**Registration Scheme for Construction Industry Contractors**

Application Form

Transport for NSW | February 2024

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**REGISTRATION SCHEME FOR CONSTRUCTION INDUSTRY CONTRACTORS****APPLICATION FORM**

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| --- |
| **Information to Applicants:**   1. *Applicants must read the Registration Scheme Guidelines and Conditions (“Guidelines”) prior to completing this Application Form, which will form the basis of acceptance of this Application.* 2. *Trusts (but not trustees), sole traders and family partnerships are ineligible to apply for registration.* 3. *Applicants must complete all items on this Application Form which are relevant to the Applicant's submission, and attach all the relevant documents requested by Transport for NSW (TfNSW) to this Form. Applicants may submit relevant documentation additional to that requested by TfNSW to support their application.* 4. *Applicants must tick the appropriate box for items where a “Yes/No” option is shown, and mark "NA" (not applicable) for items which are not relevant to the Applicant's submission.* 5. *It would take up to 6 weeks to complete assessment of the Application. Failure to provide the required information will delay processing of the Application and may result in the Application being returned to the Applicant for further action.* 6. *Applicants must submit the Application in electronic format (either pdf or MS Word) and not in paper format, but the completed checklists in Attachments A and B must be submitted in MS Word only.* |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. | Business name of Applicant in full (as used on tender submissions): | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 2. | Applicant's office address in full: | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 3. | Applicant's postal address for correspondence (if different to item 2): | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 4. | Applicant's contact person: | | | | | | Designation: | | | | |
|  |  | | | | | |  | | | | |
| 5. | Telephone no.: | | | | 6. | Facsimile no.: | | | 7. | Mobile no.: | |
|  |  | | | |  |  | | |  |  | |
| 8. | E-mail address: | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 9. | Website address: | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 10. | Registration Category/ies applying for: | | | | | | 11. | Current approved Transport for NSW Registration Category/ies: | | | |
|  |  | | | | | |  |  | | | |
| 12. | CCF or Dept of Transport and Planning Victoria (DPT Victoria) approved Prequalification Category/ies  (attach copies of approvals): | | | | | | 13. | ABN: | | | |
|  |  | | | | | |  |  | | | |
| 14. | Registered name of Applicant in full (if different to item 1): | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 15. | Registered address of Applicant in full (if different to item 2): | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 16. | Is the Applicant lodging this Application a Trustee? If yes, attach copy of trust deed, showing names of beneficiaries, and articles of association. | | | | | | | | | | |
|  | **Yes  No** | | | | | | | | | | |
| 17. | ATTACH an organisation chart showing the relationships between the Applicant and parent and/or subsidiary companies, including names of principals, directors and partners. | | | | | | | | | | |
| 18. | If the Applicant has operated as a contractor under its present business name for less than 7 years, provide the previous business names used by the Applicant (include dates). | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 19. | ATTACH a statutory declaration attesting whether any company director or partner, or a business in which any company director or partner were involved, has ever been declared bankrupt, been wound up leaving unpaid creditors, been involved in a compromise or other arrangement with creditors, or had an administrator appointed. The statutory declaration must be made in accordance with the *Oaths Act 1900* (NSW). (Not applicable for Urban Design, Landscape Design and Art, Design & Curation Services or Councils) | | | | | | | | | | |
| 20. | If a company director/partner has been involved in a situation described in Item 19 above, provide details on the extent of indebtedness and the seriousness of the matter, the length of control the person exercised over the organisation concerned and the length of time that has elapsed. | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 21. | Has the Applicant ever been declared bankrupt, entered into receivership, management agreement scheme or composition pursuant to the Bankruptcy Act or the Corporations Law? (Not applicable for Urban Design, Landscape Design and Art, Design & Curation Services) | | | | | | | | | | |
|  | Yes  No | | | | | | | | | | |
|  | If yes, provide details on the extent of indebtedness and the seriousness of the matter, and the length of time which has elapsed since. | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 22. | Have any adverse judgements (excluding minor fines or notices) been made against the Applicant for any breaches of or unlawful acts under legislation covering Work Health and Safety, Anti-discrimination, Fair Trading, and Industrial Relations? (Not applicable for Urban Design Services) | | | | | | | | | | |
|  | Yes  No | | | | | | | | | | |
|  | If yes, state when and the circumstances resulting in the adverse judgements. | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 23. | ATTACH the following information about current projects, and those completed since the last Application for Registration or completed in the past 5 years:   1. name and location of project; 2. description of work, indicate if QA contract; 3. project client; 4. contract value; 5. Superintendent or Client's Engineer, include name and contact telephone; and 6. estimated or actual date of completion. | | | | | | | | | | |
| 24. | Has the Applicant, under any business name, ever failed to complete a contract? | | | | | | | | | | |
|  | Yes  No | | | | | | | | | | |
|  | If yes, name the project, the Principal and state the circumstances. | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 25. | ATTACH information about the qualifications and technical experience of the Applicant's key personnel (in the form of résumés), including:   1. names of personnel and their professional and technical qualifications; 2. experience in the relevant Category/ies of work, name and a brief description of projects under which the experience was gained; and 3. present designation and duration in the position. | | | | | | | | | | |
| 26. | ATTACH information about the plant/equipment available to the Applicant for contract work including: (Not applicable for Erosion, Sedimentation and Soil Conservation Services, or Urban Design, Landscape Design and Art, Design & Curation Services)   1. description of plant item, including model and capacity; 2. quantity on hand; 3. ownership or leasing details; and 4. condition of plant, including year of manufacture. | | | | | | | | | | |
| 27. | Application for Category CC2 Steel Fabrication to Construction Category 2 only  Tick all that apply. | | | | | | | | | | |
|  | monorail (railway) support structures  mast lighting poles less than 12m tall  mast arm and overhead gantries less than 10m tall  variable message sign support structures  traffic signals mast arm and other support structures  sign support structures  traffic barrier railings  safety screens  pedestrian railings  pedestrian fencings  pile casings  tubular piles  finger plate expansion joints (other than approved products)  steelwork used in temporary works (other than launching noses)  other | | | | | | | | | | |
| 28. | Application for Category G Traffic Control only | | | | | | | | | | |
|  | 1. List staff who have completed the required training courses and attach copies of course certificates. | | | | | | | | | | |
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|  | 1. Provide evidence that traffic control devices comply with Australian Standard and Transport for NSW requirements for retroreflectivity (a letter from your supplier will suffice). | | | | | | | | | | |
|  |  | | | | | | | | | | |
| 29. | Application for Category L Construction Industry Laboratories only | | | | | | | | | | | |
|  | Refer to pages 7 to 10 of the Guidelines.  Provide separate responses to each of the evaluation criteria listed on page 8 of the Guidelines, and attach copies of any other relevant documentation to support your application. | | | | | | | | | | | |
| 30. | Application for Category S Erosion, Sedimentation and Soil Conservation Services only | | | | | | | | | | | |
|  | Refer to pages 10 to 11 of the Guidelines.  For application for either Category S1 or S2, provide details of criteria 1.  In addition, for application for   1. Category S1, provide details of how each individual proposed to provide the services meet the requirements of criteria 2 to 6 listed on page 11 of the Guidelines. 2. Category S2, provide details of how each individual proposed to provide the services meet the requirements of criteria 2 to 8 listed on page 11 of the Guidelines. | | | | | | | | | | | |
| 31. | Application for Category U Urban Design, Landscape Design and Art, Design & Curation Services only | | | | | | | | | | | |
|  | Refer to pages 11 to 13 of the Guidelines.  Provide separate responses to each of the evaluation criteria under the relevant Category applied for (whether Category U1, U2 or U3) as listed on pages 12 to 13 of the Guidelines, and attach copies of any other relevant documentation to support your application. | | | | | | | | | | | |
| 32. | Application for Category X Demolition of Properties only | | | | | | | | | | | |
|  | SafeWork NSW Demolition Licence No. (attach copy of licence) | | | | | | | | | | | |
|  |  | | | | | | | | | | | |
| 33. | Application for Category Z Stabilisation only | | | | | | | | | | | |
|  | 1. AustStab/ARRB accreditation no. (attach copy of certificate) | | | | | | | | | | | |
|  |  | | | | | | | | | | | |
|  | 1. List specialist equipment for stabilisation works | | | | | | | | | | | |
|  |  | | | | | | | | | | | |
|  | 1. Detail how minimum requirements will be met for each stabilisation category | | | | | | | | | | | |
|  |  | | | | | | | | | | | |
| FINANCIAL INFORMATION TO BE SUBMITTED  (Not applicable for Category G Traffic Control, Category L1 Construction Industry Laboratories, Category S Erosion, Sedimentation and Soil Conservation Services, and Category U Urban Design, Landscape Design and Art, Design & Curation Services)  *Note: Where the Applicant is a Trustee, the financial information is required for both the Trust and the Trustee.* | | | | | | | | | | | | |
| **34.** | ATTACH a statement from the Applicant's bank or other financial institution advising of:   1. branch and account name; 2. overdraft facility; 3. overdraft balance; 4. guarantee facility; 5. guarantees outstanding; and 6. brief details of any other funding facilities available (term loans, commercial bills, or letters of credit). | | | | | | | | | | | |
| **35.** | ATTACH audited financial statements (including notes) for the last 3 financial years including:   1. trading account; 2. profit and loss; 3. balance sheet; 4. statement of cash flows; 5. signed auditor's report; and 6. signed director's report (where Applicant is a corporation).   Note: If audited statements cannot be provided, ATTACH signed taxation returns for the last 3 financial years together with the unaudited financial statements listed above. If the financial statements provided are more than 6 months old, the latest management accounts (trading account, profit and loss account and balance sheet) must also be provided. If management accounts are not available, the Applicant is to contact the Pre‑Qualifications Lead (see Section 4.1 of Guidelines and Conditions) for advice on alternative information to be provided. | | | | | | | | | | | |
| **36.** | ATTACH details of any significant changes in the nature of the Applicant's operations since its last balance date and any recent developments that are expected to substantially affect the operating results of the Applicant for the current financial year. | | | | | | | | | | | |
| QUALITY MANAGEMENT SYSTEM REQUIREMENTS  (Not applicable for Category G Traffic Control, Category S Erosion, Sedimentation and Soil Conservation Services, or Category U Urban Design, Landscape Design and Art, Design & Curation Services)  Applicants are required to complete Attachment A, QMS Q6/Q5 Checklist (appended to this form). The completed checklist/s are to be submitted together with the documents required below.  Other documents to be submitted: | | | | | | | | | | | | |
| 37. | A copy of the Quality Manual (optional) and a copy of Procedures (including those referred to in the Quality Manual) that would normally be applicable to TfNSW projects to provide evidence that a quality management system has been developed. | | | | | | | | | | | |
| 38. | A sample Project Quality Plan/s for work appropriate to the Registration Category/ies applied for, to provide evidence that a quality management system can be readily implemented at a project level. | | | | | | | | | | | |
| WORK HEALTH & SAFETY AND ENVIRONMENTAL MANAGEMENT SYSTEM REQUIREMENTS  (Not applicable for Category S Erosion, Sedimentation and Soil Conservation Services or Category U Urban Design, Landscape Design and Art, Design & Curation Services)  Applicants are required to complete Attachment B, WHS Assessment Checklist (appended to this form). The completed checklist/s are to be submitted together with the documents required below. | | | | | | | | | | | | |
| 39. | (Refer to page 15 in the Guidelines for the alternatives available to Applicants to have their WHS management system assessed.)  Submit the WHS Management System if alternative 5 is selected.  Submit a copy of the WHS Management Plan and Environmental Management Plan, which can be either site specific or generic. | | | | | | | | | | | |
| CHECKLIST | | | | | | | | | | | | |
| 40. | The documents requested in this Application Form must be attached and labelled (check/ tick if attached) | | | | | | | | | | | |
|  |  | 12 | CCF or DTP Victoria Prequalification Category/ies (Attach copies of approvals) | | | | | | | | | |
|  |  | 16 | Trust deed, showing names of beneficiaries, and articles of association | | | | | | | | | |
|  |  | 17 | Organisation chart of parent and subsidiary companies | | | | | | | | | |
|  |  | 19 | Statutory declaration, made in accordance with the *Oaths Act 1900* (NSW)  (not applicable to Councils registering for RMCC work) | | | | | | | | | |
|  |  | 23 | Current and completed projects | | | | | | | | | |
|  |  | 25 | Technical experience of key personnel | | | | | | | | | |
|  |  | 26 | Available plant and equipment | | | | | | | | | |
|  |  | 28 | Category G Traffic Control – specific requirements as per page 7 of the Guidelines | | | | | | | | | |
|  |  | 29 | Category L Construction Industry Laboratories – specific requirements as per page 7 of the Guidelines | | | | | | | | | |
|  |  | 30 | Category S Erosion, Sedimentation and Soil Conservation Services – specific requirements as per page 10 of the Guidelines | | | | | | | | | |
|  |  | 31 | Category U Urban Design, Landscape Design and Art, Design & Curation Services – specific requirements as per page 11 of the Guidelines | | | | | | | | | |
|  |  | 32 | Category X Demolition of Properties – SafeWork NSW Demolition Licence | | | | | | | | | |
|  |  | 33 | Category Z Stabilisation – specific requirements as per page 13 of the Guidelines | | | | | | | | | |
|  |  | 34 | Bank/financial institution/s statement/s | | | | | | | | | |
|  |  | 35 | Audited financial statements, or unaudited statements and signed taxation returns | | | | | | | | | |
|  |  | 36 | Changes to Applicant's operations | | | | | | | | | |
|  |  |  | Completed QMS Q6/Q5 Checklist | | | | | | | | | |
|  |  | 37 | Quality Manual and associated Procedures | | | | | | | | | |
|  |  | 38 | Sample Project Quality Plan | | | | | | | | | |
|  |  | 39 | Completed WHS Assessment Checklist  Sample WHS Management Plan and Environmental Management Plan | | | | | | | | | |
|  | \* Applicants already prequalified with the CCF or DTP Victoria need only submit financial details to apply for registration in D, E and F categories. | | | | | | | | | | | |
|  | | | |  | | | |  | | |  | |
| Name | | | | Designation | | | | Signature | | | Date | |

**SUMMARY – FINANCIAL, QUALITY, WHS AND ENVIRONMENTAL ASSESSMENT REQUIREMENTS**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Registration Category | Financial Assessment | Complete QMS Q6/Q5 Checklist (ATTACHMENT A)? | Complete WHS Assessment Checklist (ATTACHMENT B)? | Submit Environmental Management Plan? |
| CC2 | Required | No | No | No |
| D | Required | Yes | Yes | Yes |
| E | Required | Yes | Yes | Yes |
| F | Required | Yes | Yes | Yes |
| G | Not required | No | Yes | No |
| L1 | Not required | No | No | No |
| L2 | Required | No | No | No |
| L3 | Required | No | No | No |
| S1 | Not required | No | No | No |
| S2 | Not required | No | No | No |
| U1 | Not required | No | No | No |
| U2 | Not required | No | No | No |
| U3 | Not required | No | No | No |
| X | Required | Yes | Yes | Yes |
| Z1 | Required | No | No | No |
| Z2 | Required | No | No | No |

|  |  |
| --- | --- |
| Submit the completed Application Form by email to: | [catherine.thai@transport.nsw.gov.au](mailto:Catherine.Thai@transport.nsw.gov.au),  or  [tuan.tran@transport.nsw.gov.au](mailto:tuan.tran@transport.nsw.gov.au),  or  prequalification.enquiries@transport.nsw.gov.au |

**ATTACHMENT A  
Assessment of   
Contractor’s Quality Management System   
(ISO 9001:2015 & Q6/Q5)**

Refer to table on previous page 7 of 10 of this Application Form to check if the Applicant needs to complete the QMS Q6/Q5 checklist.

If yes, download the QMS Q6/Q5 checklist from <https://www.transport.nsw.gov.au/system/files/media/documents/2023/quality-management-system-evaluation.doc>,  
then complete the QMS Q6/Q5 checklist by filling in only those rows marked “Applicant”, stating the location in the Applicant’s Quality Manual or Project Quality Plan that addresses the question. Do not fill in those rows marked “Assessor”.

For applications for Categories R1/B1 and Specialist Categories A1, C1, C2, CC3 and T, the applicable Q specification is Q6. For applications by Councils, and for Registration Categories CC2, D, E, F, X and Z, the applicable Q specification is Q5.

Do not fill in the cover page titled “SUMMARY”, other than the first two rows (for “contractor’s name” and “applicable Q specification”).

Submit the completed QMS Q6/Q5 checklist together with this Application Form in MS Word format, for editing purposes later during assessment.

**ATTACHMENT B  
Work Health and Safety   
Assessment**

Refer to table on previous page 7 of 10 of this Application Form to check if the Applicant needs to complete the WHS assessment checklist.

If yes, download the WHS assessment checklist from <https://www.transport.nsw.gov.au/system/files/media/documents/2023/contractor-whs-site-specific-plan-assessment.docx>,   
then check against the “Matrix of Applicable Elements” (on page 10 of 10 overleaf) which parts of Section 7 of the checklist, relating to the various site specific hazard management tools (H1 to H11), the Applicant needs to complete.

When completing the WHS assessment checklist, for each question, fill in the document name, clause and page number of the WHS documents in the “Reference Section” column that addresses the question. Do not fill in the “Assessor’s Finding/s” column and do not tick the check box in the checklist. Do not fill in the page titled “WHS Management Plan Assessment - Summary”.

Submit the completed WHS Assessment checklist together with this Application Form in MS Word format, for editing purposes later during assessment.

**Work Health and Safety Assessment**

**Matrix of Applicable Elements**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Assessment Tool**  **Registration Type** | Assessed under Prequalification requirements | WHS Management Plan | (H1) Manual Handling | (H2) Use, Installation, Inspection and Repair of Plant | (H3) Working At Height | (H4) Confined Spaces | (H5) Pedestrian and Vehicular Interaction | (H6) Hazardous Substances and Dangerous Goods | (H7) Electrical Safety | (H8) Traffic Control | (H9) Underground Services | (H10) Overhead Utilities | (H11) Excavation |
| **Prequalification** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| General | 🗸 |  |  |  |  |  |  |  |  |  |  |  |  |
| Category A1 – Asphalt Paving |  | 🗸 | 🗸 | 🗸 |  |  | 🗸 | 🗸 |  | 🗸 | 🗸 |  |  |
| Category TS – Traffic Signal |  | 🗸 | 🗸 | 🗸 | 🗸 |  | 🗸 |  | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 |
| Council (RMCC work) |  | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 |
| **Registration** |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Category D – Drainage |  | 🗸 | 🗸 | 🗸 |  | 🗸 | 🗸 | 🗸 |  | 🗸 | 🗸 | 🗸 | 🗸 |
| Category E – Earthworks |  | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 |
| Category F – Formwork |  | 🗸 | 🗸 |  | 🗸 |  | 🗸 |  | 🗸 | 🗸 |  | 🗸 |  |
| Category G – Traffic Control |  | 🗸 |  |  |  |  | 🗸 |  |  | 🗸 |  |  |  |
| Category X – Demolition |  | 🗸 | 🗸 | 🗸 | 🗸 |  | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 | 🗸 |  |