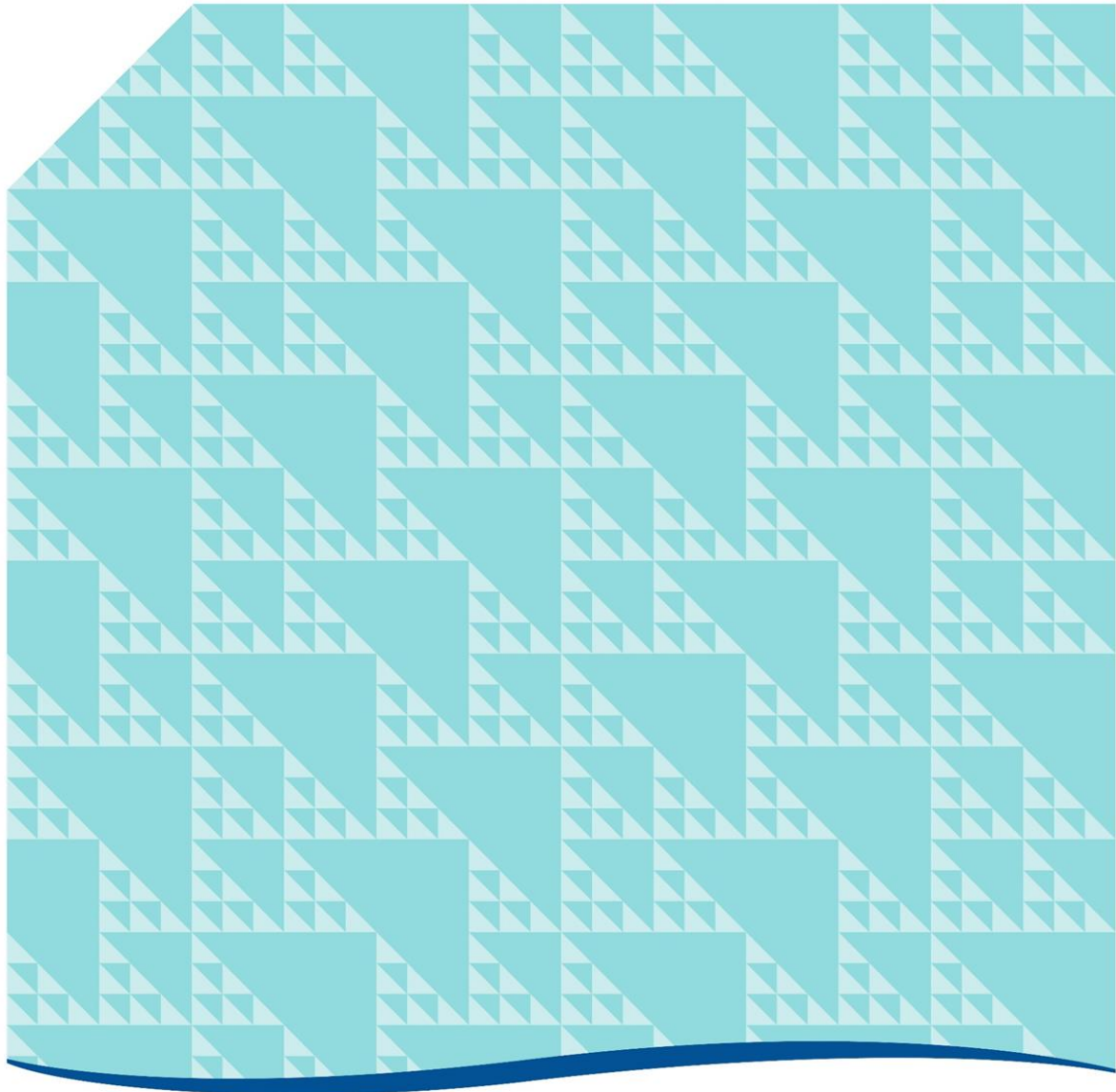


National Prequalification
System for Civil (Road
and Bridge) Construction

Application Form



Department of State Growth



FM-CMI-01
Issue date: April 2018

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

Clause		National Prequalification System Application Form	
		Telephone	
p	Membership of industry associations	<i>Please list relevant memberships.</i>	
q	Road or Bridge Category or categories applied for	Roadworks	<i>R1, R2, R3, R4, R5 or NA.</i>
		Bridgeworks	<i>B1, B2, B3, B4 or NA.</i>
r	Specialist Categories applied for	<i>BM, S, P, RSF or TS</i>	
s	Number of years that the Applicant has been under the current operating structure.		
t	Number of years that the Applicant has been under the current ownership.		
u	If applicable, provide details of any former business names and give details.		
v	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?	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details. -----	
w	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	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details. -----	

National Prequalification System Application Form	
	Bankruptcy Act or Corporations Law?
x	<p>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?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide details.</p>

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.

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. 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.

Joint ventures

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

- 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.
- l) 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

* 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.

4.3. 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.

- 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

- c) Capacity to borrow – current bank facilities. Attach details of all current bank balances 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)	\$	\$	\$

- d) Provide name of bank and contact details of bank manager
- e) 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 contractservices@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 in association with

Department of State Growth's Prequalification System for Road and Bridge Construction Contracts

The Tasmanian Government is committed to maximising opportunities for local SME¹ businesses to compete for and win Government procurements.

This Tasmanian Industry Participation Plan (TIPP) has been specifically developed for use in association with the Department of State Growth's Prequalification System for road and bridge construction and maintenance contractors are requested to prepare a TIPP. This TIPP is your opportunity to demonstrate how your business will positively impact on the local industry/economy. You will need to ensure you can verify the information you submit and where possible should provide actual numbers of staff (full-time equivalent)/values of goods and/or services.

The TIPP will be reviewed by a panel of assessors who will attribute a score based on the information you have supplied. That score will be recorded by State Growth and used as the Buy Local Policy's² Local Benefits Test score in the evaluation process for each relevant road and bridge tender (i.e. where suitable prequalification categories exist) submitted by you. The score will contribute a minimum of 20 per cent of the procurement evaluation.

The score will remain valid for a period of three years. If you consider that material changes are required to the information originally supplied in the TIPP, you may request State Growth to seek a review of the revised TIPP (and attributed score). Contractors that have not submitted a TIPP will receive a zero score in relation to the Local Benefits Test criterion.

Contractor details

Name of contractor	
Contact details for contractor	

¹ Local SME are Australian and New Zealand businesses employing less than 200 people

² An overview of the Buy Local Policy is contained in the publication *Buy Local Policy* located on the Purchasing website at <http://www.purchasing.tas.gov.au/buyingforgovernment/publications.jsp>

- (a) I/We acknowledge and agree that the score allocated based on the information submitted in this TIPP will be used as the Buy Local Policy's local benefits test score in the evaluation process for each relevant road and bridge tender (i.e. where suitable prequalification categories exist) submitted by me/us for the period of my/our prequalification and acknowledge and also agree that score will be applied in evaluation of my/our tender submissions in respect of major road and bridge procurements for the period of my/our prequalification.
- (b) I/We agree that the financial and other information submitted in relation to my/our current or most recently completed prequalification application can be used to assist in arriving at the score allocated to me/us under the Local Benefits Test criterion, including to supplement and verify the information supplied in this TIPP.
- (c) I/We request that the following listed information and previous tenders, applications and submissions are considered in addition to the information supplied in this TIPP [*contractor to list below*].

Local SME industry impact

What is the direct local impact of your business on local SMEs?

Examples: how many people do you employ, where is your business located, what is the ownership? How many people do you employ in Tasmania? Would you expect any new SME jobs to be created to undertake new State Government contracts - approximately how many?

How many people does the business employ in total?

How many people does the business employ in Tasmania?

What is the businesses' three year planned annual intake of new employees?

How many employee placements are planned for Tasmania? over years

How many trainees and/or apprentices do you employ?

What is the businesses' three year planned annual intake of trainees and/or apprentices?

How many trainee or apprentice placements are planned for Tasmania? over years

Other supporting information (free text):

Goods and services expected to be utilised in State Government contracts

Identify the types of goods and/or services you expect to purchase when undertaking road and bridge construction works and services activities and provide the requested information in relation to same, where known.

Materials

Identify the materials that you do or will purchase for utilisation in road and bridge construction works and services activities.

Description	Name of supplier	Location of supplier	Estimated annual value

Manufacturing

Identify the materials or components you manufacture or produce which are used in road and bridge construction works and services activities, the locations of your production facilities and the number of people you employ as a result of your manufacturing and/or production activities.

Description	Location of facility	Number of employees

Professional services

Identify the consulting and other technical services that you do or will require when carrying our State Growth road and bridge contracts.

Description	Name of supplier	Location of supplier	Estimated annual value

Other (free text)

Identify any other supply chain related activities and relationships employed by your company to, wherever local capability exists, maximise the use of SME and/or local content in the goods and services used in State Growth road and bridge contracts.

Opportunity for local SME involvement

Would you expect to source components relating to State Government contracts from local SME companies/sub-contractors or do you expect new work to be undertaken locally as a result of you fulfilling any new contracts or workers travelling to the local area/s to undertake the work? How much?

Subcontractors

Does the business routinely subcontract work:

(yes/no)

If yes to the above, can you estimate the proportion (percentage) of work subcontracted based on the financial level applied for or granted and technical categories applied for and granted under the NPS?

Identify the subcontractors used by the business.

Description of the work subcontracted	Name of subcontractor	Location of subcontractor	Estimated annual value	Tasmanian labour %

Consumables and other products

Identify the consumables and other products (eg fuel supplies, parts, tools, protective and other clothing and the like) the business purchases in support of it undertaking State Roads road and bridge construction operations.

Description	Name of supplier	Location of supplier	Annual value

In relation to the manufactured or produced components, provide details of any businesses that you engage in order to provide maintenance or other services, goods or equipment to support and maintain your manufacturing and production activities.

Description	Name of supplier	Location of supplier	Annual value

Detail how you intend to identify and engage with sub-contractors and/or SMEs in relation to the delivery of any new State Government contracts including your supply chain, ie use of existing supply chains, advertising of sub-contracting or supply opportunities, liaison with industry groups, etc.

Detail the process that you are to undertake to ensure that local SMEs are not to be disadvantaged where competing with other suppliers in the provision of goods or services to be used as part of any new State Government contracts (ie unpacking of procurements into smaller components so that local SMEs can compete more effectively etc).

Other supporting information (free text):

Broader economic opportunities

Are there any other impacts that your business and/or specific supply will provide to the local/regional economy when undertaking State Government contracts?

Examples: Your supply may lead to: new skills being developed locally; trainees/apprentices being appointed; cross transfer skills to a local SME partner/sub-contractor; your company (if you are not a local SME) setting up an office/employing local staff; scale for you to take your products/services interstate/overseas; local community sponsorship etc.

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