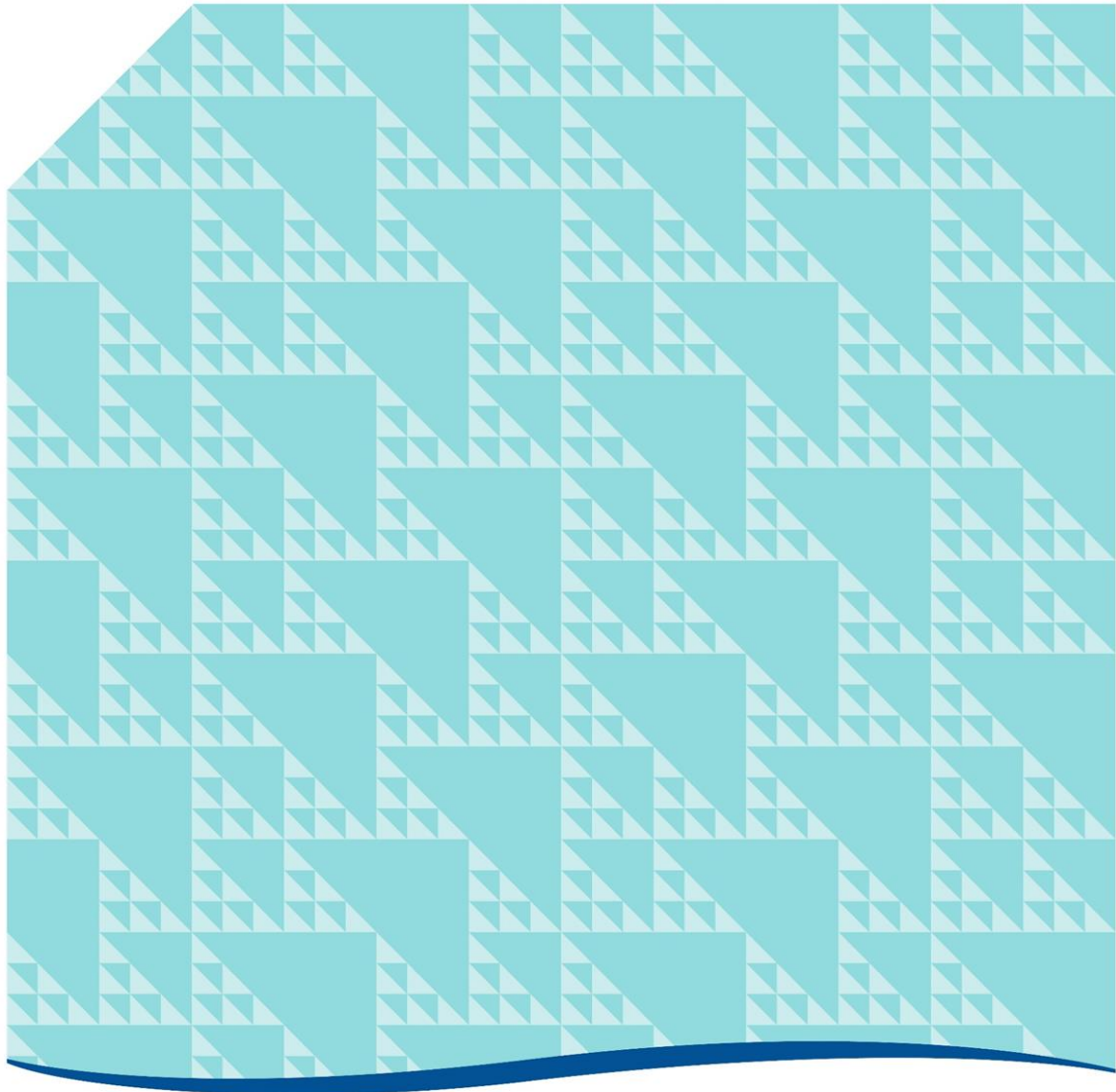


National Prequalification  
System for Civil (Road  
and Bridge) Construction

# Application Form



Department of State Growth



## National Prequalification System Application Cover Page

### I. Applicant's declaration

I/We:

Name of Applicant

Of

Registered Business Address of Applicant

Hereby submit my/our Application for granting of prequalification or renewal or upgrading of my/our existing prequalification.

- (a) In submitting my/our Application I/we:
- (i) warrant that the information included in the Application Form and the supplementary information and documents I/we have submitted in support of my/our Application are true and correct;
  - (ii) warrant that my/our Application is fully compliant with the requirements of the edition of the National Prequalification System for Civil (Road and Bridge) Construction Guidelines ("NPS Guidelines") current at the time I/we lodged the Application with State Growth.
- (b) If my/our Application for prequalification, renewal or upgrade is granted I/we:
- (i) agree that my/our prequalification will be subject to the Terms and Conditions of Prequalification contained in the NPS Guidelines; and
  - (ii) agree that I/we will provide the undertakings and guarantees required by the NPS Guidelines.

### 2. Supplementary documents and information

The Applicant is to list below the documents and other information provided by it in relation to the Application.

Document / information	No of Pages	Filename
1. Company Experience		
2. Company Resources and Technical Capacity		
3. Management Systems		
4. Financial Capacity		

# National Prequalification System Application Form

Clause	National Prequalification System Application Form		
a	<b>Application type</b>	<input type="checkbox"/> New Application <input type="checkbox"/> Renewal <input type="checkbox"/> Upgrade	
b	<b>Name of the company or entity ('Applicant')</b>	<i>Company or entity under which this Application is being made and under which tenders will be submitted.</i>	
c	<b>Trading name</b>	<i>If different to company or entity.</i>	
d	<b>Type of entity</b>	<i>Public company, private company, incorporated joint venture or unincorporated joint venture.</i>	
e	<b>State of company registration</b>		
f	<b>ABN</b>		
g	<b>ACN or ARBN</b>		
h	<b>Address of registered office</b>		
i	<b>Postal address</b>		
j	<b>Business address</b>		
k	<b>Telephone number</b>		
l	<b>Email address</b>		
m	<b>Company website</b>		
n	<b>Contact for prequalification enquiries</b>	<b>Name</b>	
		<b>Position</b>	
		<b>Email</b>	
		<b>Telephone</b>	
o	<b>Contact for general enquiries</b>	<b>Name</b>	
		<b>Position</b>	

Clause		National Prequalification System Application Form	
		<b>Email</b>	
		<b>Telephone</b>	
<b>p</b>	<b>Membership of industry associations</b>	<i>Please list relevant memberships.</i>	
<b>q</b>	<b>Road or Bridge Category or categories applied for</b>	<b>Roadworks</b>	<i>R1, R2, R3, R4, R5 or NA.</i>
		<b>Bridgeworks</b>	<i>B1, B2, B3, B4 or NA.</i>
<b>r</b>	<b>Specialist Categories applied for</b>	<i>BM, S, P, RSF or TS</i>	
<b>s</b>	<b>Number of years that the Applicant has been under the current operating structure.</b>		
<b>t</b>	<b>Number of years that the Applicant has been under the current ownership.</b>		
<b>u</b>	<b>If applicable, provide details of any former business names and give details.</b>		
<b>v</b>	<b>In the last five years, has the Applicant, or any former business identified in clause (b), been liquidated or entered into receivership, administration, scheme of arrangement, or creditors' composition pursuant to the Bankruptcy Act or Corporations Law?</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details.	
<b>w</b>	<b>In the last five years, has the Applicant, or any former business identified in clause (b), been liquidated or entered into receivership, administration, scheme</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details.	

Clause		National Prequalification System Application Form	
	<b>of arrangement, or creditors' composition pursuant to the Bankruptcy Act or Corporations Law?</b>		
x	<b>In the last five years, has the Applicant, or any former business identified in clause (b), been liquidated or entered into receivership, administration, scheme of arrangement, or creditors' composition pursuant to the Bankruptcy Act or Corporations Law?</b>	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details.	

## Attachments

### I. Company Experience

#### I.1. Years of experience

Provide the number of years that the company has been operating in the roadworks / bridgeworks industry, either as a head contractor, or as a major sub-contractor.

#### I.2. Current and Completed Projects

Provide details of relevant current projects (max 10) and completed projects (max 10) applicable to each category of prequalification sought. In addition to the details of each project, it is preferable to also submit a summary of the projects in tabular format.

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 nominated project:

- a) photographs clearly demonstrating the Applicant's role in the work
- b) client contact details
- c) location
- d) contract administrator contact names and details

- e) description of project
- f) special features of project (if any), such as complex project management, traffic control, service relocations, construction method for various elements of work etc.
- g) conditions of contract (AS 2124, AS 4300, GC21 etc.)
- h) type of contract (lump sum, schedule of rates, etc.)
- i) contract value at award
- j) start date
- k) date for practical completion
- l) original contract period (weeks)
- m) whether liquidated damages were applied
- n) names of contractor's key operational personnel employed on contract
- o) names of principal subcontractors contact name and details
- p) value of subcontracted work
- q) a detailed description outlining why this project is relevant to the prequalification category(s) applied for
- r) sample of plans
- s) referee details.

Has the Applicant, including any partner, principal or director ever been associated with a contract that has failed to be completed or substantially reduced in scope. If yes, provide details of the contract and the reason for failure or reduction in scope.

## **2. Company Resources and Technical Capacity**

### **2.1. Organisational Charts**

- a) Provide an organisational chart showing the relationship between the Applicant and parent and subsidiary companies (where relevant), including names of principals, directors and partners
- b) Provide a detailed and current version of a managerial organisational chart that clearly relates to the Applicant's local roadworks and/or associated structures and operations, and also identifies senior positions and project personnel. The senior positions and project personnel should include those personnel with responsibility for quality management, WH&S management, environmental management and worksite traffic management.

### **2.2. Personnel**

- a) 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:
  - management
  - administration
  - project managers

- site engineers
- surveyors
- supervisors
- site staff (by trade classification).

### **2.3. Qualification & Experience of Key Personnel**

- a) Provide the names, qualifications, roles and responsibilities of all key operational personnel who are proposed for the following roles in relation to contract works to be undertaken:
- operational management
  - quality management
  - WHS management
  - environmental management
  - worksite traffic management
  - project managers
  - site engineers
  - senior supervisors and contractor's representatives
  - quality management representative.

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.

### **2.4. Plant and Equipment**

- a) Provide details of the major plant / equipment owned by the Applicant or an associated company.
- b) Provide a copy of the Applicant's policy / procedures for sourcing / managing subcontract for plant and equipment.

### 3. Management Systems

#### 3.1. Quality Management

- a) Provide a copy of the third party certification by a JAS-ANZ accredited conformity assessment body (not mandatory for RI / BI). If the Applicant is not third party certified, provide details of the management system in place including procedures and policies.
- b) Provide a copy of the corporate quality policy.
- c) Provide a copy of a sample / example quality plan.
- d) Provide a copy of a sample / example Inspection and Test Plan.

**For Prequalification categories R2/B2 and above, provide the following:**

- e) Provide evidence of utilisation of the Quality Management System (QMS) on relevant projects, including copies of the reports of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports must be provided and must include all comments.
- f) Has the Applicant received any major non-conformances 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. All non-conformance reports must be unedited. Where system non-conformances are reported the number, nature, and how the contractor took corrective action will be noted.

#### 3.2. Work Health and Safety Management Systems (WHS)

- a) Provide a copy of the third party certification by a JAS-ANZ accredited conformity assessment body (not mandatory for RI / BI). If the Applicant is not third party certified, provide details of the management system in place including procedures and policies.
- b) Advise if the Applicant is accredited with the Office of Federal Safety Commissioner. If accredited, the Applicant is not required to provide the additional information listed below in regard to its WHS system.
- c) Provide a copy of the corporate WHS Policy.
- d) Provide a copy of an example WHS Plan.
- e) Provide evidence of utilisation of the WHS Management System on relevant projects, including copies of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports must be provided and must include all comments.
- f) Has the Applicant received any major non-conformances 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. All non-conformances must be reported (unedited).
- g) Has the Applicant ever been issued with any Improvement Notices or Infringement Notices from a regulatory body? If so, provide details.
- h) Provide details of Lost Time Injury Frequency Rate over the last three years.



### **3.3. Environmental Management Systems (EMS)**

- a) Provide a copy of the third party certification by a JAS-ANZ accredited conformity assessment body (not mandatory for RI / BI). If the Applicant is not third party certified, provide details of the management system in place including procedures and policies.
- b) Provide a copy of the corporate environmental management policy.
- c) Provide a copy of a sample / example environmental management plan.

**For Prequalification categories R2/B2 and above, provide the following:**

- d) Provide evidence of utilisation of the EMS on relevant projects, including copies of the reports of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports must be provided and must include all comments.
- e) Has the Applicant received any major non-conformances 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.
- f) Has the Applicant ever been issued with any Improvement Notices or Infringement Notices from an environmental regulatory body? If so, provide 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.

### **3.4. Traffic Management**

- a) Provide details of how the Applicant manages traffic at worksites (e.g. self-performed or by the use of prequalified subcontractors). If the Applicant self performs traffic management, provide policy / procedures describing how traffic is managed and how personnel receive the correct level of training.
- b) Provide an example worksite traffic management plan.

### **3.5. Subcontractor Management**

- a) Provide details of the Applicant's approach to selecting and managing subcontractors, including example subcontract agreements and how it ensures that subcontractors are dealt with fairly.

### **3.6. Partnering/Relationship Management**

- a) Provide a signed copy of the Applicant's corporate policy on partnering/relationship management
- b) Provide documentary evidence demonstrating the Applicant's approach to partnering/relationship management, such as reports / minutes from partnering meetings / workshops.

### 3.7. Community/Stakeholder Engagement

#### Prequalification categories R2/B2 and above only

- a) Provide a signed copy of the Applicant's corporate policy on community/stakeholder engagement
- b) Provide documentary evidence indicating the Applicant's participation and performance in community/stakeholder engagement, such as project community/stakeholder engagement plans.

## 4. 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 must 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.*

### 4.1. Requirements for Different Types of Applicants

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 Prequalification Requirements for more information.

<b>Single companies</b>	No additional requirements.
<b>Company within a consolidated group</b>	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. 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 must be assessed in its own right. In considering Applications from subsidiary companies or entities, State Growth reserves the right to examine the resources of the parent company or entity if considered warranted.
<b>Joint ventures</b>	An Application which is submitted by a joint venture entity must be accompanied by a copy of the joint venture agreement executed between the parties.

## 4.2. Information to be Submitted

### Basic information

The following information is to be submitted with all Applications:

- a) Group structure.
- b) Audited annual report/financial statements for the last three years (\*).
- c) Management accounts that are no more than three months old (\*).
- d) Details of any debt facilities (type, amount, term, repayment arrangements, security details), including any undrawn credit lines.
- e) Details of any encumbrances over business assets.
- f) Details of any contingent liabilities, including guarantees provided.
- g) Details of any financial covenants by which the business must adhere for any loan facilities.
- h) Details of any current or pending legal action against the directors or company.
- i) Availability of guarantees (financial or performance). This includes any cross guarantees that may apply between group entities.
- j) Details of key management positions (name, position held, qualifications, experience).
- k) Governance practices, including details of accounting policies and controls, budget preparation processes, internal financial skills and qualifications, internal financial management reporting and review processes.

\* 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.

## 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

- a) Provide details of historical cash flow performance for the current financial year and the previous three financial years
- b) 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

- a) Provide name of bank and contact details of bank manager.
- b) Provide details of all current bank balances in the format shown in the table below.

### Proforma for bank facilities utilised

	Available	Utilised	Remaining
<b>Overdraft</b>	\$	\$	\$
<b>Revolving lease</b>	\$	\$	\$
<b>Other leases</b>	\$	\$	\$
<b>Business credit card access</b>	\$	\$	\$
<b>Guarantee by bank revolving facility</b>	\$	\$	\$
<b>Other credit facilities (please specify)</b>	\$	\$	\$

- c) 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.

# Lodgement instructions

Applicants are required to:

- complete the National Prequalification System Application Cover Page and Application Form;
- compile and include any supplementary documents and information required by the Application Form and NPS Guidelines; and
- sign and date the application below.

An Applicant can submit its Application to State Growth by one of the following means:

## **Australia Post**

Include one hard copy of the Cover Page and Application Form and all supplementary documents and information plus one complete duplicate of the Application on a USB drive in a sealed envelope, postage pack or similar and post to:

Department of State Growth  
Contract Services Branch – Prequalification Application  
Parliament Square 4 Salamanca Place  
HOBART TAS 7000

Registered mail is recommended.

## **By hand or courier**

Include one hard copy of the Cover Page and Application Form and all supplementary documents and information and one complete duplicate of the Application on a USB drive in a sealed envelope, postage pack or similar and deliver to:

Department of State Growth  
Contract Services Branch  
Parliament Square 4 Salamanca Place  
HOBART TAS 7000

## **Electronic mail**

Include the Cover Page and Application Form and all supplementary documents and information in a compressed (ZIP) file and email to [prequalification@stategrowth.tas.gov.au](mailto:prequalification@stategrowth.tas.gov.au).

Signed by the Applicant or a person who duly warrants their authority to sign on the Applicant's behalf	
Name of person signing	
Position title	
Date	

# **Tasmanian Industry Participation Plan for use with the Department of State Growth's National Prequalification System for Civil (Road and Bridge) Construction Contracts**

The Tasmanian Government is committed to maximising opportunities for local suppliers to compete for and win Government procurements. As part of this commitment, and following consultation with the Civil Contractors Federation of Tasmania, the Department of State Growth has prepared this bespoke Tasmanian Industry Participation Plan (TIPP) template for use for road and bridge construction procurements.

A TIPP is a strategic document aimed at improving opportunities for Tasmanian small to medium enterprise businesses in Government funded or resourced projects. The purpose of the Plan is to assist in the development of Tasmanian SME industry and ensure that those SMEs are provided with every opportunity to participate in both Government procurement activity and in major private projects, funded partly by Government.

As part of an application for registration under the Department of State Growth's assessment of National Prequalification System for Civil (Road and Bridge) Construction Contracts, civil contracting firms are able to complete and submit this TIPP template. Following evaluation, the score allocated to the contractor's TIPP response will stand for its entire period of prequalification with the Department (a maximum of three years). In accordance with Treasurer's Instruction PF-2, a contractor's standing TIPP score will form a minimum of 25 per cent of the overall evaluation criteria for each Request for Tender process the contractor submits a response to.

Should a contractor believe it has additional evidence of its positive impact on Tasmanian SMEs which warrants a re-assessment of its standing TIPP score, the Department can undertake a re-assessment of the additional information. Please note that the Department will not undertake a re-assessment of a contractor's standing TIPP score more frequently than every 12 months.

For more complex and diverse projects, the Department reserves the right to request a TIPP submission independent of the standing score attached to a contractor's prequalification. The requirement to complete a project specific TIPP will be clearly set out in the Request for Tender documentation. A contractor's score for a project specific TIPP will only apply for the purposes of evaluating the project for which it was submitted for and will not affect its standing TIPP score.

Queries regarding this process are to be directed to the [contractservices@stategrowth.tas.gov.au](mailto:contractservices@stategrowth.tas.gov.au) email address.

**Contractor's name**

**Contact person**

**Postal address**

**Email address**

**Telephone number**

**Please be advised that the information provided in response to the questions must only relate to civil construction projects undertaken in Tasmania within the last 12 months. Projects undertaken prior to this time and/or for other jurisdictions will not be considered for the purposes of this TIPP assessment.**

*\* Tasmanian SMEs are Tasmanian businesses employing less than 200 people.*

### **1. Are you a Tasmanian SME\*? Do you employ Tasmanians?**

*This question contributes 25% to the overall assessment of this TIPP.*

*Below are some examples you may consider including in response to this question:*

- *Are you a Tasmanian SME?*
- *How many people do you employ in Tasmania? How many FTEs?*
- *Provide an estimate of the number of labour hours worked by Tasmanian-based employees versus other employees over the past 12 months.*
- *If you are not a Tasmanian SME, will you be setting up a local Tasmanian office and employing local staff?*

### **2. Where will the goods or services be sourced from?**

*This question contributes 15% to the overall assessment of this TIPP.*

*Below are some examples you may consider including in response to this question:*

- *Does your business provide all the goods and services identified in your submission?*
- *Provide an estimate of the value of locally sourced goods and services versus imported, including the location of where materials will be sourced*
- *Outline how your company will incorporate local products, services and capabilities into delivering projects to maximise opportunities for local suppliers.*

### **3. Opportunity for Tasmanian SME\* involvement**

*This question contributes 25% to the overall assessment of this TIPP.*

*Below are some examples you may consider including in response to this question:*

- *Will your company source components from other Tasmanian SMEs or sub-contractors? If possible, provide details.*
- *How will your company identify and engage with sub-contractors or other Tasmanian SMEs to deliver projects in order to maximise opportunities for local suppliers? Will your company use existing supply chains or advertise sub-contracting or supply opportunities? Will your company liaise with local industry groups?*
- *How will your company ensure that Tasmanian SMEs are not disadvantaged when competing with other suppliers to provide goods or services?*
- *Are there opportunities to transfer skills to a Tasmanian SME or sub-contractor?*



#### 4. Building the capacity and capability of the industry

*This question contributes 25% to the overall assessment of this TIPP.*

*Below are some examples you may consider including in response to this question:*

- *Are there any other benefits that your organisation will provide to the Tasmanian economy?*
- *Will trainees or apprentices be appointed? If yes, how many and in which profession?*
- *What is the businesses' three year planned intake of trainees and/or apprentices?*
- *How many trainee or apprentice placements are planned for Tasmania?*
- *Does your organisation support ongoing development of professional staff?*
- *Does your organisation provide opportunities for pathways to employment for Tasmanian Aboriginals?*
- *Does your organisation provide opportunities for pathways to employment for disadvantaged Tasmanians?*
- *Do you support the Tasmanian community, for example through formal support, sponsorship, volunteering or in-kind support?*

#### 5. Local innovative solutions

*This question contributes 10% to the overall assessment of this TIPP.*

*Below are some examples you may consider including in response to this question:*

- *Does your submission involve adding value to imported goods or services through local development or innovation?*
- *Is your organisation developing strategies to provide goods or services to the Tasmanian economy that have historically been imported from interstate or overseas?*
- *Does your organisation offer any innovative solutions that might benefit the broader Tasmanian community and economy? Provide details.*

#### Completed and endorsed

.....  
(Name and position – print)

.....  
(Supplier name)

.....  
(Signature)

...../...../.....  
(Date)