant must be the party undertaking the specialist work, and not a subcontractor.) Financial levels will be determined by the Participating Authority.

|  |  |  |
| --- | --- | --- |
| Road Categories | Bridge Categories | Specialist Categories\* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  | \* as listed in Table 2 of the Guidelines |

If the Application is for Category CC3, tick to indicate the type of steel bridge components or structural items fabricated.

|  |  |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  | 5100.6 except those listed in CC2 |

GUIDE NOTE:

1. **New/renewing Applicants and Applications for upgrade**

In selecting the category/ies for which prequalification is sought, each new Applicant should carefully consider which particular category/ies best reflects its current capabilities. This step relies on the Applicant making a realistic self-assessment of its ability to successfully deliver contracts involving the type of work described in each category.

Following this, the Applicant must ensure that its Application clearly addresses the relevant criteria and clearly demonstrates the Applicant’s capabilities for the prequalification category/ies selected.

1. **Applicants already prequalified with another Participating Authority**

Applicants that are prequalified with another Participating Authority and are seeking recognition with this authority do not need to complete this Application Form, but must apply for recognition using the National Prequalification System Application Form for Mutual Recognition.

# COMPANY PROFILE

GENERAL INSTRUCTIONS:

All information provided should be relevant to the prequalification category/ies sought.

## Organisational Structure

Attach an organisational chart showing the relationship between the Applicant and parent and subsidiary companies (where relevant), including names of principals, directors and partners.



## Stability of Organisation

1. Provide in tabular form the following information:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Local state/territory | Nationally | Internationally |
| No. of years under current structure |  |  |  |
| No. of years under current ownership |  |  |  |

1. If applicable, provide details of any former business names and give details as for item (a) above.



1. In the last five years, has the Applicant, or any former business identified in item (b) above, been liquidated or entered into receivership, administration, scheme of arrangement, or creditors’ composition pursuant to the Bankruptcy Act or Corporations Law? If yes, give details.



1. Have any of the proprietors, principals, directors, managers or secretaries of the Applicant, or any former business identified in item (b) above (or their spouses) ever been bankrupt? If yes, give details.



1. Has the Applicant, over the last six years, had any convictions recorded against it or are there any current or pending proceedings, either in a Court of Law or in arbitration? If yes, give details.



GUIDE NOTE:

Demonstration that the Applicant has been successfully operating under its current structure and ownership for some years, especially in the local state/territory and within Australia, provides confidence that the Applicant is stable.

## Senior Management

Provide the names of directors and senior managers and a resume for each such person nominated.

SENIOR MANAGEMENT NAME AND POSITION 1





SENIOR MANAGEMENT NAME AND POSITION 2





SENIOR MANAGEMENT NAME AND POSITION 3





SENIOR MANAGEMENT NAME AND POSITION 4





SENIOR MANAGEMENT NAME AND POSITION 5





SENIOR MANAGEMENT NAME AND POSITION 6





GUIDE NOTE:

Resumes must be sufficiently detailed to demonstrate each person’s level of knowledge and experience relevant to the scope of works for the prequalification category(s) sought.

Resumes must include, as a minimum, the following information:

* current position title;
* current role/responsibilities;
* qualifications (including date of qualification);
* time with Applicant;
* time in current role/position;
* all dates for and details of previous experience;
* names of previous employers;
* managerial performance e.g. specific management initiatives of any significant awards achieved.

## General Performance

Management of consultants, subcontractors and suppliers

1. Provide details of the Applicant’s approach to the management of its consultants, subcontractors and suppliers.



GUIDE NOTE:

Information could include, but need not be limited to:

* organisational policies;
* communication plans;
* outcomes of meetings, workshops and surveys;
* examples of the form of subcontract used and/or details of any alliance arrangements.
1. Provide details of how, and to what extent, the Applicant would typically utilise consultants, subcontractors and suppliers.



GUIDE NOTE:

The extent of use of consultants, subcontractors and suppliers will influence the level of project management required on the part of the contractor to effectively manage the contracted works.

The Applicant could consider the individual work components which make up a typically appropriate project/s and describe briefly whether each component is typically carried out by consultants, subcontractors or direct labour force.

1. Provide the names (including contact details) of at least two referees that can provide a reference regarding the Applicant’s management of consultants, subcontractors and suppliers.

REFERENCE 1:



REFERENCE 2:



Human resources/industrial relations management

Provide documentary evidence of performance in, and policies for, the management of human resources/industrial relations. (Provide details below, listing all attachments.)



GUIDE NOTE:

Documentary evidence could include, but need not be limited to:

* policy on human resource management;
* statistics and details on industrial disputes;
* availability of training programs/professional development for staff;
* human resource management manuals and procedures;
* policy on equal opportunity;
* management of apprentices and trainees.

## Management Systems

Applicants must demonstrate that they have in place management systems that meet the mandatory requirements applicable to each prequalification category being applied for before they can be considered for prequalification.

Applicants must **attach** a copy of the Certificate, Scope of Certification and any attached Schedules which demonstrate that the Applicant has the nominated systems in place. If the Applicant is accredited with the Office of the Federal Safety Commissioner, evidence of this accreditation must be attached.

|  |
| --- |
| Currently have 3rd party certification (tick whichever applies) |
| Quality management |  |  |  |
| Work health & safety management |  |  | Federal Safety Commissioner |
| Environmental management |  |  |  |

If Applicant does not have 3rd party certification for its management systems, provide an outline of the current management systems in place.



# FINANCIAL CAPACITY

GENERAL INSTRUCTIONS:

The information submitted pursuant to this section will remain confidential. The Applicant’s financial information must be audited by a suitably qualified accountant.\* If the financial information is not audited, then a Compilation Report from a suitably qualified accountant should be provided. The signed Audit Report or Compilation Report, which must include the full name, qualifications, company and signature of the accountant, must be included with the financial information.

The cost of the initial financial assessment will be borne by the assessing authority. However, at the assessing authority’s discretion, the Applicant may be requested to cover the cost of any additional or follow-up assessments, including assessments in support of a prequalified contractor’s request for an upgrade of financial levels during the prequalification period.

\* **Note**: A suitably qualified accountant is an accountant who is qualified as a Certified Practising Accountant, Chartered Accountant or Professional National Accountant within the Australian accounting profession.

## Requirements for Different Types of Applicants

There are a variety of legal entities that can submit Applications for prequalification. These include companies and joint ventures.

The Applicant must fully describe the form of legal entity under which it operates. The nature of the entity will influence the financial information that the Applicant is required to submit. For entities not described below, refer to the Guidelines for more information.

Single companies

No additional requirements.

Company within a consolidated group

The Application must clearly identify which company within the group is applying for prequalification or, alternatively, if it is the group itself which is applying for prequalification. The company will be assessed in its own right, based on its individual financial statements and any additional information that may be requested.

Where specifically permitted by TfNSW, a subsidiary company may submit audited financial statements for the parent company (or guaranteeing entity) for assessment, along with suitable undertakings from the parent entity, such as a Letter of Undertaking or Parent Company Guarantee. Where the parent company (or guaranteeing entity) is unable to provide the required undertakings, the subsidiary will be assessed in its own right.

In considering Applications from subsidiary companies or entities, the Participating Authority reserves the right to examine the resources of the parent company or entity if considered warranted.

Joint ventures

The Participating Authority will consider Applications for prequalification from incorporated joint ventures. An incorporated joint venture will be assessed as a legal entity in its own right.

A copy of the proposed joint venture agreement is to be included with all Applications for joint venture prequalification.

Unincorporated joint ventures are not required to obtain prequalification.

## Information to be Submitted

Basic information

The following information is to be submitted with all Applications:

| Documentation | Attached(tick to confirm) |
| --- | --- |
| 1. Group structure.
 |  |
| Audited annual report/financial statements for the last three years\*, or if the financial information is not audited, then a Compilation Report from a suitably qualified accountant.  |  |
| Details of any debt facilities (type, amount, term, repayment arrangements, security details), including any undrawn credit lines. |  |
| A letter from the applicant’s bank or financial institution verifying which additional lines of credit may be drawn on for working capital purposes. |  |
| Details of any encumbrances over business assets. |  |
| Details of any contingent liabilities, including guarantees provided. |  |
| Details of any financial covenants by which the business must adhere to for any loan facilities. |  |
| Details of any current or pending legal action against the directors or company. |  |
| Availability of guarantees (financial or performance). This includes any cross guarantees that may apply between group entities. |  |
| Details of key management positions (name, position held, qualifications and experience). |  |
| Governance practices, including details of accounting policies and controls, budget preparation processes, internal financial skills and qualifications, internal financial management reporting and review processes. |  |

\* Note: The financial statements/management accounts should include the following:

balance sheet;

profit and loss statement;

cash flow statement;

notes to and forming part of the financial statements;

signed Director’s Report (when Applicant is a company);

signed Auditor’s Report;

signed Director’s Declaration.

If the Applicant is an entity of a type that is not required to be audited, statutory financial statements, including a Director’s Report and Director’s Declaration, must be provided, as well as a Compilation Report from the qualified accountant who prepared the financial statements.

Details of any other information that has the potential to materially affect the financial position of the entity must be provided with the Application.

Additional information

Additional information may be requested to support the assessment, and the financial assessor may also source relevant information from publicly available sources e.g. Dun and Bradstreet and/or IBIS World reports and ratings, ASIC and the Australian Business Register.

Cash flow

1. Provide details of historical cash flow performance for the current financial year and the previous three financial years.



1. Provide a cash flow budget for the next 12 months, clearly defining the expected source and timing of:
* inflows (receipts from billing);
* outflows (including labour costs, material costs, equipment costs, etc.).

Details of all assumptions used must be included.



Capacity to borrow – current bank facilities

1. Provide name of bank and contact details of bank manager.



1. Provide details of all current bank balances. The information must be submitted in the format shown in the table below.

**Proforma for bank facilities utilised**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Available | Utilised | Remaining |
| Overdraft |  |  |  |
| Revolving lease |  |  |  |
| Other leases |  |  |  |
| Business credit card access |  |  |  |
| Guarantee by bank revolving facility |  |  |  |
| Other credit facilities (please specify) |  |  |  |

1. Provide a letter from the bank/financiers which details the facilities available to the Applicant. Also, give details of the facilities that have been utilised by the Applicant. Typically, this will include information on overdrafts, credit facilities, and other sources of finance, and will verify which facilities may be used for working capital purposes.



# COMPANY EXPERIENCE

GENERAL INSTRUCTIONS:

All information provided should be relevant to the prequalification category/ies sought.

## General

Provide details of the number of years of relevant experience the Applicant has had. Provide this information in the tabular format shown below.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | Local State/Territory | Nationally | Internationally |
| (i) | No. of years as a head contractor for relevant projects. |  |  |  |
| (ii) | No. of years as a subcontractor for relevant projects. |  |  |  |

## Current Projects

Provide details of **relevant current** projects, applicable to each category of prequalification sought, in a tabular format.

A maximum of 10 projects can be referenced.

For projects involving combined roadworks and associated structures, details of the scope, value and timing of both the road component and the structures component must be separately identified.

The following details are to be provided for each project:

* client contact details;
* contract administrator/superintendent/principal’s representative contact names and details;
* description of project;
* location;
* special features of project (if any), such as complex project management, traffic control, service relocations, construction method for various elements of work etc.;
* form of contract (AS 2124, AS 4300 etc.);
* type of contract (lump sum, schedule of rates, etc.);
* contract value at award;
* start date;
* date for practical completion;
* original contract period (weeks);
* names of contractor’s key operational personnel employed on the project;
* names of principal subcontractors, their contact names and contact details;
* value of subcontracted work;
* list of all work activities which are performed by Applicant’s direct labour force, and those performed by subcontractors;
* photographs of project, and sample project drawings, if available;
* a detailed description outlining why this project is relevant to the prequalification category(s) applied for;
* referee details.

GUIDE NOTE:

For projects undertaken outside of the local state/territory, provide details of the types of materials used in the construction of pavements.

## Completed Projects

Provide details, in date order, of relevant projects completed in the last 10 years, applicable to each category of prequalification sought. Information must be presented in a tabular format.

A maximum of 10 projects can be referenced, as long as these have been completed in the past 10 years. For projects involving combined roadworks and structures, details of the scope, value and timing of both the road component and the structures component must be separately identified.

The following details are to be provided for each project:

* client contact details;
* contract administrator/superintendent/principal’s representative contact and details;
* description of project;
* location;
* special features of project (if any), such as complex project management, traffic control, service relocations, construction method for various elements of work etc.;
* form of contract (AS 2124, AS 4300 etc.);
* type of contract (lump sum, schedule of rates, etc.);
* contract value at award;
* start date;
* date for practical completion;
* original contract period (weeks);
* actual completion date;
* whether liquidated damages were applied;
* names of contractor’s key operational personnel employed on the project;
* names of principal subcontractors, their contact names and contact details;
* value of subcontracted work;
* list of all work activities which are performed by Applicant’s direct labour force, and those performed by subcontractors;
* photographs of project, and sample project drawings, if available;
* a detailed description outlining why this project is relevant to the prequalification category(s) applied for;
* referee details.

GUIDE NOTE:

Evidence of earlier relevant experience may also be submitted where the Applicant considers that such information may support its Application.

## Contract Completion

Has the Applicant, including any partner, principal, director or senior staff member ever been associated with a contract which has failed to be completed or been renegotiated into a different contract type (e.g. AS 2124 contract renegotiated into an alliance)? If yes, state the name of the individual or organisation and the reason for the failure or renegotiation.



## Project Management

Provide details of project management of relevant contracts by demonstrating an understanding and the successful utilisation of project management principles.



GUIDE NOTE:

The focus is in addressing how the Applicant utilises project management principles rather than what systems are used.

Information provided could include, but need not be limited to:

* One or more project-specific project management plans and associated plans to demonstrate understanding of project management principles, as well as review, monitoring and control.
* Details of projects being within budget, on-time, and to specification, to demonstrate successful outcomes of project management principles.
* Procedures for selection, management and control of consultants, subcontractors and suppliers, including performance assessment.

## Partnering/Relationship Management

1. Provide a signed copy of the Applicant’s corporate policy on partnering/relationship management.



1. Detail the Applicant’s attitude to partnering/relationship management.



1. Provide documentary evidence demonstrating the Applicant’s approach to partnering/relationship management. (List any attached documentation).



GUIDE NOTE:

Evidence could include, but need not be limited to:

* Communication plans based on strong relationship management principles, including interfaces with the following:

 - principal;

 - principal’s representative;

 - superintendent;

 - consultants;

 - major subcontractors;

 - other subcontractors;

 - suppliers.

* Outcomes of partnering meetings/workshops, surveys.

## Community/Stakeholder Engagement

1. Provide a signed copy of the Applicant’s corporate policy on community/stakeholder engagement.



1. Provide documentary evidence indicating the Applicant’s participation and performance in community/stakeholder engagement. Examples must be directly relevant to the prequalification category(s) applied for. (List any attached documentation.)



GUIDE NOTE:

Evidence could include, but need not be limited to:

* Copies of relevant previous project community/stakeholder engagement plans.
* A list of typical activities undertaken during a project, e.g. leaflet drops, involvement in public information sessions/presentations, dedicated community engagement personnel as well as evaluation (e.g. surveys).
* Communication strategies for interfacing with, but not limited to, the following:

 - adjacent landowners;

 - local community;

 - cultural heritage and environmental stakeholder groups;

 - road users;

 - emergency services;

 - media;

 - local government;

 - service providers.

* Applicants wishing to obtain a high level prequalification category should be able to demonstrate greater detail and involvement.
1. Has the Applicant ever received a complaint by any previous client in relation to poor management of community/stakeholder engagement? If so, provide details.



GUIDE NOTE:

Details could include, but need not be limited to:

* location;
* dates;
* client;
* nature of the complaint;
* initiator of the complaint (i.e. resident, pedestrian etc.);
* total number of the same type of complaint;
* how the complaint was handled, how the problem was managed to ensure it was minimised, mitigated or eliminated so that it may not arise again on that project or future projects.

Details of any complaints must be provided and be complete and unedited.

## Utilisation of Quality Management System (QMS)

All prequalification categories

Provide evidence of a quality management system in place, including a signed copy of the Applicant’s corporate quality policy, a sample or example Quality Plan, and a sample or example Inspection and Test Plan.







Prequalification categories R2/B2 and above only

1. Provide evidence of utilisation of the QMS on relevant projects.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* audit reports;
* sample/example corrective action requests actioned.
1. Provide evidence of the overall performance of the Applicant’s QMS.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* a general overview on how the QMS has performed and improved over the last five years;
* meeting minutes of management reviews of the QMS;
* reference to audit reports where positive comments have been made about the overall improvement of the QMS from previous audits;
* number of nonconformances identified by the Applicant through its QMS.
1. Provide copies of reports of the last two compliance audits undertaken by the Applicant’s certifying body.



GUIDE NOTE:

The reports from the last two compliance audits by the certifying body are to confirm that the Applicant is managing quality issues in accordance with its QMS.

Complete reports must be provided and must include all comments.

1. Has the Applicant received any major nonconformances from its certifying body in relation to its QMS over the last three years? If so, provide details and measures taken for corrective action and the outcome of these actions.



GUIDE NOTE:

Where system nonconformances are reported, the number of nonconformances, their nature, and corrective action taken will be noted. All nonconformances must be reported (unedited).

## Utilisation of Work Health and Safety (WHS) Management Systems

GUIDE NOTE:

Applicants that are accredited with the Office of the Federal Safety Commissioner under the Australian Government’s Building and Construction WHS Accreditation Scheme are not required to complete this Section 4.9.

All prequalification categories

Provide evidence of a system in place, including a signed copy of the Applicant’s corporate WHS policy statement and a sample or example WHS Management Plan.





Prequalification categories R2/B2 and above only

1. Provide evidence of utilisation of the WHS Management System on relevant projects.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* audit reports;
* sample/example of previous site induction process;
* list of relevant projects on which the system has been effectively deployed;
* nominated key personnel responsible for safety, including roles and responsibilities.

**IMPORTANT NOTE**

**The Australian Government Building and Construction WHS Accreditation Scheme (the Scheme) and the implications for undertaking contracts for the Participating Authority.**

The Scheme applies to contracts that are indirectly funded by the Australian Government, where its contribution is at least $5 million and represents at least 50% of the total construction value; or where its contribution is $10 million or more, irrespective of the proportion of Australian Government funding.

A successful tenderer must be accredited under the Scheme **at the time of tender award** for building work, and maintain accreditation under the Scheme while the building work is being carried out. Note that the Participating Authority may require evidence of this accreditation to be provided earlier than this, e.g. at close of tenders.

Further detailed information about the Scheme may be obtained from the Federal Safety Commissioner website at [www.fsc.gov.au](file:///%5C%5Cgdcwcappc056.igslb.transport.nsw.gov.au%5CIS01%5Cooiy%5CDocuments%5CPrequal%20%26%20Registn%20Scheme%20Docs%2C%20Q6%2C%20G2-C2%5Cwww.fsc.gov.au).

1. Provide documentary evidence of the overall performance of the Applicant’s WHS Management System.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* a general overview on how the Applicant’s system has performed and improved over the last five years;
* reference can be made to audit reports where positive comments have been made about the overall improvement of the system since previous audits;
* documentation supporting a reduction to Lost Time Injury Frequency Rate and workers compensation claims over an extended period of time, and any successful management initiatives, including details of outcomes.
1. Provide copies of reports of the last two compliance audits undertaken by the Applicant’s certifying body.



GUIDE NOTE:

The reports from the last two compliance audits by the certifying body are to confirm that the Applicant is managing WHS in accordance with its WHS Management System.

Complete reports must be provided and must include all comments.

1. Has the Applicant received any major nonconformances from its certifying body in relation to its WHS Management System over the last three years? If so, provide details and measures taken for corrective action and the outcome of these actions.



GUIDE NOTE:

Where system nonconformances are reported, the number of nonconformances, their nature, and corrective action taken will be noted. All nonconformances must be reported (unedited).

1. Has the Applicant ever been issued with any Improvement Notices or Infringement Notices from a regulatory body? If so, provide details.



GUIDE NOTE:

Details of any Improvement Notices issued to the Applicant should be complete and unedited.

1. Provide details of Lost Time Injury Frequency Rate over the last three years.



1. Provide details of workers compensation claims in the past three years.



## Utilisation of Environmental Management Systems (EMS)

All prequalification categories

Provide evidence of a system in place, including a signed copy of the Applicant’s corporate policy on environmental management and a sample or example Environmental Management Plan.





Prequalification categories R2/B2 and above only

1. Provide evidence of utilisation of the EMS on relevant projects.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* audit reports;
* risk assessments;
* list of relevant projects on which the system has been effectively deployed.
1. Provide documentary evidence indicating the Applicant’s overall performance in environmental management.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* examples of good management practices in projects where environmental issues were present, showing how they were dealt with to manage, mitigate or eliminate the issues;
* copies of previous project environmental risk assessments.
1. Provide copies of reports of the last two compliance audits undertaken by the Applicant’s certifying body.



GUIDE NOTE:

The reports from the last two compliance audits by the certifying body are to confirm that the contractor is managing environmental matters in accordance with its EMS.

Complete reports must be provided and must include all comments.

1. Has the Applicant received any major nonconformances from its certifying body in relation to its EMS over the last three years? If so, provide details and measures taken for corrective action and the outcome of these actions.



GUIDE NOTE:

Where EMS nonconformances are reported, the number of nonconformances, their nature, and corrective action taken will be noted. All nonconformances must be reported (unedited).

1. In the last three years, has the Applicant been issued any prosecutions, notices or directions for legislative breaches by any Australian environmental regulatory authority? If so, provide details.



GUIDE NOTE:

Full details must be provided of any breaches (i.e. notices of incidents breaching environmental standards or requirements). This information must be complete and unedited.

## Traffic Management

1. Provide a copy of the Applicant’s worksite traffic management policy and appropriate procedures.





1. Provide evidence of utilisation of the traffic management procedures on relevant projects.



GUIDE NOTE:

Worksite traffic management policies and procedures should be in accordance with the Participating Authority’s requirements. Applicants seeking prequalification for higher categories should have in place procedures for complex site traffic management which would include high traffic flows, staging, major detours and temporary roads. Procedures should address the safety of all road users, including pedestrians, cyclists, and other vulnerable road user groups.

Evidence of successful use of the traffic management procedures on relevant projects could include, but need not be limited to:

* audit reports;
* sample/example of previous site induction process;
* list of relevant projects on which the system has been effectively deployed;
* nominated key personnel responsible for safety, including roles and responsibilities.
1. Provide evidence that at least one of the Applicant’s employees with overall responsibility for construction operations holds an Advanced Worksite Traffic Management Certificate or an equivalent qualification, and approximately one half of the Applicant’s project managers nominated to work on contracts for the Participating Authority, hold Worksite Traffic Management Certificates or an equivalent qualification, issued by an accredited training provider. (**Note**: TfNSW Traffic Control Registration in Category G is deemed to satisfy these requirements.)



1. Provide evidence that the Applicant’s policy and training program requires:
* each of the Applicant’s employees, who are or can be directly in charge of operations on site (e.g. project managers, supervisors and foremen), to hold, as a minimum, a Worksite Traffic Management Certificate issued by an accredited training provider;
* each person controlling traffic on a worksite to hold a Traffic Controller’s Certificate issued by an accredited training provider.



1. Provide details of the number of traffic-related accidents which occurred at the Applicant’s worksites over the last three years.



GUIDE NOTE:

Details could include, but need not be limited to traffic-related accidents associated with the works (such as vehicular accidents, accidents involving cyclists, pedestrians, and any other user group).

Information relating to any insurance claims or legal action must be provided.

1. Provide a minimum of three most recent Traffic Management Plans applicable to the level of prequalification sought. Indicate their effectiveness and whether there were any traffic-related accidents.





GUIDE NOTE:

Information provided could include, but need not be limited to:

* plans showing a variety of appropriate worksite scenarios (e.g. a high level prequalification category would require demonstration of detailed management plans for complex worksite traffic management involving high traffic flows, staging, major detours and temporary roads);
* details of consultation undertaken in relation to the traffic management planning;
* procedures for monitoring and measuring of Traffic Management Plans.
1. Has the Applicant ever received a complaint by any previous client in relation to inadequate worksite traffic management? If so, provide details.



GUIDE NOTE:

Unedited details of complaints and their outcomes must be included if they have occurred.

# TECHNICAL CAPACITY

GENERAL INSTRUCTIONS:

All information provided should be relevant to the prequalification category/ies sought.

## Total Employees

1. Provide a detailed, current organisational chart that clearly relates to the Applicant’s local roadworks (including associated structures) construction operations, and also identifies senior positions and project personnel. The senior positions and project personnel should include those personnel with responsibility for quality management, WHS management, environmental management and worksite traffic management.



GUIDE NOTE:

Applicants should:

* provide an organisation chart identifying key positions and reporting responsibilities, together with a summary of roles and responsibilities for key positions within the organisation;
* outline its project team structure, and reporting responsibilities within the team and to management, with details of projects where the project team has operated successfully;
* demonstrate that the personnel identified in the organisation chart as project personnel are available for contracts to be undertaken for the Participating Authority.
1. List the average number of all full-time equivalent employees located in the local state/territory and also separately list those located in the rest of Australia over the past 12 months under each of these general categories:
* corporate management;
* administration;
* project managers;
* site engineers;
* surveyors;
* supervisors;
* site staff (by trade classification);
* staff holding Advanced Worksite Traffic Management Certificates issued by a training provider accredited by the Participating Authority;
* staff holding Worksite Traffic Management Certificates issued by a training provider accredited or recognised by the Participating Authority;
* staff holding a current Traffic Controller’s Certificate issued by a training provider accredited or recognised by the Participating Authority.



## Key Operational Personnel

Provide the names, qualifications, roles and responsibilities of all key operational personnel permanently employed in this state/territory or employed elsewhere and who are available and relevant to the Application for prequalification who are proposed for the following roles in relation to contract works to be undertaken for the Participating Authority:

* operational management;
* quality management;
* WHS management;
* environmental management;
* worksite traffic management;
* project managers;
* site engineers;
* senior supervisors and contractor’s representatives;
* quality management representative;
* foremen;
* others (e.g. surveyors – please specify).

Provide a current, detailed resume for each person nominated. Resumes must also demonstrate that each person has experience relevant to the duties and responsibilities of their nominated position. Resumes must include the following information:

* current position and title;
* current role/responsibilities;
* evidence of qualifications (where qualifications are essential);
* evidence of licences held in the state or territory;
* time with organisation;
* time in current role/position;
* other relevant training, including continuous professional development;
* all dates for and details of previous experience;
* names of previous employers.

The Applicant must demonstrate that the nominated personnel are available for contracts to be undertaken as and when required for the Participating Authority. It is accepted that for the lower categories of prequalification one person can occupy a variety of roles.

KEY OPERATIONAL PERSONNEL NAME 1



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 2



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 3



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 4



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 5



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 6



ROLE



DETAILS





KEY OPERATIONAL PERSONNEL NAME 7



ROLE



DETAILS





GUIDE NOTE:

The resumes should:

* indicate the extent of each person’s involvement in activities that demonstrate capability in relevant projects
* clearly identify the scope of work involved in each project (i.e. type of roadworks or bridges)
* clearly indicate any direct involvement in any of the Applicant’s current or completed projects listed in the Application.

## Plant and Equipment

1. Provide a list of plant and equipment owned by the Applicant. Provide details of the methodology and sources proposed for the supply of plant and equipment to meet the Participating Authority’s requirements and identify the principal sources of supply.



GUIDE NOTE:

Evidence could include, but need not be limited to:

* approach to the use of external supply for its plant and equipment (if applicable)
* approach to subcontracts or alliances for providing plant and equipment (if applicable).

It is important that Applicants demonstrate how they propose to resource the Participating Authority’s contracts.

1. Provide a copy of the Applicant’s corporate policy on subcontracting for plant and equipment.



## Referees

Provide the names of five persons external to the Applicant’s operations who can act as referees for the Applicant’s overall reputation and performance.

REFEREE NAME 1



POSITION



COMPANY



CONTRACT



ROLE DURING CONTRACT



CONTACT DETAILS (INCLUDING PHONE NUMBER)



REFEREE NAME 2



POSITION



COMPANY



CONTRACT



ROLE DURING CONTRACT



CONTACT DETAILS (INCLUDING PHONE NUMBER)



REFEREE NAME 3



POSITION



COMPANY



CONTRACT



ROLE DURING CONTRACT



CONTACT DETAILS (INCLUDING PHONE NUMBER)



REFEREE NAME 4



POSITION



COMPANY



CONTRACT



ROLE DURING CONTRACT



CONTACT DETAILS (INCLUDING PHONE NUMBER)



REFEREE NAME 5



POSITION



COMPANY



CONTRACT



ROLE DURING CONTRACT



CONTACT DETAILS (INCLUDING PHONE NUMBER)



GUIDE NOTE:

The Applicant must ensure that any documentary evidence provided for the purposes of an Application for prequalification is permitted by the owner of the subject documents.

Evidence to support the Applicant’s overall suitability for prequalification can include reports, references or referees. It is necessary that the Application includes advice that the referees or the originators of any reports and references have given permission for the Participating Authority to contact them for comment on the Applicant’s overall performance.

# SUBMITTING THE APPLICATION

Applications should include a covering letter on company letterhead including the following paragraph:

*In submitting this Application for prequalification, we certify that the information in this Application is true and correct and fully complies with the requirements in the Guidelines and Application Form. We also acknowledge and agree to and hereby incorporate the “Terms and Conditions” referred to in Section 8 of the Guidelines and provide the undertakings detailed in Section 8.7 of the Guidelines.*

The letter must be signed by the Applicant’s authorised representative as follows:

Signed: ……………………………………………………..

Name: ………………………………………………………

Company Secretary / Director

Date: …………….…………………………………………

Applications should consist of all documentation outlined in these procedures, together with any other supporting technical or financial information. The technical information should be separated from the financial information.

The application form and supporting information must either be saved in a USB stick and posted to the address below:

**Post to: Tuan Tran**

**Pre-Qualifications Lead**

**Commercial, Performance & Strategy Branch**

**Infrastructure & Place Division**

**Transport for NSW**

Level 38, 680 George Street

Sydney NSW 2000

or emailed to: prequalification.enquiries@transport.nsw.gov.au

Applications cannot be submitted via facsimile.