Application Form

National Prequalification System for Civil

(Road and Bridge) Construction Contracts,

Incorporating Asphalt Works

January 2023

Contents

[National Prequalification System application form 2](#_Toc124505774)

[Submitting the application 4](#_Toc124505775)

[1 Company experience 5](#_Toc124505776)

[1.1 Years of experience 5](#_Toc124505777)

[1.2 Current and completed projects 5](#_Toc124505778)

[1.3 Contract completion 6](#_Toc124505779)

[1.4 Warranty Deed (asphalt contractors only) 6](#_Toc124505780)

[1.5 Project management and contract‑related processes 7](#_Toc124505781)

[2 Company resources and technical capacity 8](#_Toc124505782)

[2.1 Group and organisational structure 8](#_Toc124505783)

[2.2 Total employees 10](#_Toc124505784)

[2.3 Senior management 11](#_Toc124505785)

[2.4 Key operational personnel 12](#_Toc124505786)

[2.5 Management of consultants, subcontractors and suppliers 16](#_Toc124505787)

[2.6 Human resources / industrial relations management 17](#_Toc124505788)

[2.7 Plant and equipment - general 17](#_Toc124505789)

[2.8 Asphalt works plant and equipment 18](#_Toc124505790)

[3 Management systems 19](#_Toc124505791)

[3.1 Evidence of implemented systems and certifications 19](#_Toc124505792)

[3.2 Utilisation of Quality Management Systems (QMS) 20](#_Toc124505793)

[3.3 Utilisation of Work Health and Safety Management Systems (WHS) 22](#_Toc124505794)

[3.4 Utilisation of Environmental Management Systems (EMS) 24](#_Toc124505795)

[3.5 Traffic management 26](#_Toc124505796)

[3.6 Partnering / relationship management 28](#_Toc124505797)

[3.7 Community / stakeholder engagement 30](#_Toc124505798)

[3.8 Referees 32](#_Toc124505799)

[4 Financial capacity 33](#_Toc124505800)

[4.1 Requirements for different types of applicants 33](#_Toc124505801)

[4.2 Information to be submitted for financial assessments 34](#_Toc124505802)

[5 Ethical Supplier Threshold 37](#_Toc124505803)

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| **General instructions:**This Application Form must be fully completed by all Applicants for prequalification.Contractors that are already prequalified under the Prequalification System that wish to apply for an upgrade in their prequalification status, must also complete the Application Form in sufficient detail to enable consideration of the application.Applicants that are not prequalified under the Prequalification System with any Participating Authority must complete all sections of the Application Form. Applicants that are prequalified with another Participating Authority and are seeking recognition with this authority, do not need to complete this Application Form, but must apply for recognition using a Mutual Recognition Registration Form.The Application Form contains form fields to enable it to be completed either electronically or in hard copy. Guide notes are included to assist in the completion of the Application Form. The Application Form should be read and filled out with reference to TMR's *Transport Infrastructure Project Delivery System Volume 3 – Requirements - National Prequalification System for Civil (Road and Bridge) Construction Contracts, Incorporating Asphalt Prequalification* (TIPDS Vol 3 – NPS Requirements) which provides additional relevant information.It is possible that the same information is required to be provided by the Applicant more than once, as the same information may be assessed a number of times under different assessment criteria. Unless otherwise requested, an Applicant may provide information once and in instances where information is requested again, cross‑reference to the location of the original information.Financial information should be submitted separately (detached) from all other information, as it will be forwarded to external experts for assessment. |

National Prequalification System application form

This template provides the information that Applicants must submit to the Department of Transport and Main Roads (TMR).

| Preliminaries |
| --- |
| a. | Application type | [ ]  New Application[ ]  Renewal[ ]  Upgrade |
| b. | Name of the company or entity (‘Applicant’) | Company or entity under which this application is being made and under which tenders will be submitted. |
| c. | Trading name | If different to company or entity. |
| d. | Type of entity | Public company, private company, incorporated joint venture or unincorporated joint venture. |
| e. | State where company registered |       |
| 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 |       | Mobile |       |
| o. | Contact for general enquiries | Name |       |
|  |  | Position |       |
|  |  | Email |       |
|  |  | Telephone |       | Mobile |       |
| p. | Approved for Traffic Management with TMR | [ ]  Yes [ ]  No |
|  |  | Certificate Number |       | Expiry Date |       |
| q. | List any membership(s) of industry associations |                 |
| r. | Category and Level applied for (Financial levels will be determined by the Participating Authority) | Roadworks | [ ]  R1 [ ]  R2 [ ]  R3 [ ]  R4 [ ]  R5 |
|  |  | Bridgeworks | [ ]  B1 [ ]  B2 [ ]  B3 [ ]  B4 |
|  |  | Asphalt | [ ]  A1 [ ]  A2 [ ]  A3 [ ]  A4 |
| s. | Number of years the Applicant has been under the current structure | Queensland | Nationally | Internationally |
|  |  |       |       |       |
| t. | Number of years the Applicant has been under the current ownership | Queensland | Nationally | Internationally |
|  |  |       |       |       |
| 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 above, been liquidated or entered into receivership, administration, scheme of arrangement, or creditors’ composition pursuant to the *Bankruptcy Act 1966*(Cth) or *Corporations Act 2001*(Cth)? | [ ]  No[ ]  Yes If yes, provide details. |
|  |  |       |
| w. | Have any of the proprietors, principals, directors, managers or secretaries of the Applicant, or any former business identified above (or their spouses) ever been bankrupt?  | [ ]  No[ ]  Yes If yes, provide details. |
|  |  |       |
| x. | Has the Applicant, over the last six years, had any convictions recorded against it or are there any current or pending proceedings, either in a Court of Law or in arbitration? | [ ]  No[ ]  Yes If yes, provide details. |
|  |  |       |

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| **Guide note:**New / recurring Applicants and applications for upgrades:In selecting the category(s) for which prequalification is sought, each new Applicant should carefully consider which particular category(s) best reflects its current capabilities. This step relies on the Applicant making a realistic self‑assessment of its ability to successfully deliver contracts involving the type of work described in each category.The prequalification categories are defined in *TIPDS Vol 3 – NPS Requirements*.Following this, the Applicant must ensure that its application clearly addresses the relevant criteria and clearly demonstrates the Applicant's capabilities for the prequalification category(s) selected. |

Submitting the application

In submitting this application for prequalification, we certify that the information in this application is true and correct and fully complies with the requirements in the TIPDS Volume 3 - Requirements and Application Form. We also acknowledge and agree to and hereby incorporate the ‘Terms and Conditions’ referred to in Sections 8.3, 8.7 and C4 (asphalt contractors only) of the National Prequalification System for Civil (Road and Bridge) Construction Contracts, Incorporating Asphalt Prequalification requirements.

Signed by the Applicant’s authorised representative as follows:

Signed: …………………………………………………….

Name: ………………………………………………………

Company Secretary / Director

Date: …………….…………………………………………

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

For lodgement instructions or more information, contact the Program Officer, TMR Contractor Prequalification, via email at contractorprequal@tmr.qld.gov.au

**Attachments and information required**

# Company experience

|  |
| --- |
| Guide note:All information provided should be relevant to the road and/or bridge and/or asphalt category sought. |

|  |
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| Years of experience |
| Provide details of the number of years of relevant experience the Applicant has had. Provide this information in the tabular format shown below. |
| 1. **As a head contractor for relevant projects.**
 | Queensland | Nationally | Internationally |
|  | Road |       |       |       |
|  | Bridge |       |       |       |
|  | Asphalt |       |       |       |
| 1. **As a subcontractor for relevant projects.**
 | Queensland | Nationally | Internationally |
|  | Road |       |       |       |
|  | Bridge |       |       |       |
|  | Asphalt |       |       |       |

## Current and completed projects

Provide details of relevant current projects (maximum 10) and completed projects (maximum 10) applicable to each category of prequalification sought, in a tabular format.

For projects involving combined roadworks, bridgeworks and asphalt works, details of the scope, value and timing of each of the road, bridge and asphalt components must be separately identified.

The following details are to be provided for each nominated project:

* photographs clearly demonstrating the Applicant’s role in the work
* client contact details
* location
* contract administrator / principal's representative / superintendent contact names and details
* description of project
* special features of project (if any), such as complex project management, traffic control, service relocations, construction method for various elements of work and so on
* conditions of contract (AS 2124, AS 4300, GC21 and so on)
* type of contract (lump sum, schedule of rates and so on)
* contract value at award
* start date
* date for practical completion
* original contract period (weeks)
* whether liquidated damages were applied (to completed projects)
* names of contractor’s key operational personnel employed on contract
* names of principal subcontractors contact name and details
* value of subcontracted work
* a detailed description outlining why this project is relevant to the prequalification category(s) applied for
* asphalt mix type and tonnage (where applicable)
* sample of plans, and
* referee details.

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| **Guide note:**1. For projects undertaken outside of Queensland, please provide details of the types of materials used in the construction of pavements.
2. Evidence of earlier relevant experience may also be submitted where the Applicant considers that such information may support its application.
 |

## Contract completion

If the Applicant, including any partner, principal, director or senior staff member has ever been associated with a contract that has failed to be completed, has been substantially reduced in scope, or renegotiated into a different contract type (for example, AS 2124 contract renegotiated into an alliance), provide details of the contract, the name of the individual or organisation and the reason for failure, scope reduction or renegotiation.

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## Warranty Deed (asphalt contractors only)

The Applicant agrees to enter into a Warranty Deed which is a mandatory requirement to apply for asphalt prequalification. Please refer to C4 of TIPDS Volume 3 for more information.

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

## Project management and contract‑related processes

Provide details of project management of relevant works contracts by demonstrating an understanding of the successful utilisation of project management principles. Include the names of referees to verify the effective application of systems to manage contract related processes. Refer to Table 1.5 and the Guide notes below for an outline of the department's expectations.

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

|  |
| --- |
|       |

Table 1.5 provides guidance on how this aspect of the prequalification application will be assessed for road and bridge prequalification categories.

***Table 1.5 – Project communication and relational management for road and bridge Applicants***

|  |  |
| --- | --- |
| Road / Bridge Prequalification Level | Assessment guidelines |
| 1 to 2 | Applicant has demonstrated adequate understanding of the importance of and sufficient capability to manage relevant interfaces listed in the contract‑related processes of the *Guide note* below. |
| 3 to 5 | Applicant has demonstrated a high standard of capability to proactively manage multiple and interactive interfaces listed in the contract‑related processes of the *Guide note* below, proactively provides stakeholders with timely and relevant project information, and has adequate control of them using documented procedures (including for incidents, monitoring and reporting) and integrated information systems capable of access by agreed third parties (for example, emergency Services) as warranted. |

|  |
| --- |
| **Guide note**:The focus is in addressing how the Applicant utilises project management principles rather than what systems are used. Information provided could include, but should not be limited to:* one or more project-specific project management plans and associated plans to demonstrate understanding of project management principles, as well as review, monitoring and control
* details of projects being within budget, on‑time, and to specification to demonstrate successful outcomes of project management principles
* procedures for selection, management and control of consultants, subcontractors and suppliers, including performance assessment.

For your information:Contract-related processes applicable to road, bridge and asphalt contracts undertaken for the department include:* project scheduling and programming
* project costing (distinguished between on‑site and off‑site activities)
* process controls and defined procedures for critical components of the works (for example, pavement construction, concreting activities)
* traffic and incident management procedures
* procurement systems, including engagement of subcontractors and suppliers:
	+ selection, management and control of subcontractors and suppliers and assessment of their performance, and
	+ security of payments for subcontractors and suppliers.
* document and record control - procedures and/or arrangements for maintenance of project and reference documents, and for establishing and maintaining all quality records (including their location, submission requirements and responsibilities).
 |

# Company resources and technical capacity

## Group and organisational structure

1. Provide a group structure diagram showing the relationship between the Applicant and any parent company and/or subsidiary companies (where relevant), plant and operations, including names of principals, directors and partners.

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

1. 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/or asphalt works 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.

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

|  |
| --- |
| **Guide note**:Applicants should:* provide a group structure diagram identifying where the Applicant organisation functions within the group, including parent, subsidiary, service and asset-holding companies where different from the Applicant organisation
* provide an organisation chart identifying key positions and reporting responsibilities, together with a summary of roles and responsibilities for key positions within the organisation
* outline its project team structure, and reporting responsibilities within the team and to management, with details of projects where the project team has operated successfully
* demonstrate that the personnel identified in the organisation chart as project personnel are available for contracts to be undertaken for the Participating Authority.
 |

## Total employees

In the table below, list the average number of all full‑time equivalent (FTE) employees located in Queensland, and also separately list those located in the rest of Australia, over the past 12 months, under each of these general categories:

|  | **Category** | Average No. FTE Employees |
| --- | --- | --- |
| Queensland | Rest of Australia |
| i. | management |       |       |
| ii. | administration |       |       |
| iii. | project managers |       |       |
| iv. | site engineers |       |       |
| v. | surveyors |       |       |
| vi. | supervisors |       |       |
| vii. | staff holding Advanced Worksite Traffic Management Certificates issued by a training provider accredited by the Participating Authority |       |       |
| viii. | staff holding Worksite Traffic Management Certificates issued by a training provider accredited or recognised by the Participating Authority |       |       |
| ix. | staff holding a current Traffic Controller's Certificate issued by a training provider accredited or recognised by the Participating Authority |       |       |
| x. | site staff (by trade classification) (provide details in rows below) |  |  |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |
|  |       |       |       |

## Senior management

Provide the names of directors and senior managers and a resume for each such person nominated. Refer to Section 2.4 for details that must be contained in each resume.

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |
|  |  |  |  |
| **Name** |  | **Position** |  |
| [ ]  Resume Attached (please select to confirm) |

## Key operational personnel

On the table below, provide the details of all key operational personnel permanently employed in Queensland, or employed elsewhere, and who are available and relevant to the application for prequalification, who are proposed for the following roles in relation to contract works to be undertaken for the Participating Authority. (Add extra rows as required to capture all relevant personnel.)

A current detailed resume for each person nominated is required to be submitted.

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

***The roles:***

* operational management
* quality management
* WHS management
* environmental management
* worksite traffic management
* project managers
* site engineers
* senior supervisors and contractor's representatives
* quality management representative
* foremen
* testing staff
* others (for example – surveyor, specialised plant operators – please specify)

***Resumes must include the following information:***

* current position and title
* current role / responsibilities
* evidence of qualifications (where qualifications are essential) (including date of qualification)
* evidence of licences held in Queensland
* time with the Applicant
* time in current role / position
* an indication of the extent of each person's involvement in activities that demonstrate capability in relevant projects, noting especially direct involvement in any of the Applicant's current or completed projects nominated in this submission
* clear identification of the scope of work involved in each project (that is, type of bridge, roadworks, asphalt works)
* other relevant training, including continuous professional development
* all dates for and details of previous (relevant) experience
* for managerial positions, examples of managerial performance for example, specific management initiatives or any significant awards achieved
* names of previous employers
* details of contactable referees from previous employment

|  |
| --- |
| Key operational personnel |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| Key operational personnel |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |
| **Name** |       | Position/Title |       |
| Current Role |       |
| Relevant Details |       | [ ]  Resume Attached (please select to confirm) |

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| **Guide note**:A. The following principles shall be considered in assessing the capability and experience of Applicants:1. Applicant organisations must have adequate experience and competence in the activities, specialties and complexities expected at the technical level for which prequalification is being sought.
2. Proven ability of key personnel to work together effectively as a team must also be demonstrated. It may not be sufficient to simply recruit staff with the appropriate experience.
3. Engineers with tertiary qualifications in the relevant disciplines must be included in the staff of Applicant organisations for on-site supervision and/or decision making when technical processes of a critical nature are underway (for example, foundations, pile driving, concrete pouring, prestressing of concrete).

For Level 1 (road and bridge) prequalification, consultant engineers may be used provided the Applicant is able to demonstrate these arrangements have been effectively used on previous projects.1. Experience requirements defined in the tables of requirements for the various levels of staff and for the various project levels are generally minimum requirements, subject to application of principle 5 below where warranted.
2. Individual members of the Applicant's managerial staff who do not have the nominated minimum length of experience on works for the relevant type, scale or complexity may be accepted provided that:
	1. the total length of experience of the overall managerial team satisfies the intent of the various requirements, and
	2. the Applicant has adequate measures in place to compensate for any shortcomings on the part of individual members of the managerial team, and
	3. critical requirements (for example, those for plant operators) are satisfied.
3. These criteria apply in the same manner as defined above to staff engaged by an Applicant for a particular project, function, or work activity, and for managerial staff of nominated subcontractors and specialised suppliers.

B. When tendering for departmental infrastructure contracts, the availability of Key Personnel is critically important.Prequalification checks are conducted on the preferred tenderer prior to awarding an infrastructure contract, to confirm its current prequalification levels, and current financial and technical capabilities. This is known as a P‑Schedule check, with Schedule P5 listing mandatory key personnel required for the contract and the proposed time commitment for each person.It is critical that any Key Personnel who have been assessed as part of the Prequalification Application are (within reason) available when projects are tendered, and not substituted by alternative personnel who have not been previously assessed by the department. Staff turnover is a normal part of any organisation's business, however changes in Key Personnel should generally be advised to the department as soon as they occur, and not be discovered during P‑Schedule checks when a contract is ready to be awarded.The department has identified a correlation between poor performance on contracts and multiple iterations to obtain acceptable P‑Schedule P5. Poor performance in retaining capable, adequately qualified and experienced staff will be closely monitored and may have a bearing on the awarding of future work.Should multiple P‑Schedule checks be required due to the Tenderer resubmitting information that does not satisfy the minimum requirements of the tender documents, then this will be regarded as a serious performance breach and may result in suspension of prequalification and a recommendation to the Tender Manager that the contract not be awarded to that Tenderer. |

## Management of consultants, subcontractors and suppliers

1. Provide details of the Applicant's approach to selecting and managing its consultants, subcontractors and suppliers, including example subcontract agreements and how the Applicant ensures fair dealings.

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| **Guide note:**Information could include, but should not be limited to:* organisational policies
* communication plans
* outcomes of meetings, workshops and surveys
* examples of the form of subcontract used and/or details of any alliance arrangements.
 |

1. Provide details of how, and to what extent, the Applicant would typically utilise consultants, subcontractors and suppliers.

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| **Guide note:**The extent of use of consultants, subcontractors and suppliers will influence the level of project management required on the part of the contractor to effectively manage the contracted works.The Applicant could consider the individual work components which make up a typically appropriate contract(s) and describe briefly whether each component is typically carried out by consultants, direct labour force or by subcontract. |

Provide the name and contact details of at least two referees who can provide a reference regarding the Applicant's management of consultants, subcontractors and suppliers.

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| Referee 1 |       |
| Referee 2 |       |

## Human resources / industrial relations management

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

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| **Guide note:**Documentary evidence could include, but should not be limited to:* policy on human resource management
* statistics and details on industrial disputes
* availability of training programs / professional development for staff
* human resources management manuals and procedures
* policy on equal opportunity
* management of apprentices and trainees to meet the requirements of the *Queensland Government Building and Construction Training Policy*(Training Policy).
* Note: if an Applicant for Level 1 of road, bridge or asphalt prequalification has not yet implemented the Training Policy on any project, then its application needs to include evidence of its knowledge and understanding of the requirements of the policy (for example, internal or external training sessions, format of intended compliance plans, and so on). If a prequalification entitlement is approved, a condition will be that the Training Policy requirements are met on the first project completed after attaining that entitlement.
 |

## Plant and equipment - general

1. Provide details of the methodology and sources proposed for the supply of plant and equipment to meet the Participating Authority's requirements and identify the principal sources of supply.
2. Provide details of the major plant / equipment owned by the Applicant or an associated company, listing all attachments.

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1. Provide a copy of the Applicant’s policy / procedures for sourcing / managing subcontract for plant and equipment.

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|  | [ ]  Attached (select to confirm) |

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| **Guide note:**Evidence could include, but should not be limited to:* approach to the use of external supply for its plant and equipment (if applicable)
* approach to subcontractors or alliances for providing plant and equipment (if applicable).

It is important that the Applicant demonstrates how it proposes to resource the participating Authority's contracts. |

## Asphalt works plant and equipment

1. Provide details of relevant asphalt paving plant in tabular format, including:
	1. paver type (including key characteristics, minimum / maximum widths and level control type(s)
	2. pneumatic-tyred rollers
	3. vibratory rollers
	4. other equipment (for example, surface preparation equipment, tack coating spray equipment, asphalt delivery vehicle, materials transfer device, special purpose rollers, and so on).

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|  | [ ]  Attached (select to confirm) |

1. Provide details of relevant testing laboratory(ies) including evidence of NATA accreditation and departmental Construction Materials Testing (CMT) registration for the relevant tests.

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|  | [ ]  Attached (select to confirm) |

1. For Applications for prequalification at Asphalt category A3 or A4, provide details of relevant asphalt manufacturing plant in tabular format, including:
	1. plant location
	2. plant type (for example, drum, bath / fixed or mobile)
	3. output (t / hr)
	4. fines return type (for example, baghouse)
	5. departmental Registered Mix Design Code Numbers (where applicable)
	6. Environmental Protection Agency (EPA) or Local Government Authority (LGA) conditions.

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|  | [ ]  Attached (select to confirm) |

# Management systems

## Evidence of implemented systems and certifications

Applicants must demonstrate that they have in place management systems, defined procedures and project-related processes appropriate to meeting the mandatory requirements applicable to each prequalification category being applied for. Additionally, Applicants must provide evidence that the systems have been effectively used on road and/or bridge and/or asphalt construction projects.

Where the Applicant has a range of separately documented management systems for different functions of its enterprise, or for different obligations, it is expected to supply information which demonstrates the interfaces between the various management systems at both corporate and project levels, and of any integration of the systems.

The requirements of NPS Requirements – Appendix B (road and bridge), and Appendix C (asphalt) are minimum requirements. This section details additional components required in the management systems.

Applicants must attach a copy of the Certificate (from a JAS‑ANZ accredited conformity assessment body, for categories other than R1 / B1 and A1 where relevant), Scope of Certification and any attached Schedules which demonstrate that the Applicant has the nominated systems in place. If the Applicant is accredited with the Office of the Federal Safety Commissioner, evidence of this accreditation must be attached.

The scope on the certificates must specifically refer to construction of roads and/or bridges and/or asphalt-related works. General reference to civil engineering, civil projects, departmental works is not acceptable.

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| Current Third‑Party Certification (please select to confirm) |
| Quality management certificate  | [ ]  No | [ ]  Yes | [ ]  Attached |
| Occupational health & safety management certificate (OHS) | [ ]  No | [ ]  Yes | [ ]  Attached |
| Environmental management certificate  | [ ]  No | [ ]  Yes | [ ]  Attached |
| Accredited with the Office of the Federal Safety Commissioner | [ ]  No | [ ]  Yes | [ ]  Attached |

If Applicant is not third‑party certified, provide an outline of current management systems in place.

Email contractorprequal@tmr.qld.gov.au to obtain a copy of the *NPS Checklist* which must be completed.

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For category A1 prequalification where the Applicant is not third‑party certified, written confirmation must be provided from an independent auditor (accredited by JAS‑ANZ to the relevant standard) that:

1. the quality management system is based on AS/NZS ISO 9001 and has been implemented within the organisation
2. the occupational health and safety management system is based on AS/NZS 4801 or ISO 45001 and has been implemented within the organisation
3. the environmental management system is based on AS/NZS ISO 14001 and has been implemented within the organisation.

[ ]  Attached (select to confirm)

## Utilisation of Quality Management Systems (QMS)

### All prequalification categories

Provide evidence of a system in place, including attaching the documents listed below:

|  |  |
| --- | --- |
| * Signed copy of Applicant's Corporate Quality Policy
 | [ ]  Attached (select to confirm) |
| * Sample / example Quality Plan
 | [ ]  Attached (select to confirm) |
| * Sample / example Inspection and Test Plan
 | [ ]  Attached (select to confirm) |

### Categories R2 / B2 and above, and all asphalt prequalification categories:

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

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| **Guide note:**Evidence of utilisation of the QMS on relevant projects could include, but should not be limited to:* audit reports
* sample / example corrective action requests actioned
* project‑specific Asphalt Quality Plans
* inspection and test plans which incorporate compliance records (for example, copies of charts and/or reports used by the Applicant for analysis of test results, trends and variability for assessment of compliance of asphalt (product and/or pavement)), including evidence of recent use of the above in asphalt paving projects relevant to the application
* where the Applicant undertakes subcontract work, details of how its QMS is coordinated with the management systems of contractors and other subcontractors for projects on which it has been engaged
* risk management methodology, specific monitoring and evaluation arrangements in place to deliver new asphalt products using specialised materials
* compliance plans and Practical Completion compliance reports submitted in accordance with the Training Policy, where applicable.
 |

1. Provide evidence of the overall performance of the Applicant's QMS.

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| **Guide note:**The evidence could include, but should not be limited to:* a general overview of how the QMS has performed and improved over the last five years
* minutes of management meetings reviewing the QMS
* reference to audit reports where positive comments have been made about the overall improvement of the system from previous audits
* number of non-conformances identified by the Applicant through its QMS.
 |

### Categories R2 / B2 and above, and asphalt categories, except asphalt category A1 in circumstances where QMS certification is not in place

1. Provide copies of the reports of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports, including all comments, must be provided.

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|  | [ ]  Attached (select to confirm) |

1. If the Applicant has received, over the last three years, any major non‑conformances from its certifying body in relation to its QMS, 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.

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| [ ]  Nil received |

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

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| Important noteThe Australian Government Building and Construction WHS Accreditation Scheme (the Scheme) and the implications for undertaking contracts for the Participating Authority.The Scheme applies to contracts that are indirectly funded by the Australian Government, where its contribution is at least $5 million and represents at least 50% of the total construction value; or where its contribution is $10 million or more, irrespective of the proportion of Australian Government funding.A successful tenderer must be accredited under the Scheme at the time of tender award for building work and maintain accreditation under the Scheme while the building work is being carried out. Please note that the Participating Authority may require evidence of this accreditation to be provided earlier than this, for example, at close of tenders.Further detailed information about the Scheme may be obtained from the Federal Safety Commissioner website at [*www.fsc.gov.au*](http://www.fsc.gov.au). |

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| **Guide note:**Applicants should supply summary information which enables assessment of the suitability of their WHS management systems for meeting their obligations under the *Work Health & Safety Act* and Regulation (2011) and subsequent amendments and regulations.Applicants that are accredited with the Office of the Federal Safety Commissioner under the Australian Government's Building and Construction WHS Accreditation Scheme are not required to complete this section 3.3. |

### All prequalification categories

Provide evidence of a system in place, including attaching the documents listed below:

|  |  |
| --- | --- |
| * Signed copy of Applicant's Corporate WHS Policy
 | [ ]  Attached (select to confirm) |
| * Sample / example WHS Plan
 | [ ]  Attached (select to confirm) |

### Categories R2 / B2 and above, and all asphalt prequalification categories:

1. Provide evidence of utilisation of the WHS management system on relevant projects.

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| **Guide note:**Evidence of successful use of the WHS management system on relevant projects could include, but should not be limited to:* audit reports
* sample / example of previous on-site induction process
* list of relevant projects on which the system has been effectively deployed
* nominated key personnel responsible for safety, including roles and responsibilities
* site-specific safety plans which have been updated during projects and which include evidence of use
* record of site inductions, risk and hazard identification for safety issues, and evidence of processes for monitoring and review of performance
* where the Applicant undertakes subcontract work, details of how its WHS management system is coordinated with the management systems of contractors and other subcontractors for projects on which it has been engaged.
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1. Provide evidence of the overall performance of the Applicant's WHS management system.

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| **Guide note:**The evidence could include, but should not be limited to:* a general overview of how the Applicant's system has performed and improved over the last five years
* reference can be made to audit reports where positive comments have been made about the overall improvement of the system since previous audits
* documentation supporting a reduction in Lost Time Injury Frequency Rate and workers compensation claims over an extended period, and any successful management initiatives, including details of outcomes.
 |

1. If the Applicant has ever been issued with any Improvement Notices or Infringement Notices from a regulatory body, provide details. Details of any Improvement Notices issued to the Applicant should be complete and unedited.

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|       | [ ]  Attached (select to confirm) |
| OR |
| [ ]  Nil received |

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

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

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### Categories R2 / B2 and above, and asphalt categories, except asphalt category A1 in circumstances where WHS management system certification is not in place

1. Provide copies of the reports of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports, including all comments, must be provided.

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|  | [ ]  Attached (select to confirm) |

1. If the Applicant has received, over the last three years, any major non-conformances from its certifying body in relation to its WHS management system, 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.

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|       | [ ]  Attached (select to confirm) |
| OR |
| [ ]  Nil received |

## Utilisation of Environmental Management Systems (EMS)

### Environmental management assessment table

The requirements of the following table apply:

| Prequalification Level | Minimum Environmental Management requirements application to prior projects |
| --- | --- |
| Road / Bridge1 to 3 | Knowledge of and technical capability to satisfy Department of Environment and Heritage Protection (DEHP) requirements for road / bridge construction.A thorough understanding and capability to apply the department’s standard specification and technical standard ‘Environmental Management’ (MRS51 and MRTS51).Documented environmental management system which addresses (as a minimum) risk assessment, planning, implementation and control, measurement and evaluation, and review processes and applies best practice environmental management.Environmental Management System (EMS) established along the lines of AS/NZS ISO 14001 Environmental Management Systems and in accordance with all requirements and obligations defined in the Environmental Protection Act *1994* (Qld).  |
| Road / Bridge4 to 5 | As for Level 1 to 3 except Certification of EMS to AS/NZS ISO 14001.A copy of current certificate with accompanying schedules detailing the scope of the certification is required with prequalification application. |
| Asphalt - A1 | Written confirmation from an independent auditor (accredited by JAS‑ANZ to the relevant standard) that the EMS is based on ISO 14001 and has been implemented within the organisation.ORThird‑party certified to AS/NZS ISO 14001 |
| Asphalt – A2, A3, A4 | EMS third‑party certified to AS/NZS ISO 14001 |

### All prequalification categories

Provide evidence of a system in place, including attaching the documents listed below:

|  |  |
| --- | --- |
| * Signed copy of Applicant's Corporate Environmental Management Policy
 | [ ]  Attached (select to confirm) |
| * Sample / example Environmental Management Plan
 | [ ]  Attached (select to confirm) |

### Categories R2 / B2 and above, and all asphalt prequalification categories:

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

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| **Guide note:**Evidence of the successful use of the EMS on relevant projects could include, but should not be limited to:* audit reports
* risk assessments
* list of relevant projects on which the system has been effectively deployed
* process management plans which have been updated during projects and which include evidence of use
* risk and hazard identification for environmental issues, including evidence of processes for monitoring and review of performance
* where the Applicant undertakes subcontract work, details of how its EMS is coordinated with the management systems of contractors and other subcontractors for projects on which it has been engaged.
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1. Provide evidence indicating the Applicant's overall performance in environmental management.

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| **Guide note:**The evidence could include, but should not be limited to:* examples of good management practices in projects where environmental issues were present, showing how they were dealt with to manage, mitigate or eliminate the issues
* copies of previous project environmental risk assessments
* reports from client audits evidencing effective implementation of management systems.
 |

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

The details of any breaches (that is, notices of incidents breaching environmental standards or requirements) must be complete and unedited.

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| OR |
| [ ]  Nil received |

### Categories R2 / B2 and above, and asphalt categories, except asphalt category A1 in circumstances where EMS certification is not in place

1. Provide copies of the reports of the last two compliance audits undertaken by the Applicant's certifying body. Complete reports, including all comments, must be provided.

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|  | [ ]  Attached (select to confirm) |

1. If the Applicant has received, over the last three years, any major non‑conformances from its certifying body in relation to its EMS, 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.

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|       | [ ]  Attached (select to confirm) |
| OR |
| [ ]  Nil received |

## Traffic management

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

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|  | Policy  | [ ]  Attached (select to confirm)  |
|  | Procedures  | [ ]  Attached (select to confirm) |

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

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| **Guide note:**Worksite traffic management policies and procedures should be in accordance with the Participating Authority’s requirements. Applicants seeking prequalification for higher categories should have in place procedures for complex site traffic management which would include high traffic flows, staging, major detours and temporary roads. Procedures should address the safety of all road users, including pedestrians, cyclists, and other vulnerable road user groups.Evidence of successful use of the traffic management procedures on relevant projects could include, but should not be limited to:* audit reports
* sample of previous on-site induction process
* list of relevant projects on which the system has been effectively deployed
* nominated key personnel responsible for safety, including roles and responsibilities.

If the Applicant may or will not always directly control the management of traffic, then the Applicant needs to include in its procedures how it plans to subcontract the management of traffic to department‑registered traffic management companies. |

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

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| **Guide note:**Details could include, but should not be limited to traffic-related accidents associated with the works (vehicular accidents, accidents involving cyclists, pedestrians, and any other user group).Information relating to any insurance claims or legal action must be provided. |

1. Provide a minimum of three most recent Traffic Management Plans applicable to the level of prequalification sought. How effective were they? Were there any traffic-related accidents?

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| Traffic Management Plans (at least three most recent) | [ ]  Attached (select to confirm)  |
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| **Guide note:**Information provided could include, but should not be limited to:* plans showing a variety of appropriate worksite scenarios (for example, a high‑level prequalification category would require demonstration of detailed management plans for complex worksite traffic management involving high traffic flows, staging major detours and temporary roads)
* details of consultation undertaken in relation to the traffic management planning
* procedures for monitoring and measuring of Traffic Management Plans.
 |

1. If the Applicant has ever received a complaint by any previous client in relation to inadequate worksite traffic management, provide details. Unedited details of complaints and their outcomes must be included if they have occurred.

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| **For Information Only****Questions not applicable to Queensland prequalification applications*** Provide evidence that at least one of the Applicant's employees with overall responsibility for construction operations holds an Advanced Worksite Traffic Management Certificate, and approximately one half of the Applicant's project managers nominated to work on contracts for the Participating Authority, hold Worksite Traffic Management Certificates or an equivalent qualification, issued by an accredited training provider.
* Provide evidence that the Applicant's policy and training program requires:
	+ each of the Applicant's employees, who are or can be directly in charge of operations on site (for example, project managers, supervisors and foremen), to hold, as a minimum, a Worksite Traffic Management Certificate issued by an accredited training provider
	+ each person controlling traffic on ta worksite to hold a Traffic Controller's Certificate issued by an accredited training provider.
 |

## Partnering / relationship management

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

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|  | [ ]  Attached (select to confirm) |

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

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

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| **Guide note:**Evidence could include, but should not be limited to:* communication plans based on strong relationship management principles, including interfaces with the following:
	+ principal
	+ principal's representative
	+ superintendent
	+ consultants
	+ major subcontractors
	+ other subcontractors
	+ suppliers.
* communication strategies and systems for managing the impact of road / bridge / asphalt works on existing services and dealing with statutory, regulatory and utility services authorities, including evidence of current knowledge about relevant legislation and permits (for example IPA, ERA requirements):
	+ state government agencies
	+ local government
	+ water and sewerage services
	+ telecommunications
	+ electricity, gas and so on.
* outcomes of partnering meetings / workshops / surveys.
 |

## Community / stakeholder engagement

**Categories R2 / B2 and above, and all asphalt prequalification categories:**

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

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|  | [ ]  Attached (select to confirm) |

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

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| **Guide note:**Evidence could include, but should not be limited to:* copies of relevant previous project community / stakeholder engagement plans
* a list of typical activities undertaken during a project, for example, leaflet drops, involvement in public information sessions / presentations, dedicated community engagement personnel as well as evaluation (for example, surveys)
* communication strategies for interfacing with, but not limited to, the following:
	+ adjacent landowners
	+ local community
	+ cultural heritage and environmental stakeholder groups
	+ road users
	+ emergency services
	+ media
	+ local government
	+ service providers.
* An Applicant wishing to obtain a high level of prequalification category should be able to demonstrate greater detail and involvement.
 |

1. If the Applicant has ever received a complaint by any previous client in relation to poor management of community / stakeholder engagement, provide details. Details of any complaint must be complete and unedited.

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| **Guide note:**Details could include, but should not be limited to:* location
* dates
* client
* nature of the complaint
* initiator of the complaint (for example, resident, pedestrian and so on)
* total number of the same type of complaint
* how the complaint was handled, how the problem was managed to ensure it was minimised, mitigated or eliminated so that it may not arise again on that project or future projects.
 |

## Referees

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

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| Referee 1 | Name |       |
| Position |       |
| Role during contract |       |
| Company |       |
| Contract |       |
| Telephone |       |
| Contact details (email) |       |
| Referee 2 | Name |       |
| Position |       |
| Role during contract |       |
| Company |       |
| Contract |       |
| Telephone |       |
| Contact details (email) |       |
| Referee 3 | Name |       |
| Position |       |
| Role during contract |       |
| Company |       |
| Contract |       |
| Telephone |       |
| Contact details (email) |       |
| Referee 4 | Name |       |
| Position |       |
| Role during contract |       |
| Company |       |
| Contract |       |
| Telephone |       |
| Contact details (email) |       |
| Referee 5 | Name |       |
| Position |       |
| Role during contract |       |
| Company |       |
| Contract |       |
| Phone |       |
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| **Guide note:**Documentary evidence may be provided. However, the Applicant must ensure that its use for the purposes of an application for prequalification is permitted by the owner of the subject documents.Evidence to support the Applicant's overall suitability for prequalification can include reports references or referees.It is necessary that the application includes advice that the referees or the originators of any reports and references have given permission for the Participating Authority to contract them for comment on the Applicant's overall performance. |

# Financial capacity

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| **Guide Note:**Applicants must separate all financial information and documentation from the rest of the submission as these will be provided to external experts for assessment. |

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| **General instructions:**The information submitted pursuant to this section shall remain confidential.The Applicant’s financial information must be audited by a suitably qualified accountant\*.If the financial information is not audited, then a Compilation Report from a suitably qualified accountant should be provided. The signed Audit Report or Compilation Report, which must include the full name, qualifications, company and signature of the accountant, must be included with the financial information.The cost of the initial financial assessment will be borne by the assessing authority. However, at the assessing authority’s discretion, the Applicant may be requested to cover the cost of any additional or follow-up assessments, including assessments in support of a prequalified contractor’s request for an upgrade of financial levels during the prequalification period.\*Note: A suitably qualified accountant is an accountant who is qualified as a Certified Practising Accountant, Chartered Accountant or Professional National Accountant within the Australian accounting profession. |

## Requirements for different types of applicants

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.

The information below is additional to that provided in *TIPDS Vol 3 - NPS Requirements.* For entities not described below, refer to *TIPDS Vol 3 - NPS Requirements* for application information.

**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 seeking prequalification will be assessed in its own right, based on its individual financial statements and any additional information that may be requested.

If the Applicant is a subsidiary company, it may be requested to submit audited financial statements for the parent company for assessment. Where the parent company is unable to provide the required financial information and undertakings, the subsidiary will be assessed in its own right. The department may also require a departmental Deed of Guarantee which must be executed by the parent company.

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

**Joint ventures**

Both parties to the joint venture (JV) must be prequalified before seeking prequalification as a JV. An incorporated JV will be assessed as a legal entity in its own right. To seek prequalification status as an unincorporated JV, the Applicant must contact the Program Officer, the department's Contractor Prequalification, via email at contractorprequal@tmr.qld.gov.au.

## Information to be submitted for financial assessments

### Basic information

All items, (a) to (p), of the table below are to be submitted with all applications, for the entity seeking prequalification. The ABN of the entity seeking prequalification MUST match the ABN on the financial accounts.

| Documentation | **Please Select** |
| --- | --- |
|  | Group structure. Is there a Holding company or Parent? Provide a Group Structure Diagram indicating relationships between group entities. | [ ]  Not Applicable (Not part of a Group) | [ ]  Attached |
|  | Audited annual report / financial statements for the last three years. (Refer Section 4.2.2) | [ ]  Not Applicable(Section 4.2.2 applies) | [ ]  Attached |
|  | Management accounts that are no older than two months prior to the lodgement of the application. (For example, if the application is lodged in June 2019, these accounts must be a at April 2019). | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of creditors and the aging, as at the same date of (c) above  | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of debtors and the aging, as at the same date of (c) above | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of any debt facilities (type, amount, term, repayment arrangements, security details), including any undrawn credit lines. | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of any loans to and from other entities within the Group structure. | [ ]  Not Applicable (Not part of a Group) | [ ]  Attached |
|  | Details of any encumbrances over business assets. | [ ]  Nil encumbrances | [ ]  Attached |
|  | Details of any contingent liabilities, including guarantees provided. | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of any financial covenants by which the business must adhere for any loan facilities. | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of any current or pending legal action against the directors or company. | [ ]  Nil to report | [ ]  Attached |
|  | Availability of guarantees (financial or performance). This includes any cross guarantees that may apply between group entities. | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of key management positions (name, position held, qualifications, experience). | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Governance practices, including details of accounting policies and controls, budget preparation processes, internal financial skills and qualifications, internal financial management reporting and review processes. | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of current Work in Progress  | [ ]  Not Attached(Provide reasons) | [ ]  Attached |
|  | Details of any other information that has the potential to materially affect the financial position of the entity. | [ ]  Nil to report | [ ]  Attached  |

### Entities not required to be audited

If the Applicant is an entity of a type that is not required to be audited, the following information replaces item b) in the table above:

| Documentation | **Please Select** |
| --- | --- |
| a) | Signed Statutory Financial Statements | [ ]  Attached |
| b) | Signed Director's Report | [ ]  Attached |
| c) | Signed Director's Declaration | [ ]  Attached |
| d) | Signed Compilation Report from the qualified accountant who prepared the financial statements | [ ]  Attached |

### Cash flow

For the entity seeking prequalification, the following information is to be submitted with all applications:

| Documentation | **Please Select** |
| --- | --- |
| a) | Details of cash flow performance for the current financial year and the previous three financial years. | [ ]  Attached |
| b) | Cash flow budget for the next 12 months, including the details of all assumptions used, clearly defining the expected source and timing of:* 1. Inflows (receipts from billing)
	2. Outflows (labour costs, material costs, equipment costs, and so on)
 | [ ]  Attached |

### Capacity to borrow – current bank facilities

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

|  |
| --- |
|       |

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

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

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

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

|  |
| --- |
| 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) | $ | $ | $ |

### Additional information

The Applicant will be asked to provide additional information to support the assessment. The financial assessor may also source relevant information from publicly available sources (for example, Dun and Bradstreet and/or IBIS World reports and ratings, ASIC and the Australian Business Register.

# Ethical Supplier Threshold

Please fill the attachment to complete required details to fulfil Ethical Supplier Threshold.

|  |  |
| --- | --- |
|  | [ ]  Attached (select to confirm) |

|  |
| --- |
| It is a mandatory criterion that the Applicant must comply with the Ethical Supplier Threshold (Threshold). Please provide the following details. From 1 August 2019, has the Applicant: |
|  | Contravened a civil remedy provision of Chapter 2 or Chapter 3 of the *Fair Work Act 2009* (Cth), or committed an offence against the Fair Work Act? | Yes [ ] No [ ]  |
|  | Contravened a civil remedy provision of Chapters 2, 3, 4, 5, or 7 of the *Industrial Relations Act 2016* (Qld), or committed an offence against the Industrial Relations Act, or failed to pay employment related levies, or other payments, established under the Industrial Relations Act? | Yes [ ] No [ ]  |
|  | Failed to make superannuation contributions on behalf of employees in accordance with law? | Yes [ ] No [ ]  |
|  | Purported to treat employees as independent contractors, where they are not? | Yes [ ] No [ ]  |
|  | Required persons who would otherwise be employees to provide an Australian Business Number so that they could be treated as independent contractors? | Yes [ ] No [ ]  |
|  | Engaged persons on unpaid work trials or an unpaid intern, where they should be treated as employees? | Yes [ ] No [ ]  |
|  | Entered into an arrangement for the provision of labour hire services with a person who is not licensed under the *Labour Hire Licensing Act 2017*(Qld), or a supplier who is an unlicensed provider under the Act? | Yes [ ] No [ ]  |
|  | Paid employee's wages below those provided for in an applicable modern award? | Yes [ ] No [ ]  |
| If the response to any of the question above is ‘yes’, please provide details and confirm if the issue has now been resolved. |
| I confirm the response to the above questions is true and is to the best of my knowledge.I understand this application for prequalification submission may be rejected and the Applicant's prequalification status may be affected if I supply incorrect and/or misleading information. |
| Name | Position | Signature | Date |
|  |  |  |  |

|  |
| --- |
| Applicants should note the following: |
|  | Compliance with the Threshold is mandatory in order to be considered for any invitation processes. Failing to comply with the requirements of the Threshold is a substantial breach of the Contract. |
|  | If the response to any of the questions above is ‘yes’ and without valid justification to the satisfaction of the Principal, the application for prequalification may be deemed as non‑conforming. |
|  | The Principal reserves the right to obtain information about the Applicant relevant to the evaluation criteria that may be held by any Government Department or Instrumentality and take the information into account in assessing the application. |
|  | If the Principal identifies an Applicant that does not comply with the Threshold, the Principal will advise the Department of Housing and Public Works' Queensland Procurement Policy Compliance Unit. |
|  | Once the prequalification is awarded, the Applicant is required to comply with the Threshold during the prequalified term. The Principal reserves the right to give a show cause notice if the Principal reasonably suspects the prequalified company is not complying with the Threshold. |

**Definitions**

|  |
| --- |
| Ethical Supplier Threshold - means the Ethical Supplier Threshold in paragraph 2.3 of the Queensland Procurement Policy as published on the Department of Housing and Public Works’ website: [www.hpw.qld.gov.au](http://www.hpw.qld.gov.au) |
| Government Department or Instrumentality - means any governmental regulator, including Work Health Safety Queensland, the Queensland Building and Construction Commission, the Fair Work Commission and the Australian Building and Construction Commission. |

Relevant information inserted in this document by the Applicant is to be treated as Personal Information EXCEPT THAT the Principal may disclose the Applicant's contact information to suitable third‑parties without further notice to the Applicant.