



Austroads

National Prequalification System for Civil
(Road and Bridge) Construction

NPS APPLICATION FORM

*[Authority to modify cover, fonts, headers and footers
to suit corporate branding requirements]*

Introduction

Background

Austrroads has developed the **National Prequalification System (NPS) for the Construction of Roadworks and Bridgeworks** to create a nationally harmonised prequalification framework for the delivery of these projects.

Companies wishing to submit tenders for the construction of roadworks and bridgeworks must be prequalified under the NPS as follows:

- Applicants wishing to apply for prequalification with *[insert agency name]* must fill out this Application Form, attach the information requested and submit the form in accordance with the following instructions.
- Applicants that are prequalified with another Participating Authority and are seeking recognition with *[insert agency name]* should not complete this Application Form, but should apply for recognition using the following Registration Form: *[insert link]*

This Application Form should be read and filled out with reference to the National Prequalification System Requirements *[insert link to agency Requirements Document]* which provides additional relevant information.

All information provided must be relevant to the prequalification category or categories being sought. In selecting the category (s) for which prequalification is sought, the Applicant should carefully consider which particular category(s) best reflects its current capabilities.

Once prequalified, *[insert details / internet details about the publication of company prequalification status here]*

It is Applicant's responsibility to ensure that the contact details provided to *[insert agency name]* are up to date.

Instructions

Prepare, sign and scan a covering letter on company letterhead which includes the following paragraph:

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 Guidelines and Application Form. We also acknowledge and agree to and hereby incorporate the 'Terms and Conditions' referred to in Section 8 of the NPS Prequalification Requirements and provide the undertakings detailed in Section 8.7 of the NPS Prequalification Requirements.

Complete this NPS Application Form and save (without these instruction pages) as a .docx file, as well as a .pdf file. Do not fill out the table cells with background shading.

Create attachments files which include the detailed supporting information. The names of the attachment files must clearly indicate the applicable section numbers of this application that are addressed in that file (for example: 3.4 Traffic Management).

The attachment files must be .pdf format; do not submit .jpg or other file formats. You may submit a single file to address each requirement individually (eg one file for an example Quality Plan) or files may be combined (eg one file covering all Management Policies, Procedures and Plans). However, the size of an individual file should not exceed 100 Mb if possible.

The submission must include:

- The covering letter (.pdf file)
- This Application Form (.docx file)
- Attachments (.pdf files)

The submission must be forwarded to *[insert agency name]* as follows:

[insert details of how to submit the application here]

Do not submit a hard copy.

Applicants must nominate an authorised person as a single point of contact on the application for the business seeking to become prequalified. The authorised person must be capable of acting on behalf of the business to provide all information required for the application including financial information.

Enquiries may be directed to *[insert details here]*

National Prequalification System Application Form

Section 0 - Preliminaries

Company Structure and Ownership	
Applicant's Registered Company Name:	
Trading name (if different to above):	
Legal status of business (incorporated company, sole proprietorship, partnership, trust etc): <i>Note: refer to Section 3 of the [insert name of agency Requirements Document] for details of eligible companies.</i>	
State of registration of company:	
ABN:	
ACN or ARBN:	
Business Contact Details (Registered Office)	
Address of registered office:	
Phone No:	
E-mail address:	
Website:	
Contact Person for prequalification enquiries	
Name:	
Title:	
Mobile Phone No:	
E-mail address:	
Prequalification Level Applied For:	
Roadworks	<i>Insert here either NA, R1, R2, R3, R4, R5</i>
Bridgeworks	<i>insert here either NA, B1, B2, B3, B4</i>
Current level of prequalification (if applicable)	
Roadworks	<i>Insert here either NA, R1, R2, R3, R4, R5</i>
Bridgeworks	<i>insert here either NA, B1, B2, B3, B4</i>
Has the Applicant applied for prequalification with another participating agency with the previous 3 years? If so, provide details: <i>Note: refer to Section 1.3 of the [insert name of agency Requirements Document].</i>	<i>Insert Yes or No. If yes, insert details here.</i>
<i>[Insert any agency specific requirements to address local legislation or government polices here; eg licences, WHS insurance]</i>	

Company Profile and Stability	
Membership of industry associations:	<i>List relevant memberships here.</i>
Years under current structure	
Local state/territory:	
Nationally (if applicable):	
Internationally (if applicable):	
Years under current ownership	
Local state/territory:	
Nationally (if applicable):	
Internationally (if applicable):	
In the last seven years, has the Applicant traded under a different business name or been subject to a significant corporate restructure?	<i>Insert Yes or No. If yes, insert further information here, including details of former business names and any corporate restructure.</i>
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 or Corporations Law?	<i>Insert Yes or No. If yes, insert details here.</i>
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?	<i>Insert Yes or No. If yes, insert details here.</i>
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?	<i>Insert Yes or No. If yes, insert details here.</i>

Section 1 – Company Experience

1.1 Years of Experience	
As a head contractor for relevant projects.	
Local state/territory:	
Nationally (if applicable):	
Internationally (if applicable):	
As a subcontractor for relevant projects.	
Local state/territory:	
Nationally (if applicable):	
Internationally (if applicable):	
1.2 Project Experience	
Provide details of roadworks and/or bridgeworks projects under construction or completed by the Applicant:	<i>Complete Table 1.2 following and attach file(s) providing details of each project.</i>
1.3 Demonstrated Performance	
a) Has the Applicant (or associated company) ever failed to complete a contract?	<i>Insert Yes or No. If yes, insert here a description of the circumstances leading to the non-completion of the contract and whether the work was completed by another contractor.</i>
b) Successful utilisation of project management principles.	<i>Attach:</i> <ul style="list-style-type: none"> • <i>Relevant corporate policies / procedures; and / or</i> • <i>A description of how the Applicant utilises project management principles</i>

Table 1.2 - Summary of Project Experience

Project No.	Project Name	Start Date	Scheduled or Actual Date of Practical Completion	Location	Client	Prequalification Category assigned to the project by the Client ⁽¹⁾	Contract Form ⁽²⁾	Contract Type ⁽³⁾	Value of Roadworks Component (excluding GST)	Value of Bridgeworks Component (excluding GST)	Total Contract Value (excluding GST)
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
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16											
17											
18											
19											
20											

Instructions

Insert projects in descending order of Completion Date (either scheduled or actual) in Table 1.2 above. Up to 10 current (i.e. incomplete) and 10 completed projects may be submitted.

The following additional information must be submitted for each project in an attached file or files (.pdf):

- a) An overview of the project and details of each element of construction (eg extent of earthworks, pavement type(s), number & size of culverts, installation of traffic signals, any special features etc)
- b) Applicant's role in the work, identifying which components of the project were "self-performed". Was the Applicant solely responsible for construction of all of the project?
- c) Client contact details.
- d) The name, mobile phone number (mandatory) and email address of the Contract Administrator(s) (eg Superintendent, Superintendent's Representative and/or Principal's Authorised Person). The administrative personnel may be contacted as a referee.
- e) The names of the Applicant's key operational personnel employed on contract.
- f) Names of principal subcontractors, description of the subcontracted work and the approximate value of the subcontracted work.
- g) Sample of plans. A complete suite of plans is not required, but sufficient plans must be provided to show the scope / location of the works. For roadworks, the plans would typically indicate the extent of the earthworks, major pavement types, drainage works, outline of major intersections. For bridgeworks, the plans should show the number and length of spans, overall dimensions of girders or major structural features, footings / pile types and the type of bearings. Depending on the size and complexity of the project, between 2 and 10 plans (sheets) is usually sufficient for each project.
- h) Photographs of the work in progress and the completed project. Typically, 10 photographs would be expected for each project. Each photograph should include a description.

Applicants may submit a hyperlink to a company internet site to provide additional information about a project.

Notes: (1) Only applies if the Client was a participating agency in the National Prequalification System.

(2) For Example: Construct Only, Design & Construct, Alliance, Cost Reimbursement, Managing Contractor

(3) For Example: AS 2124, GC21, AS 4902, Bespoke

Section 2 – Company Resources and Technical Capacity

2.1 Organisation			
a) Provide an organisational chart showing the relationship between the Applicant and parent / subsidiary companies (where relevant). Include names of principals, directors and partners	<i>Insert the attachment file name here.</i>		
b) Managerial organisational chart that clearly shows the Applicant's local construction operations. Show all senior positions, including those responsible for Quality, WHS & Environmental Management.	<i>Insert the attachment file name here.</i>		
c) Technical Capability. Provide details of the applicant's in-house technical capability to self-performed work and to what extent, consultants, subcontractors and suppliers are used.	<i>Insert the attachment file name here.</i>		
2.2 Personnel			
	<i>[insert jurisdiction]</i>	Other Australian States /Territories	Overseas
Average total number of full-time equivalent employees over the past 12 months:			
Number of employees in of the following categories:			
• management			
• administration			
• project managers			
• site engineers			
• surveyors			
• supervisors			
• site staff (by trade classification)			
<i>If appropriate, inset additional categories here (eg plant operator, carpenter)</i>			
2.3 Key Personnel			
Experience and qualifications of key personnel.	<i>Complete Table 2.3 following. Attach file(s) that include the CV's for each of the key personnel.</i>		
2.4 Plant and Equipment			
a) Major construction plant or equipment:	<i>Attach a list of the major construction plant or equipment owned by the Applicant (or a related company). Insert document / file name here.</i>		
b) Sourcing and managing subcontract plant and equipment:	<i>Attach a copy of the policies or procedures for the sourcing and management of plant and equipment Insert document / file name here. (eg. PROC – 123 Wet Hire of Plant).</i>		

Table 2.3 - Summary of Key Personnel ⁽¹⁾

Name ⁽²⁾	Position	Relevant Industry Experience - Total No. of Years	Employment with the Applicant - Total No. of Years	Civil Engineering Qualifications ⁽³⁾	Other Tertiary Construction Related Qualifications ⁽⁴⁾	Other Tertiary Qualifications ⁽⁵⁾

- Notes:
- (1) Include senior / executive management and key operational personnel.
 - (2) Attach a separate file which includes the CV for each of the key personnel. At a minimum, each CV must incorporate details of their qualifications and details of relevant employment, including:
 - Name of each employer;
 - Date of commencement with each employer and completion dates with previous employers;
 - Position title and outline of duties;
 - Name and brief description of each relevant project that the person was engaged on; and
 - Details of their role on each project, particularly those duties which are relevant to road / bridge construction.
 - (3) Recognised by Engineers Australia as eligible for inclusion on the NER.
 - (4) For Example: Bachelor of Construction Management, Diploma of Engineering, Bachelor of Surveying.
 - (5) For Example: Master of Business Administration.

Section 3 – Management Systems

3.1 Quality Management	
a) Third party certification: (for R1 / B1, refer to the NPS Requirements for details of other certification that may be acceptable)	Attach copy of the certificate. Insert the file name of the certificate (eg 3.1 a) QMS Certificate) here.
Name of Assessing Body:	
Certificate Number:	
Certification Expiry Date:	
The scope of certification described on the certificate: <i>Note: it must specially mention the construction of roadworks / bridgeworks (as applicable)</i>	
b) Corporate Quality Policy:	Attach copy of the policy. Insert document / file name here (eg. POL-001 Corporate Quality Policy).
c) Sample / example Quality Plan and / or Project Management Plan:	Attach copy of the plan(s). Insert document / file name here (eg. XYZ Project – Quality Management Plan).
d) Sample / example Inspection and Test Plan (IPT) for a specific project:	Attach copy of the IPT(s). Insert document / filename here (eg. XYZ Project - Earthworks IPT).
e) Evidence of utilisation of the QMS on relevant projects: (not required for R1 / B1)	Attach copies of the last two compliance audits and any other supporting information. Insert document / file name here
f) Any major non-conformances from its certifying body in relation to its QMS over the last three years? (not required for R1 / B1)	Inset Yes or No. If applicable, attach copies of Corrective Action & Non-conformance reports.
3.2 Safety Management Systems	
a) Third party certification: (for R1 / B1, refer to the NPS Requirements for details of other certification that may be acceptable)	Attach copy of the certificate. Insert the file name of the certificate (eg 3.2 a) WHS Certificate) here.
Name of Assessing Body:	
Certificate Number:	
Certification Expiry Date:	
The scope of certification described on the certificate: <i>Note: it must specially mention the construction of roadworks / bridgeworks (as applicable)</i>	
b) Is the Applicant accredited with Office of Federal Safety Commissioner?	Inset Yes or No. If yes, insert Certificate Number and attach a copy of the certificate.

<i>(If yes, the information in 2.3 c) to 2.3 h) following does not need to be submitted with this Application)</i>	
c) Corporate WHS Policy:	<i>Attach copy of the policy. Insert document / file name here (eg. POL-002 Corporate Safety Policy).</i>
d) Sample / example WHS Plan for a specific project:	<i>Attach copy of the plan. Insert document / file name here (eg. XYZ Project – Work Health & Safety Plan).</i>
e) Evidence of utilisation of the WHS Management System on relevant projects: <i>(not required for R1 / B1)</i>	<i>Attach copies the of the last two compliance audits and any other supporting information or examples. Insert document / file name here.</i>
f) Any major non-conformances from its certifying body in relation to its WHS over the last three years?	<i>Inset Yes or No. If yes, insert details of the corrective action & outcome.</i>
g) Has the Applicant ever been issued with any Improvement Notices or Infringement Notices from a regulatory body?	<i>Inset Yes or No. If yes, insert details of the notice and the corrective action.</i>
h) Lost Time Injury Frequency Rate:	<i>Insert here details of the Lost Time Injury Frequency Rate over the last three years:</i>
3.3 Environmental Management Systems	
a) Third party certification: <i>(for R1 / B1, refer to the NPS Requirements for details of other certification that may be acceptable)</i>	<i>Attach copy of the certificate. Insert the file name of the certificate (eg 3.3 a) EMS Certificate) here.</i>
Name of Assessing Body:	
Certificate Number:	
Certification Expiry Date:	
The scope of certification described on the certificate: <i>Note: it must specially mention the construction of roadworks / bridgeworks (as applicable)</i>	
b) Corporate EMS Policy:	<i>Attach copy of the policy. Insert document / file name (eg. POL-002 Corporate Safety Policy) here.</i>
c) Sample / example Environmental Management Plan for a specific project:	<i>Attach copy of the plan(s). Insert document / file name (eg. XYZ Project – Work Health & Safety Plan) here.</i>
d) Evidence of successful utilisation of the EMS on relevant projects: <i>(not required for R1 / B1)</i>	<i>Attach copies of the reports of the last two compliance audits and any other supporting information or examples. Insert document / file name(s) here.</i>
g) Has the Applicant ever been issued with any infringement Notices from a regulatory body or unresolved	<i>Inset Yes or No. If yes, insert details of the notice and the corrective action.</i>

major non-conformances from its certifying body?	
e) Has the Applicant ever been issued with any Improvement Notices or Infringement Notices from a regulatory body?	<i>Inset Yes or No. If yes, insert details of the notice and the corrective action.</i>
3.4 Traffic Management	
a) Management of traffic at worksites: <i>Policy / procedures must address how the Applicant ensures that only properly trained and accredited persons or companies prepare traffic management plans and undertake site traffic management.</i>	<i>Attach copies of the policy / procedures. Insert document / file name here (eg. PROC-123 Engaging Traffic Management Subcontractors)</i>
b) Traffic Management Plans:	<i>Attach copies of three example traffic management plans. Insert the document / file names of the plans here. (eg. XYZ Project – Traffic Management Plan) here.</i>
3.5 Subcontractor Management	
a) Subcontract selection and management: <i>Note: includes suppliers and subcontractors</i>	<i>Attach copies of relevant policy / procedures and example documents Insert here the document names of:</i> <ul style="list-style-type: none"> • <i>policy / procedures for subcontract management (eg. PROC – 123 Selection of Subcontractors); and</i> • <i>Example documentation (eg Subcontractor Performance Checklist).</i>
b) Fair dealing with subcontractors:	<i>Insert a description of the Applicant’s approach to fair dealing with subcontractors and any supporting evidence here.</i>
3.6 Client Relationship Management	
a) Applicant’s approach to the relationship with the client:	<i>Insert here:</i> <ul style="list-style-type: none"> • <i>a detailed description here of the Applicant’s approach to managing the client relationship (or “partnering”); and / or</i> • <i>the document names of corporate policies or procedures for managing the client relationship (or “partnering”) and attach copies of the policy or procedures.</i>
b) Example documentation:	<i>Attach copies of example documents evidencing a collaborative client relationship (eg, minutes of meetings / workshops, “partnering” meeting minutes and client feedback forms) Insert document / file names here.</i>
3.7 Community / Stakeholder Engagement	
a) Successful Community / Stakeholder Engagement: <i>(not required for R1 / B1)</i>	<i>Attach copies of example documents evidencing a collaborative relationship with external stakeholders (eg, consultation strategies, minutes of meetings / workshops with local residents) here. Insert document / file names here.</i>

Section 4 – Financial Capacity

4.1 Basic Financial Information	
	<p>Attach file(s) containing the following information:</p> <ul style="list-style-type: none">a) <i>Group structure</i>b) <i>Audited annual report/financial statements for the last three years *</i>.c) <i>Management accounts that are no more than three months old *</i>.d) <i>Details of any debt facilities (type, amount, term, repayment arrangements, security details), including any undrawn credit lines.</i>e) <i>Details of any encumbrances over business assets.</i>f) <i>Details of any contingent liabilities, including guarantees provided.</i>g) <i>Details of any financial covenants by which the business must adhere for any loan facilities.</i>h) <i>Details of any current or pending legal action against the directors or company.</i>i) <i>Availability of guarantees (financial or performance). This includes any cross guarantees that may apply between group entities.</i>j) <i>Details of key management positions (name, position held, qualifications, experience).</i>k) <i>Governance practices, including details of accounting policies and controls, budget preparation processes, internal financial skills and qualifications, internal financial management reporting and review processes.</i>l) <i>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.</i> <p>* <i>The financial statements/management accounts should include the following:</i></p> <ul style="list-style-type: none">• <i>balance sheet</i>• <i>profit and loss statement</i>• <i>cash flow statement</i>• <i>notes to and forming part of the financial statements</i>• <i>signed Director's Report</i>• <i>signed Auditor's Report</i>• <i>signed Director's Declaration.</i>

4.1 Additional Financial Information

<p>Additional information to be provided if requested</p>	<p><i>Attach file(s) containing the following information:</i></p> <p>a) <i>Details of historical cash flow performance for the current financial year and the previous three financial years.</i></p> <p>b) <i>Cash flow budget for the next 12 months, clearly defining the expected source and timing of:</i></p> <ul style="list-style-type: none"> • <i>inflows (receipts from billing)</i> • <i>outflows (including labour costs, material costs, equipment costs, etc.).</i> <p><i>Details of all assumptions used must be included</i></p> <p>c) <i>Capacity to borrow – current bank facilities. Attach details of all current bank balances in the format shown in the table below.</i></p> <p>d) <i>Provide name of bank and contact details of bank manager.</i></p> <p><i>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.</i></p>		
	<p>Proforma for bank facilities utilised</p>		
	<p>Available</p>	<p>Utilised</p>	<p>Remaining</p>
<p>Overdraft</p>			
<p>Revolving lease</p>			
<p>Other leases</p>			
<p>Business credit card access</p>			
<p>Guarantee by bank revolving facility</p>			
<p>Other credit facilities (please specify)</p>			



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