

Construction Materials Testing Supplier Registration System

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1 Introduction

The Construction Materials Testing Supplier Registration System (CMTSRS) forms part of a Department of Transport and Main Roads program to assure the quality of materials, products and construction processes. It has been developed within the framework for registering specialist suppliers. The CMTSRS covers all laboratories supplying test results to departmental projects and includes, but is not limited to: asphalt, soils, concrete, earthworks, bitumen and bridge bearings.

2 Application for registration

A separate registration is required for each fixed address laboratory, including branch and annex facilities. Annex facilities are to be registered within 14 days of National Association of Testing Authorities (NATA) acknowledgement.

Complying initial applications will be registered. Subsequent registration will be subject to performance assessment.

The application form is located on the departmental website.

<http://www.tmr.qld.gov.au/business-industry/Business-with-us/Approved-products-and-suppliers/Pavements-materials-and-geotechnical.aspx>

A fee (\$200 plus GST) applies for urgent registration applications. These will normally be processed within two working days of application. Non urgent applications (no fee) will normally be processed within one calendar month.

Registration is not a guarantee of work or a guarantee that Transport and Main Roads will invite the supplier to offer for work. Suppliers may tender for work without holding registration, but registration must be held prior to the contract award to the head Contractor.

Irrespective of CMT supplier registration, contractors or contract administrators may remove a CMT supplier or subcontracted CMT supplier from a project for poor performance or other legitimate reason. This may result in review of CMT Registration for the laboratory concerned.

Registration will normally be reviewed by the department every three years for base facilities, annually for branch facilities and at the request for an extension of annex facilities.

Registered suppliers are to advise Transport and Main Roads in writing, within 10 working days, of any significant change in circumstances that may affect NATA accreditation or capacity to supply CMT, including changes to senior staff, location or NATA accreditation status.

Registered suppliers must advise the department in writing of their intent to subcontract any testing activities and obtain the contract administrator's prior approval. Registered suppliers may only subcontract testing activities to another CMT registered supplier.

The registered supplier's NATA Authorised Representative will be TMR's official point of contact for matters related to the CMTSRS.

From time to time, the department may require registered suppliers to participate in quality assurance activities or attend compulsory training or industry briefings.

The list of registered suppliers will be published on the departmental website.

3 Performance assessment (surveillance)

Surveillance may be undertaken by Transport and Main Roads Materials Services surveillance staff to assess the performance of any registered supplier at any time, even when not supplying testing services to a departmental project. In order to maintain registration a supplier is required to participate fully in any Transport and Main Roads surveillance. This includes:

- access to relevant records (including recent NATA assessment reports)
- provision of relevant documentation
- agreement to allow photography in the collection of supporting evidence.

Timely close-out of issues raised is a key element of surveillance participation and failure to provide for close out within agreed timeframes may affect registration status.

Surveillance activities may include:

- observation of laboratory operations; including sampling, storage and handling of samples, and testing techniques
- audit of sampling and testing
- assessment of test results through analysis of trends and use of other statistical techniques
- audit of compliance with management systems, procedures and processes, including AS ISO/IEC 17025 and NATA requirements
- audit of relevant project specification requirements
- review of test records
- review of compliance with supervision requirements
- validation of software systems
- evaluation of staff competence
- inspection of facilities and equipment.

Transport and Main Roads will endeavour to hold a close out meeting with the registered supplier on the final day of any surveillance and will follow this, as soon as practicable, with a written report. This report may identify corrective actions that a registered supplier is required to address within an agreed timeframe. Such actions may include:

- adjustment, correction or improvement of processes
- checking, calibration, maintenance or replacement of equipment
- supplementation, replacement or training of staff
- changes or updates to worksheets, procedures or systems.

Transport and Main Roads will provide a report to the CMT supplier and copies of the report to the contractor/s of departmental projects the registered supplier is servicing.

Report findings should be addressed, in the first instance, with the surveillance team leader. If a resolution cannot be agreed an appeal may be lodged (refer to Section 7: Appeals).

Issues or conditions relating to registration will be managed within the CMTSRS separately from any action or agreement reached under the relevant construction contract.

4 Suspension of an individual

Transport and Main Roads may suspend an individual from performing testing, supervising testing or signing reports for Transport and Main Roads compliance where the department has lost confidence in the person's ability to ethically or technically conduct testing for the department. Where the department is satisfied that an individual has conducted repeated fraudulent or unethical activity, and that it is not as a result of undue influence from their employer, such suspension may be permanent and apply regardless of subsequent employer.

CMT Suppliers may propose rehabilitation processes to restore Transport and Main Road's confidence in a suspended tester. If approved and completed to the department's satisfaction the suspension will be removed.

In instances where no undue influence has occurred and it is evident that the individual's actions are not in accordance with the CMT supplier's quality processes, suspension of an individual may not affect the registration of a CMT supplier.

Names of suspended individuals will be made available to relevant Transport and Main Roads contract administrators, inspectors and any other supervisory personnel involved in oversight of departmental works.

5 Conditions (conditional registration)

Transport and Main Roads may place conditions on registration. For example:

- suspension of a particular test method being used for TMR compliance
- where a suspended individual conducts compliance testing for TMR or agreed rehabilitation processes have not been followed.

Conditional requirements placed on a laboratory will also apply to any branch or annex facilities affiliated with the base laboratory and vice versa. Conditions may be applied to all other laboratories where corporate NATA accreditation is held.

Transport and Main Roads key staff such as district directors, contract administrators and other appropriate managers will be notified of the conditional registration.

Conditional registration will apply for a minimum of three months. Subsequently, conditions will be removed following satisfactory Transport and Main Roads performance assessment. This may include additional Transport and Main Roads surveillance at the supplier's expense. The placement of conditions, and any subsequent lifting of those conditions, is irrespective of actions taken by third parties such as NATA.

6 Deregistration

A supplier will be deregistered for any of the following:

- Evidence of installation or use of software designed to fabricate test results. In instances where the facility concerned is part of a multi facility organisation, the other facilities may have their CMT Registration suspended until Transport and Main Roads is satisfied the software is not in those facilities. Transport and Main Roads may grant the other facilities conditional registration and allow them to operate to fulfil contractual obligations in the interim.
- Systemic fraud.

- Failure to maintain NATA accreditation.
- When external administrators are appointed. Transport and Main Roads may grant conditional registration and allow the facility to operate to fulfil contractual obligations if Transport and Main Roads are satisfied that appropriate technical management of the facility is being maintained without undue influence.

A Supplier may be deregistered for any of the following:

- fraud
- misconduct or unethical behaviour where undue influence is applied by an organisation on its own laboratory or laboratory staff
- repeated procedural non-conformances (including those related to test methodology and management systems)
- failure to satisfactorily:
 - participate in TMR surveillance or audit
 - close-out surveillance or audit conditions in an agreed timeframe
 - deal with an issue which caused the CMT supplier to have conditional registration applied.

Deregistration of a base laboratory includes deregistration of all affiliated branch or annex facilities. Systemic failures in annex or branch facilities may result in deregistration or conditional registration of the base laboratory. Systemic failures identified in multiple labs may result in deregistration or conditional registration of all laboratories where corporate NATA accreditation is held.

Registered suppliers are to immediately notify the registration manager if NATA accreditation is suspended. CMT deregistration will be effective from date of suspension. Suppliers must reapply for CMT registration even when NATA accreditation is reinstated.

Transport and Main Roads key staff such as district directors, contract administrators and other appropriate managers will be notified of CMT supplier deregistration.

Deregistration will apply for a minimum of six months. Reregistration will be subject to performance assessment and may include TMR surveillance at the supplier's expense.

7 Appeals

A registered supplier may appeal:

- rejection of an application for registration (within 10 working days of being advised)
- disputed surveillance findings (within five working days of receiving the written report)
- deregistration (within 10 working days of being advised)
- registration conditions (within 10 working days of being advised).

Appeals, with supporting documentation, are to be addressed to the Registration Manager,

cmt_supplier@tmr.qld.gov.au

An appeals committee comprising at least two people including the chair (Chief Engineer or delegated representative) will be drawn from appropriately qualified Transport and Main Roads staff and may be supplemented by external experts. At least one committee member will be a Level 5 supervisor with a minimum of five years' experience in the relevant field of testing

Deregistration or conditional registration will continue during an appeal.

8 Contractual Liabilities

Where a registered CMT supplier on a Transport and Main Roads project is subject to deregistration or conditional registration the department may explore other means for the supplier to meet contractual obligations. These may include:

- approval of engagement of an alternative testing supplier
- approval of an alternative test method
- increased Transport and Main Roads supervision and/or use of an independent lead auditor for verification processes to allow testing to continue.

Arrangements under this clause are not transferable to other contracts. All costs, including departmental costs, are to be borne by the registered CMT supplier.

9 Confidentiality and undertakings

The registration of CMT suppliers is solely for the benefit of the State of Queensland acting through Transport and Main Roads. A listing of registered suppliers is maintained on the departmental internet site and is available for public access.

Detailed information provided with applications or obtained through performance assessment is retained by Transport and Main Roads in accordance with departmental Recordkeeping Policy, Right to Information Act, and Information Privacy Act. Departmental staff will not share a supplier's confidential information with any third party, unless express written approval has been provided by the supplier, or:

- Transport and Main Roads is legally obliged to do so
- it is necessary to obtain legal advice or assessment
- the information is required for an appeal in accordance with Section 7: Appeals
- it is necessary for the operation and maintenance of this system.

Transport and Main Roads and NATA, through a Memorandum of Understanding, will share information such as surveillance and audit reports where either organisation becomes aware of an issue which may reasonably be regarded as having a detrimental effect on the quality of testing by a CMT laboratory.

Transport and Main Roads and NATA reserve the right to conduct joint audits of CMT testing facilities after either party has identified such issues.

10 Expectations of registered suppliers.

The following is a list of behaviours required of CMT registered suppliers.

- If any errors are found on a test report, either internally or by another party, a new corrected report must be issued and the report containing the error withdrawn. (This requirement applies regardless of whether or not the error affects acceptance of the lot being tested).
- CMT suppliers will be familiar with any requirements in Transport and Main Roads Specifications or registration systems affecting their activities and will comply with those requirements.

11 Test method Interim Registration

Transport and Main Roads may have a need for a CMT registered supplier to provide a testing service for compliance testing where no suppliers, or a very limited number of suppliers, have NATA accreditation for the test.

It is recognised that gaining accreditation for these tests may take a significant period of time, and Transport and Main Roads may elect to allow certain CMT suppliers to provide the testing service without NATA accreditation, under specific conditions for a time period sufficient to allow for obtaining accreditation. This will be known as 'Test Method Interim Registration'.

Transport and Main Roads will only accept testing undertaken under a Test Method Interim Registration when it is conducted by an independent CMTSRS Registered Supplier.

The department will determine the specific conditions based on the test method and will notify all CMT suppliers what is required should they wish to conduct the testing for compliance for Transport and Main Roads.

These approvals will be specifically noted on the CMT Supplier Register.

12 Further information

CMT Registered Suppliers are listed on the TMR website.

TMR will notify amendments to the CMTSRS to each registered supplier and post them on the TMR internet site.

System manager email:

CMT_supplier@tmr.qld.gov.au

13 Glossary

Term	Description
Trainee	A Person meeting the NATA Level 1 definition as outlined in NATA's Construction Materials Testing ISO/IEC 17025 Application Document.
Level 2 staff member	A Person meeting the NATA supervisory Level 2 criteria as outlined in NATA's Construction Materials Testing ISO/IEC 17025 Application Document.
Level 5 supervisor	A Person meeting the NATA supervisory Level 5 criteria as outlined in NATA's Construction Materials Testing ISO/IEC 17025 Application Document.
competent	A judgement by the CMT supplier recognising a staff members ability to undertake a test or process, understand the underpinning knowledge of the test or process, and with experience testing the types of materials being encountered.
Relevant field of testing	The type of testing being undertaken by the facility.
Undue influence	Ref AS 17025 Influence applied directly or indirectly to a person, NATA Authorised Representative, or a facility, that may cause them to undertake their duties, or act in a manner, not in accordance with the requirements of their facilities NATA Accreditation or Transport and Main Roads CMT Registration. This includes affecting their ability to conduct testing in accordance with testing methodology and specification requirements.
AGTA	Association of Geotechnical Testing Authorities. The association Transport and Main Roads recognised as the industry body representing construction materials testing suppliers.
Suspended Person	An individual Transport and Main Roads does not consider to be a suitable person to undertake testing or supervision activities for Transport and Main Roads related testing activities, regardless of company or employer.

