

Prequalification for Construction Category Contracts

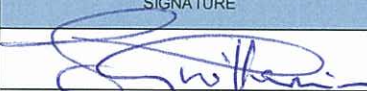

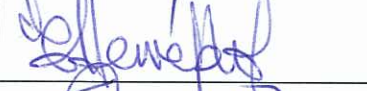
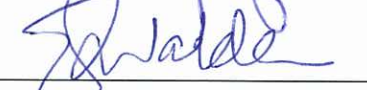
Application Pack (Nov 12)

Change History and Approval

The following Change History log contains a record of changes made to this document.

PUBLISHED/REVISED DATE	VERSION #	AUTHOR (OPTIONAL)	SECTION / NATURE OF CHANGE
30 August 2012	0.1	Zoë Douglas-Jones	Consultation draft
2 October 2012	0.2	Zoë Douglas-Jones	Issued following industry consultation feedback
12 October 2012	0.3	Zoë Douglas-Jones	Corrected error relating to H&S and quality requirements
23 November 2012	0.4	Zoë Douglas-Jones	Change to reference letter requirements to allow individual references to replace company references

Authorisation / Distribution

APPROVER NAME	TITLE	SIGNATURE	DATE
Simon Guillemin	PMO Manager		26-12-12
Kelvin Stuart	Procurement Support Manager		29-11-12
Eric Hennephof	Manager Infrastructure Development		29/11/12
Rick Walden	Manager Major Projects and PMO		29/11/12

Contents

1	What is prequalification?	1
2	How will Auckland Transport’s prequalification system work?	2
2.1	Outline	2
2.2	Basis for classification	2
2.3	Work categories	2
2.4	Quality levels and performance criteria	2
2.5	Prequalification Classification	5
2.6	Changes to the tender / proposal process.....	5
2.6.1	How will contractors be sourced?.....	5
2.6.2	What evaluation method will be used for tenders?	5
2.6.3	How will the prequalification level be determined for a contract?	6
2.6.4	Will certification need to be resubmitted with each tender?.....	6
2.6.5	When will AT’s requests for tenders / proposals start to require prequalification?	6
3	Definition of Work Categories	7
4	How do I apply to become prequalified?	8
4.1	Step 1	8
4.2	Step 2	8
4.3	Step 3	8
4.4	Step 4	8
4.5	Step 5	8
4.6	Step 6	8
4.7	Step 7	8
4.8	Step 9	9
5	How will my application be assessed?	10
6	How do I appeal an application / decision?	11
7	How long is my prequalification valid?	12
8	How do I make changes to my prequalification information?	13
8.1	Company changes	13
8.2	Change of classification level.....	13
9	Where can I get more information?	14
	Glossary of terms	15



APPENDICES

Appendix A – Prequalification application forms 17
Appendix B – Sample prequalification application forms 34
Appendix C – Guide for referees 51
Appendix D – Reference letter template – company reference 56
Appendix E – Reference letter template – Individual reference 60



1 What is prequalification?

Prequalification is a joint buyer and seller value for money initiative aimed at simplifying the sourcing process, reducing tendering costs and encouraging on-going supplier performance.

Prequalification involves contractors being assessed over a range of quality criteria and then being registered for specific types and sizes of work. Tenders within the construction categories would then specify the minimum prequalification level required to enable a supplier to submit a tender and that supplier would not be required to resubmit information assessed as part of the prequalification.

The New Zealand Transport Agency (NZTA) developed a prequalification system as a trial for the South Island in 2003. This was subsequently extended to the North Island. In 2007 the system was accepted as a permanent system, and its trial status removed. Today over 110 suppliers are registered with the NZTA's prequalification system.

The prequalification system used by Auckland Transport is a customisation of the NZTA system, their development and support of which is gratefully acknowledged.

2 How will Auckland Transport's prequalification system work?

2.1 Outline

Auckland Transport is streamlining its procurement of construction category works related to Auckland's transport network including major road works, minor road works, structures, earthworks and geotechnics, wharves and pontoons, rail infrastructure, street furniture and electrical / data installations. Auckland Transport intends to use prequalification for all such contracts with the exception of a few unique, specialist, high risk or highly complex contracts. The system currently excludes any design, maintenance and operational works.

It is free to apply for prequalification, however, there may be a cost in meeting the requirements for a particular prequalification level. This cost would be met by the applicant.

The prequalification system will be subject to continuous review and Auckland Transport reserves the right to make changes as it deems necessary. The first review of the prequalification system is planned for October 2013, however, should any significant issues arise prior to this date, an earlier review may be undertaken.

2.2 Basis for classification

The prequalification system classifies contractors according to their ability to meet specified quality levels within each of eight work categories.

2.3 Work categories

The eight physical works categories available for Auckland Transport prequalification are:

- 1 - Major road works
- 2 - Minor road works
- 3 - Structures
- 4 - Earthworks and geotechnics
- 5 - Wharves and pontoons
- 6 - Rail infrastructure
- 7 - Street furniture
- 8 - Electrical / data installations

For more detail of the definitions for each of the eight work categories please see Section 3 - Definition of Work Categories.

There will be no limit on the number of contractors within any particular work category.

2.4 Quality levels and performance criteria

Each work category has three possible quality levels, A, B and C where A is the highest and C is the lowest.

Within each quality level are seven performance criteria. All performance criteria must be met for the quality level and work category being applied for. E.g. if applying for work category "3 – Structures" at

Level B, the applicant would need to meet at least level B in all 7 performance criteria.

The performance criteria relate to:

- Quality Assurance
- Traffic Management
- Environment Management
- Health and Safety
- Project Management
- Quantum or size of work
- Co-operation and Pro-active Partnering

The performance criteria for prequalifying under each of the three levels are provided below:

Level A

- Uses a quality management system certified to ISO 9001 by a JAS-ANZ accredited organisation
- Site management staff certified to Level 1 Traffic Controller (TC)
- Uses an environmental management system certified to ISO 14001
- Capable of complex environmental management including many of the items listed in Table C.1 of Appendix C – Guide for referees
- Certified to ACC WSMP Tertiary level, ACC Partnership Programme Tertiary Level or OHSAS 18001 (extended to include New Zealand's legal requirement for employee participation)
- Project management and key supervisory staff have either 5+ years' relevant experiences in a project management role and project management qualification (PMP, PRINCE 2 Foundation or Practitioner) or 7+ years' relevant experience in project management role
- Has the capability, resources and experience to carry out contracts greater than \$5m
- Experienced in the establishment and practice of a Full Partnering Charter and cooperates fully with all parties (or demonstrates ability to do this)

Level B

- Uses a quality management system certified to TNZ: TQS 1
- Site management staff certified to Level 1 Traffic Controller (TC)
- Has developed or is actively developing, and has a programme to complete, a formal environmental management system, using ISO14001 standard, or similar, as a guide.
- Capable of complex environmental management including many of the items listed in Table C.1 of Appendix C – Guide for referees
- Certified to ACC WSMP Secondary level or ACC Partnership Programme Secondary Level
- Project management and key supervisory staff have either 3+ years' relevant experience in a project management role and project management qualification e.g. PMP, PRINCE 2 or 5+ years' relevant experience in project management role
- Has the capability, resources and experience to carry out contracts estimated at between \$1m and \$5m
- Requires very limited surveillance, adheres to the principles of partnering and cooperation with all stakeholders

Level C

- Uses a quality control system based on the TNZ:TQS 2 specification
- Site management staff certified to Level 1 Traffic Controller (TC)
- Capable of simple environmental management including some of the items in Table C.1 of Appendix C – Guide for referees
- Certified to ACC WSMP Primary level or ACC Partnership Programme Primary Level or NZS/AS 4801:2001 or ACC WSD (Workplace Safety Discount)
- Project management and key supervisory staff have at least 3+ years' relevant experience in a project management role
- Has the capability, resources and experience to carry out contracts estimated at less than \$1m
- Requires surveillance and support

A contractor who is registered for Level A is automatically qualified for levels B and C. Likewise, a contractor who is registered for Level B is automatically qualified for Level C.

2.5 Prequalification Classification

Since there are eight work categories and three quality levels, there are therefore a possible 24 prequalification classifications that are available to be applied for:

Work Category	Quality Level		
	A	B	C
1. Major road works	AT 1A	AT 1B	AT 1C
2. Minor road works	AT 2A	AT 2B	AT 2C
3. Structures	AT 3A	AT 3B	AT 3C
4. Earthworks and geotechnics	AT 4A	AT 4B	AT 4C
5. Wharves and pontoons	AT 5A	AT 5B	AT 5C
6. Rail infrastructure	AT 6A	AT 6B	AT 6C
7. Street furniture	AT 7A	AT 7B	AT 7C
8. Electrical / data installations	AT 8A	AT 8B	AT 8C

2.6 Changes to the tender / proposal process

2.6.1 How will contractors be sourced?

Under prequalification, sourcing for construction category contracts would be undertaken either directly from a pool of appropriately prequalified contractors or by advertised tender to pre-qualified contractors. Tenders received from contractors who are not prequalified will be considered non-conforming.

Prequalification can take up to 10 weeks to process therefore it is not recommended that a contractor waits to submit their prequalification application until they see a Request for Tender that they are interested in bidding for as it is unlikely their application would be processed before the tender deadline.

Any organisation that is operating as a trading division of a company must be separately prequalified to be able to tender under their own name.

Joint venture tender submissions would be treated on a case-by-case basis. Ideally all companies in a joint venture would be prequalified.

Nothing in the prequalification process or supporting documentation will preclude Auckland Transport from establishing supplier panels or framework contracts for specific programmes of work (e.g. minor safety works).

2.6.2 What evaluation method will be used for tenders?

For low risk, routine contracts, the Lowest Price Conforming Method will generally be used to select the contractor and no further non-price attributes would then be sought. For more complex, higher risk contracts, contractors may be asked to provide some contract-specific non-price attribute information and the preferred supplier would then generally be determined by the Price Quality Method.

From time to time Auckland Transport may also review a prequalified contractor's understanding of and suitability for any particular contract. Should Auckland Transport have any concerns regarding a contractor's capability in any area specific to that contract, we reserve the right to reject the

contractor's tender.

2.6.3 How will the prequalification level be determined for a contract?

Generally the prequalification requirements for a contract will be based on the main work category and will therefore apply to the main contractor, however, in some instances, for example where a significant portion of the contract falls under a separate work category, a second prequalification level may be requested. In this case if the contractor does not hold the relevant prequalification level, a suitably qualified sub-contractor should be nominated. It is also possible that AT may nominate a sub-contractor for a contract, in which case it will be at Auckland Transport's discretion as to whether they choose for that sub-contractor to be prequalified or not.

2.6.4 Will certification need to be resubmitted with each tender?

Generally, no. However, it will be the contractor's responsibility to ensure that organisational certification relevant to their prequalification level is kept up-to-date and copies passed on to Auckland Transport. Contractors must submit updated organisational certificates before their current certificates expire. This applies to:

- Quality management system certification (ISO 9001 or TNZ: TQS1)
- Environmental management certification (ISO 14001)
- Health and safety certification (ACC WSMP, ACC Partnership Programme, ACC WSD, ISO 18001 or NZS/AS 4801:2001)

On receipt of a tender Auckland Transport will check its prequalification database to ensure that all the contractor's organisational certification is current. If any certification has expired the contractor will be asked to provide current certification. If this cannot be provided the contractor's tender will be considered non-conforming.

2.6.5 When will AT's requests for tenders / proposals start to require prequalification?

Auckland Transport is targeting January 2013 to commence the roll out of tenders under the new prequalification system. Contractors are encouraged to apply before the end of October 2012 to ensure that applications are processed in adequate time to be eligible to bid for Auckland Transport construction category work in 2013.

3 Definition of Work Categories

Contracts may be categorised as one or more of the following eight work categories. Contractors are not required to demonstrate capability to carry out all work in any particular work category in order to be prequalified for that category.

Reference	Work Category
1	Major road works
	<ul style="list-style-type: none"> • Road construction • Intersection upgrades • At-grade car parks • Footpaths and cycle lanes within road corridor • Road reseals and seal extensions • Service relocations
2	Minor road works
	<ul style="list-style-type: none"> • Pedestrian crossings • Speed humps • Minor kerb realignment • Off-road footpaths and cycleways
3	Structures
	<ul style="list-style-type: none"> • Buildings • Bridges • Major retaining walls • Large shelters and canopies
4	Earthworks and geotechnics
	<ul style="list-style-type: none"> • Slope / slip stabilisation • Geotechnical investigations • Earthworks
5	Wharves and pontoons
6	Rail infrastructure
	<ul style="list-style-type: none"> • Platform construction, extensions and upgrades • Rail track works
7	Street furniture
	<ul style="list-style-type: none"> • Small shelters and canopies • Railings • Bins • Signage • Guard railings
8	Electrical / data installations
	<ul style="list-style-type: none"> • CCTV • Parking control equipment • Cabling • Lighting • Traffic signals and associated equipment • Electronic signage

Table 3.1

4 How do I apply to become prequalified?

4.1 Step 1

Download this application pack from the Auckland Transport website via www.aucklandtransport.govt.nz/prequalification

4.2 Step 2

Read and become familiar with all the information contained within this application pack.

4.3 Step 3

Identify which of the eight work categories (see section 3 - Definition of Work Categories) covers the type of Auckland Transport work that your company may tender or quote for. Contractors are not required to demonstrate capability to carry out all work in any particular work category in order to be prequalified for that category. Note that your company may apply for multiple work categories, depending on the diversity of the work that your company is currently capable of performing.

4.4 Step 4

Complete forms 1 and 2 in Appendix A – Prequalification application forms and attach all requested documentation. Please note that there is a sample, completed form contained in Appendix B – Sample prequalification application forms for your reference.

4.5 Step 5

Read Form 3 and obtain references by sending “Appendix C – Guide for referees” to your chosen referees, first completing your company name and the name(s) of the contract(s) you would like them to provide references for. Also send them “Appendix D – Reference letter template – company reference” and optionally “Appendix E – Reference letter template – Individual reference” for each contract that you would like them to write a reference for. Agree with your referees how much, if any, of the letter they would like you to complete for them.

4.6 Step 6

Once you have received your contract references complete forms 3 – 6 of Appendix A and attach the relevant documentation in the correct order.

4.7 Step 7

Create one electronic document (PDF) containing all application documents, in the order listed in Form 6, which should be no bigger than 10MB and email to:

procurement@aucklandtransport.govt.nz Attn: PRFC

Faxed submissions will not be accepted.

We recommend that any information submitted by your company is held in your company's document management system so that in the event of changes to your company (refer to section 8.1 Company changes), a comparison between the old and new company details can be made.

Applications will be processed on a first come first served basis.

4.8 Step 9

Await notification of the result of your application. This should arrive within 10 weeks of your submission date and if successful will be followed by your prequalification status being updated on the Register of Prequalified Contractors held on the Auckland Transport website:

www.aucklandtransport.govt.nz/prequalification

The Register of Prequalified Contractors will be updated on a monthly basis.

5 How will my application be assessed?

The submitted document will first be checked for completeness. Any missing information will result in the application being returned to the contractor who will be required to resubmit their entire application.

The application will then be evaluated to verify that the information contained meets the requirements of the classification applied for. References will be checked and information reviewed to ensure it is consistent with Auckland Transport's knowledge of the contractor. Auckland Transport reserves the right to request copies of supporting documents and/or relevant management plans (for audit purposes). Supply of any false or misleading information may result in an applicant being suspended from the prequalification register for a period of time.

Following consideration of the application it could be approved at the level applied for, downgraded to a lower level or rejected.

The contractor will be notified of the decision, and if appropriate the reason for the decision, and emailed a prequalification certificate if successful in prequalifying.

6 How do I appeal an application / decision?

Within 14 days of notification to either downgrade or reject a prequalification application, the applicant may submit an appeal for consideration by Auckland Transport.

An applicant may also appeal a decision to downgrade, suspend or revoke prequalification resulting from a performance review (see section 7 for more information on proposed contractor performance assessment system).

All appeals, including supporting information should be submitted via email to:

procurement@aucklandtransport.govt.nz Attn: PRFC

Auckland Transport will review any additional information provided by the applicant and make a ruling on the contractor's appeal within 10 working days.

The decision of Auckland Transport will be final.

7 How long is my prequalification valid?

Registration for prequalification has a two-year life span with a maximum validity until 30 June the next even year (e.g. 30 June 2014, 2016, 2018 etc.) and reapplication due in April.

12 weeks prior to end of the current registration period Auckland Transport will write to all prequalified contractors to invite them to renew their registration based on the current status of classification.

Auckland Transport is developing a supplier performance assessment system similar to the NZTA PACE (Performance Assessment by Coordinated Evaluation) system. This will be used to monitor the performance of contractors. Inadequate performance could result in a performance review and ultimately in the downgrading, suspension or rescindment of prequalification. Details of the performance assessment system will be released once the system has been adopted.

8 How do I make changes to my prequalification information?

8.1 Company changes

When a contracting company is dissolved, taken over, changes their financial or technical capacity, changes ownership or holding, or changes their core business, they must advise Auckland Transport immediately via email to procurement@aucklandtransport.govt.nz Attention: PRFC

Auckland Transport will advise what action the contractor is required to take, to ensure their prequalification is retained. This may involve continuing with the present registration or applying for revised registration. In the latter case, the contractor must complete a full submission similar to a new or original application.

8.2 Change of classification level

For any company or companies (e.g. joint ventures) that are already prequalified and wish to move to a higher level or to a different work category, they must re-apply using the application forms in Appendix A.

Contractors who are unsuccessful in being awarded prequalification are entitled to reapply for registration on condition that they are able to provide evidence the conditions and circumstances have changed sufficiently for Auckland Transport to reconsider their application

A contractor may seek a change to their prequalification level as a result of a performance assessment, Auckland Transport will advise the contractor on any additional quality compliance inputs required. The exact requirements will be assessed on a case-by-case basis.

9 Where can I get more information?

All queries should be addressed to:

Email: procurement@aucklandtransport.govt.nz Attn: PRFC

Auckland Transport will endeavour to respond to all queries within five (5) working days of receiving them.

Glossary of terms

Applicant	The contractor who is seeking prequalification registration for one or more work category and quality level by submitting the documents and meeting the requirements stipulated in this document.
Performance Assessment System	Auckland Transport is developing a supplier performance assessment system similar to the NZTA PACE (Performance Assessment by Coordinated Evaluation) system. This will be used to monitor the performance of prequalified contractors.
Performance Criteria	The criteria which define the requirements to achieve each Quality Level. These relate to Quality Assurance, Environmental Management, Traffic Management, Health and Safety, Project Management, Quantum and Size of Work and Cooperation and Pro-active Partnering.
Prequalification Certificate	The certificates issued to contractors who have successfully completed Prequalification registration. The certificate allows a contractor to tender for Auckland Transport's construction category contracts with prequalification requirements
Prequalification Classification	The 24 classifications available from a combination of 8 work categories and 3 quality levels.
Quality Level	The prequalification system has three quality levels A, B and C. Level A being the highest and C the lowest quality level
Referee	A referee shall be from the client organisation and/or the client's agent who has a good and creditable knowledge of the works that the contractor has carried out and preferably have been directly responsible for supervising or overseeing the nominated contract.
Register of Prequalified Contractors	A publically available register which lists the current prequalification classification for each prequalified contractor
Work Categories	Contractors are classified in accordance with their expertise in eight physical work categories i.e. major road works, minor road works, structures, earthworks and geotechnics, wharves and pontoons, rail infrastructure, street furniture and electrical / data installations.

Appendices

Appendix A – Prequalification application forms

Form 1 - Key Details

Business name of applicant : _____

Main office physical address : _____

Postal address : _____

Contact person (name and job title) : _____

Contact telephone number and email address of nominated contact person :

Tel : _____ Email : _____

Name of person completing this form (printed) and position in company :

Name : _____ Position : _____

Please attach ALL of the following information to this form in order to be eligible for prequalification.

- Organisational structure
- List of current resources including all plant and staff
- Details of any environmental infringement notices or enforcement action taken against the applicant in the last 3 years, and documented learnings from these (where there have been no infringement notices or enforcement action the applicant should provide a signed written statement from their senior management to indicate this).

Date : _____ Signature : _____

Form 2 - Quality Level Validation Form – General Requirements

The following information is not specific to the work categories being applied for and only one copy needs to be supplied. For each quality criterion below (quality assurance, traffic management, environmental management etc.) please mark the highest level that your company meets by circling the relevant level, A, B or C. If you cannot meet the requirement for at least level C for any of the quality criteria your company is not eligible for prequalification under any of the work categories. Where relevant please insert the “input requirement” documentation at the back of this form.

Quality Assurance

Performance Criteria	Input requirement	Level (please circle)
Uses a quality management system certified to ISO 9001 by a JAS-ANZ accredited organisation	Provide current certification	A
Uses a quality management system certified to TNZ: TQS 1	Provide current certification	B
Uses a quality control system based on the TNZ: TQS 2 specification	Provide copy of recent Quality Plan complying with TNZ: TQS 2	C

Table A.2.1

Traffic Management

Performance Criteria	Input requirement	Level (please circle)
Site management staff are certified to Level 1 Traffic Controller (TC)	Provide Level 1 TC certificates / cards for site management staff	All levels

Table A.2.2

Environmental Management

Performance Criteria	Input requirement	Level (please circle)
Uses an environmental management system certified to ISO 14001	Provide current certification	A
Has developed or is actively developing, and has a programme to complete, a formal environmental management system, using ISO14001 standard, or similar, as a guide.	A letter from the CEO or Director of the company stating: <Company> understands the importance of avoiding, mitigating and remedying the environmental impacts of its activities, and has developed or is actively developing, and has a programme to complete, a formal environmental management system, using ISO14001 standard, or similar, as a guide.	B
Does not use an environmental management system based on ISO 14001 standard or similar	No input required	C

Table A.2.3

Health and Safety

Performance Criteria	Input requirement	Level (please circle)
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Tertiary level; • ACC Partnership Programme Tertiary Level; or • OHSAS 18001 (extended to include New Zealand’s legal requirement for employee participation) 	Provide current certification	A
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Secondary level; or • ACC Partnership Programme Secondary Level 	Provide current certification	B
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Primary level; • ACC Partnership Programme Primary Level; • NZS/AS 4801:2001; or • ACC WSD (Workplace Safety Discount) 	Provide current certification	C

Table A.2.4

Project Management

Performance Criteria	Input requirement	Level
Project management and key supervisory staff have one of the following: <ul style="list-style-type: none"> • 5+ years’ relevant experience in a project management role AND project management qualification e.g. PMP, PRINCE2 • 7+ years’ relevant experience in project management role 	Provide CVs of project management and key supervisory staff	A
Project management and key supervisory staff have one of the following: <ul style="list-style-type: none"> • 3+ years’ relevant experience in a project management role AND project management qualification e.g. PMP, PRINCE2 • 5+ years’ relevant experience in project management role 	Provide CVs of project management and key supervisory staff	B
Project management and key supervisory / technical staff have 3+ years relevant experience in a project management role	Provide CVs of project management and key supervisory staff	C

Table A.2.5

The lowest of the above levels from Tables A.2.1 – A.2.5 (with A being highest and C lowest) is your **General Requirements** level. If you fail to meet the minimum Level C in any of the tables (A.2.1 – A.2.5) you are not eligible for prequalification. Please insert your General Requirements level here:

General requirements level :



Form 3 –References

General Information

For **each** work category that you apply for you are required to provide reference letters covering that category. References can either be for the applicant’s company or key individuals employed by the applicant’s company, according to Table A.3.1 below.

Level	Reference Requirements
A	<ul style="list-style-type: none"> • 3 x company
B	<ul style="list-style-type: none"> • 3 x company; OR • 2 x company + 2 x Person X
C	<ul style="list-style-type: none"> • 3 x company; OR • 2 x company + 2 x Person X; OR • 1 x company + 2 x Person X + 2 x Person Y

Table A.3.1

Each reference must be for a different contract but the same referee may be used more than once. The same reference letter may be used for multiple work categories, if relevant. References can be local or international and from the public or private sector and experience on contracts should be within the last 5 years. References from Auckland Transport or other Auckland Council organisations are not considered a conflict of interest unless specific circumstances suggest otherwise.

Your referees may wish you to assist them in completing the information required for the reference. You may complete as much or as little as you agree with your referee provided your referee verifies and signs the final document.

Once you have received the completed, signed reference letters you may wish to check that you have received an adequate number of references for each work category applied for (you are required to have 3 for each). Table A.3.2 is available for you to use for this purpose but is not a mandatory requirement.

Company References

You will need to send “Appendix C – Guide for referees” and “Appendix D – Reference letter template – company reference” to all referees providing company references.

Individual References

Where a company has insufficient history to obtain 3 company references for a particular work category, a company reference may be replaced by 2 individual references according to Table A.3.1. Individual reference scores will be taken as the lower of the 2 references for that particular person. Individual references are for staff members who have experience of managing / supervising relevant

contracts (within the nature of the work category applied for) prior to employment by the applicant company. Note that in Table A.3.1 Person X must not be the same as Person Y.

You will need to send “Appendix C – Guide for referees” and “Appendix E – Reference letter template – Individual reference” to all referees providing individual references.

Ref	Contract Name	Client name	Client organisation	Reference for:	Work categories covered by contract (mark with "x")								
				Company / Individual Name	1	2	3	4	5	6	7	8	
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													
11													
12													
13													
14													
15													
16													
17													
18													
19													
20													
	Total number of company references												
	Total number of individual references												

Table A.3.2 (Check references meet requirements of Table A.3.1) – COMPLETION OF THIS FORM IS OPTIONAL



Form 4.1 – Work Category Level, 1 – Major road works

Only complete this form if you are applying for prequalification under the “1 – Major road works” category.

Please complete Tables A.4.1 and A.4.2 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Major road works” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.1 and A.4.2 should be completed in accordance with the rules set out in Table A.3.1.

1 – Major road works

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.1 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.2 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.1 and A.4.2 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.2 – Work Category Level, 2 - Minor road works

Only complete this form if you are applying for prequalification under the “2 - Minor road works” category.

Please complete Table A.4.3 and A.4.4 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Minor road works” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.3 and A.4.4 should be completed in accordance with the rules set out in Table A.3.1.

2 – Minor road works

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.3 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.4 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.3 and A.4.4 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.3 – Work Category Level, 3 – Structures

Only complete this form if you are applying for prequalification under the “3 - Structures” category.

Please complete Table A.4.5 and A.4.6 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Structures” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.5 and A.4.6 should be completed in accordance with the rules set out in Table A.3.1.

3 – Structures

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.5 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.6 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.5 and A.4.6 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.4 – Work Category Level, 4 – Earthworks and geotechnics

Only complete this form if you are applying for prequalification under the “4 – Earthworks and geotechnics” category.

Please complete Tables A.4.7 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Earthworks and geotechnics” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.7 and A.4.8 should be completed in accordance with the rules set out in Table A.3.1.

4 – Earthworks and geotechnics

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.7 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.8 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.7 and A.4.8 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.5 – Work Category Level, 5 – Wharves and pontoons

Only complete this form if you are applying for prequalification under the “5 – Wharves and pontoons” category.

Please complete Table A.4.9 and A.4.10 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Wharves and pontoons” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.9 and A.4.10 should be completed in accordance with the rules set out in Table A.3.1.

5 – Wharves and pontoons

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.9 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.10 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.9.and A.4.10 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.6 – Work Category Level, 6 – Rail infrastructure

Only complete this form if you are applying for prequalification under the “6 – Rail infrastructure” category.

Please complete Tables A.4.11 and A.4.12 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Rail infrastructure” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.11 and A.4.12 should be completed in accordance with the rules set out in Table A.3.1.

6 – Rail infrastructure

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.11 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.12 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.11 and A.4.12 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.7 – Work Category Level, 7 – Street furniture

Only complete this form if you are applying for prequalification under the “7 – Street furniture” category.

Please complete Table A.4.13 and A.4.14 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Street furniture” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.13 and A.4.14 should be completed in accordance with the rules set out in Table A.3.1.

7 – Street furniture

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.13 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

A.4.14 – Individual Reference Levels

Your work category level is the lowest of the levels from Table A.4.13 and A.4.14 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 4.8 – Work Category Level, 8 – Electrical / data installations

Only complete this form if you are applying for prequalification under the “8 – Electrical / data installations” category.

Please complete Table A.4.15 and A.4.16 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Electrical / data installations” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.15 and A.4.16 should be completed in accordance with the rules set out in Table A.3.1.

8 – Electrical / data installations

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.15 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person A):		Name (Person B):	
	
Quantum or Size				

Table A.4.16 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.15 and A.4.16 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here



Form 5 – Prequalification Level

For each work category that you are applying for please circle the classification level that you meet in the table below or "N/A" for those categories that you are not applying for. N.B. Your prequalification level is determined as the lower of either:

- your General Requirements level (bottom of Form 2); or
- your Work Category Level for each work category that you are applying for (bottom of Forms 4.1 – 4.8).

Ref	Work category	Level			
1	Major road works	N/A	A	B	C
2	Minor road works	N/A	A	B	C
3	Structures	N/A	A	B	C
4	Earthworks and geotechnics	N/A	A	B	C
5	Wharves and pontoons	N/A	A	B	C
6	Rail infrastructure	N/A	A	B	C
7	Street furniture	N/A	A	B	C
8	Electrical / data installations	N/A	A	B	C

Table 5.1

Form 6 – Prequalification Application Completeness Check

Please complete the following checklist before submitting your application to ensure that you have included all information requested and in the right order. Please tick if you have included the information or “N/A” if it is not applicable.

Forms and Attachments	Included? ✓ or N/A
Form 1 – Key details	
Organisational structure	
List of current resources (including all plant and staff)	
Details of any environmental infringement notices or enforcement action taken against the applicant in the last 3 years, and any documented learnings from these	
Form 2 –General requirements	
Quality Assurance - Quality assurance certificate or quality plan	
Traffic Management - Level 1 TC certificates/cards for all site management staff	
Environmental Management - Environmental management certificate if applicable	
Health and Safety - Health and safety certificate(s)	
Project Management - CVs for project management staff and key supervisory/technical staff	
Form 3 – Contract content – Table A.3.2 (optional)	
Form 4.1 – Major road works (if applicable)	
References for “1 – Major road works” contracts (if applicable)	
Form 4.2 – Minor road works (if applicable)	
References for “2 – Minor road works” contracts (if applicable)	
Form 4.3 – Structures (if applicable)	
References for “3 - Structures” contracts (if applicable)	
Form 4.4 – Earthworks and geotechnics (if applicable)	
References for “4 – Earthworks and geotechnics” contracts (if applicable)	
Form 4.5 – Wharves and pontoons (if applicable)	
References for “5 – Wharves and pontoons” contracts (if applicable)	
Form 4.6 – Rail infrastructure (if applicable)	
References for “6 – Rail infrastructure” contracts (if applicable)	
Form 4.7 – Street furniture (if applicable)	
References for “7 – Street furniture” contracts (if applicable)	
Form 4.8 – Electrical / data installations (if applicable)	
References for “8 – Electrical / data installations” contracts (if applicable)	
Form 5 – Prequalification Level	
Form 6 – Prequalification application completeness check	

Appendix B – Sample prequalification application forms

Form 1 - Key Details

Business name of applicant : Roadies Construction

Main office physical address : 2 Battleship Place

Green Gardens

Whitehead

Auckland

Postal address : Private Bag 73849

Contact person (name and job title) : Joe Bloggs

Managing Director

Contact telephone number and email address of nominated contact person :

Tel : 021 123 4567 Email : joe.bloggs@roadies.co.nz

Name of person completing this form (printed) and position in company :

Name : Fred Smith Position : PA to Managing Director

Please attach ALL of the following information to this form in order to be eligible for prequalification.

- Organisational structure
- List of current resources including all plant and staff
- Details of any environmental infringement notices or enforcement action taken against the applicant in the last 3 years, and documented learnings from these (where there have been no infringement notices or enforcement action the applicant should provide a signed written statement from their senior management to indicate this).

Date : 17/09/2012 Signature : Fred Smith

Form 2 - Quality Level Validation Form – General Requirements

The following information is not specific to the work categories being applied for and only one copy needs to be supplied. For each quality criterion below (quality assurance, traffic management, environmental management etc.) please mark the highest level that your company meets by circling the relevant level, A, B or C. If you cannot meet the requirement for at least level C for any of the quality criteria your company is not eligible for prequalification under any of the work categories. Where relevant please insert the “input requirement” documentation at the back of this form.

Quality Assurance

Performance Criteria	Input requirement	Level (please circle)
Uses a quality management system certified to ISO 9001 by a JAS-ANZ accredited organisation	Provide current certification	A
Uses a quality management system certified to TNZ: TQS 1	Provide current certification	B
Uses a quality control system based on the TNZ: TQS 2 specification	Provide copy of recent Quality Plan complying with TNZ: TQS 2	C

Table A.2.1

Traffic Management

Performance Criteria	Input requirement	Level (please circle)
Site management staff are certified to Level 1 Traffic Controller (TC)	Provide Level 1 Basic Temporary Traffic Management (TTM) certificate for site management staff	All levels

Table A.2.2

Environmental Management

Performance Criteria	Input requirement	Level (please circle)
Uses an environmental management system certified to ISO 14001.	Provide current certification	Ⓐ
Has developed or is actively developing, and has a programme to complete, a formal environmental management system, using ISO14001 standard, or similar, as a guide.	A letter from the CEO or Director of the company stating: <Company> understands the importance of avoiding, mitigating and remedying the environmental impacts of its activities, and has developed or is actively developing, and has a programme to complete, a formal environmental management system, using ISO14001 standard, or similar, as a guide.	B
Does not use an environmental management system based on ISO 14001 standard or similar	No input required	C

Table A.2.3

Health and Safety

Performance Criteria	Input requirement	Level
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Tertiary level; • ACC Partnership Programme Tertiary Level; or • OHSAS 18001 (extended to include New Zealand’s legal requirement for employee participation) 	Provide current certification	Ⓐ
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Secondary level; or • ACC Partnership Programme Secondary Level 	Provide current certification	B
Certified to one of the following: <ul style="list-style-type: none"> • ACC WSMP Primary level; • ACC Partnership Programme Primary Level; • NZS/AS 4801:2001; or • ACC WSD (Workplace Safety Discount) 	Provide current certification	C

Table A.2.4

Project Management

Performance Criteria	Input requirement	Level
Project management and key supervisory staff have one of the following: <ul style="list-style-type: none"> • 5+ years’ relevant experience in a project management role AND project management qualification e.g. PMP, PRINCE2 • 7+ years’ relevant experience in project management role 	Provide CVs of project management and key supervisory staff	A
Project management and key supervisory staff have one of the following: <ul style="list-style-type: none"> • 3+ years’ relevant experience in a project management role AND project management qualification e.g. PMP, PRINCE2 • 5+ years’ relevant experience in project management role 	Provide CVs of project management and key supervisory	B
Project management and key supervisory / technical staff have 3+ years relevant experience in a project management role	Provide CVs of project management and key supervisory staff	C

Table A.2.5

The lowest of the above levels from Tables A.2.1 – A.2.5 (with A being highest and C lowest) is your **General Requirements** level. If you fail to meet the minimum Level C in any of the tables (A.2.1 – A.2.5) you are not eligible for prequalification. Please insert your General Requirements level here:

General requirements level : **A**

Form 3 –References

General Information

For **each** work category that you apply for you are required to provide reference letters covering that category. References can either be for the applicant’s company or key individuals employed by the applicant’s company, according to Table A.3.1 below.

Level	Reference Requirements
A	<ul style="list-style-type: none"> • 3 x company
B	<ul style="list-style-type: none"> • 3 x company; OR • 2 x company + 2 x Person X
C	<ul style="list-style-type: none"> • 3 x company; OR • 2 x company + 2 x Person X; OR • 1 x company + 2 x Person X + 2 x Person Y

Table A.3.1

Each reference must be for a different contract but the same referee may be used more than once. The same reference letter may be used for multiple work categories, if relevant. References can be local or international and from the public or private sector and experience on contracts should be within the last 5 years. References from Auckland Transport or other Auckland Council organisations are not considered a conflict of interest unless specific circumstances suggest otherwise.

Your referees may wish you to assist them in completing the information required for the reference. You may complete as much or as little as you agree with your referee provided your referee verifies and signs the final document.

Once you have received the completed, signed reference letters you may wish to check that you have received an adequate number of references for each work category applied for (you are required to have 3 for each). Table A.3.1 is available for you to use for this purpose but is not a mandatory requirement.

Company References

You will need to send “Appendix C – Guide for referees” and “Appendix D – Reference letter template – company reference” to all referees providing company references.

Individual References

Where a company has insufficient history to obtain 3 company references for a particular work category, a company reference may be replaced by 2 individual references according to Table A.3.1. Individual reference scores will be taken as the lower of the 2 references for that particular person. Individual references are for staff members who have experience of managing / supervising relevant

contracts (within the nature of the work category applied for) prior to employment by the applicant company. Note that in Table A.3.1 Person X must not be the same as Person Y.

You will need to send “Appendix C – Guide for referees” and “Appendix E – Reference letter template – Individual reference” to all referees providing individual references.

Ref	Contract Name	Client name	Client organisation	Reference for:	Work categories covered by contract (mark with "x")								
				Company/ Individual Name	1	2	3	4	5	6	7	8	
1	Ship Road upgrade	Bob Smith	AT	Roadies Construction	X								
2	Berkeley Road upgrade	John Jones	AC	Roadies Construction	X								
3	CCTV for Airport terminal 1	Tim Piper	AC	Roadies Construction									X
4	CCTV for Henderson Rail Station	Henry Jackson	AC	John Smith									X
5	Lake Road Zebra crossing	Paul Murray	SCM	Roadies Construction		X							
6	Black School Travel Plan Infrastructure	Shane Phillips	SCM	Roadies Construction		X							
7	Fenton Road upgrade	Jill Bennett	Flip	Roadies Construction	X								
8	Tube Road upgrade	Paul Piper	HJG	Roadies Construction	X								
9	Black Bay Road upgrade	Jon Jones	ABC	Roadies Construction	X								
10	VMS sign on Bridge Road	Pete Parker	URD	John Smith									X
11	Traffic calming Gate Road	John Jones	AC	Roadies Construction		X							
12	Traffic management Stock Town Centre	John Jones	AC	Roadies Construction		X							
13	Area-wide lighting scheme	Max Parker	AT	Rachel Roberts									X
14	Speed warning signs - Foxton Road	Jan Watson	AT	Rachel Roberts									X
15													
16													
17													
18													
19													
20													
	Total number of company references												1
	Total number of individual references				5	4							4

Table A.3.2 (Check references meet requirements of Table A.3.1) – COMPLETION OF THIS FORM IS OPTIONAL



Form 4.1 – Work Category Level, 1 – Major road works

Only complete this form if you are applying for prequalification under the “1 – Major road works” category.

Please complete Tables A.4.1 and A.4.2 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Major road works” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.1 and A.4.2 should be completed in accordance with the rules set out in Table A.3.1.

1 – Major road works

Quality Criteria	Top Company Reference Levels		
Environmental Management	A	B	B
Quantum or Size	A	A	A
Cooperation and Partnering	A	A	A

Table A.4.1

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
Quantum or Size				

Table A.4.2 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.1 and A.4.2 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here**B**.....



Form 4.2 – Work Category Level, 2 - Minor road works

Only complete this form if you are applying for prequalification under the “2 –Minor road works” category.

Please complete Table A.4.3 and A.4.4 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Minor road works” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.3 and A.4.4 should be completed in accordance with the rules set out in Table A.3.1.

2 – Minor road works

Quality Criteria	Top Company Reference Levels		
Environmental Management	A	A	A
Quantum or Size	A	A	A
Cooperation and Partnering	A	A	A

Table A.4.3 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.4 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.3 and A.4.4 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here**A**.....



Form 4.3 – Work Category Level, 3 – Structures

Only complete this form if you are applying for prequalification under the “3 – Structures” category.

Please complete Table A.4.5 and A.4.6 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Structures” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.5 and A.4.6 should be completed in accordance with the rules set out in Table A.3.1.

3 – Structures

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.5 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.6 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.5 and A.4.6 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** hereN/A.....



Form 4.4 – Work Category Level, 4 – Earthworks and geotechnics

Only complete this form if you are applying for prequalification under the “4–Earthworks and geotechnics” category.

Please complete Tables A.4.7 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Earthworks and geotechnics” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.7 and A.4.8 should be completed in accordance with the rules set out in Table A.3.1.

4 – Earthworks and geotechnics

Quality Criteria	Top Company Reference Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.7 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.8 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.7 and A.4.8 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** hereN/A.....



Form 4.5 – Work Category Level, 5 – Wharves and pontoons

Only complete this form if you are applying for prequalification under the “5 – Wharves and pontoons” category.

Please complete Table A.4.9 and A.4.10 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Wharves and pontoons” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.9 and A.4.10 should be completed in accordance with the rules set out in Table A.3.1.

5 – Wharves and pontoons

Quality Criteria	Top 3 Referee Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.9 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.10 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.9.and A.4.10 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** hereN/A.....



Form 4.6 – Work Category Level, 6 – Rail infrastructure

Only complete this form if you are applying for prequalification under the “6 – Rail infrastructure” category.

Please complete Tables A.4.11 and A.4.12 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Rail infrastructure” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.11 and A.4.12 should be completed in accordance with the rules set out in Table A.3.1.

6 – Rail infrastructure

Quality Criteria	Top 3 Referee Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.11 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

Table A.4.12 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.11 and A.4.12 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** hereN/A.....



Form 4.7 – Work Category Level, 7 – Street furniture

Only complete this form if you are applying for prequalification under the “7 – Street furniture” category.

Please complete Table A.4.13 and A.4.14 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Street furniture” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.13 and A.4.14 should be completed in accordance with the rules set out in Table A.3.1.

7 – Street furniture

Quality Criteria	Top 3 Referee Levels		
Environmental Management			
Quantum or Size			
Cooperation and Partnering			

Table A.4.13 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person X):		Name (Person Y):	
	
Quantum or Size				

A.4.14 – Individual Reference Levels

Your work category level is the lowest of the levels from Table A.4.13 and A.4.14 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** hereN/A.....



Form 4.8 – Work Category Level, 8 – Electrical / data installations

Only complete this form if you are applying for prequalification under the “8 – Electrical / data installations” category.

Please complete Table A.4.15 and A.4.16 using the levels from your reference letters (referred to in Form 3). Attach any relevant reference letters specific to the “Electrical / data installations” work category to the back of this form. If you are using the same reference letter for multiple work categories please photocopy the letter and attach a copy to each relevant work category level form. Tables A.4.15 and A.4.16 should be completed in accordance with the rules set out in Table A.3.1.

8 – Equipment

Quality Criteria	Top 3 Referee Levels		
Environmental Management	B		
Quantum or Size	B		
Cooperation and Partnering	B		

Table A.4.15 – Company Reference Levels

Quality Criteria	Individual Reference Levels			
	Name (Person A):		Name (Person B):	
	John Smith		Rachel Roberts	
Quantum or Size	B	B	A	B

Table A.4.16 – Individual Reference Levels

Your work category level is the lowest of the levels from Tables A.4.15 and A.4.16 except where:

- Only 2 company references provided – maximum work category level is “B”
- Only 1 company reference provided – maximum work category level is “C”

Please write your **work category level** here**C**.....



Form 5 – Prequalification Level

For each work category that you are applying for please circle the classification level that you meet in the table below or "N/A" for those categories that you are not applying for. N.B. Your prequalification level is determined as the lower of either:

- your General Requirements level (bottom of Form 2); or
- your Work Category Level for each work category that you are applying for (bottom of Forms 4.1 – 4.8).

Ref	Work category	Level			
1	Major road works	N/A	A	B	C
2	Minor road works	N/A	A	B	C
3	Structures	N/A	A	B	C
4	Earthworks and geotechnics	N/A	A	B	C
5	Wharves and pontoons	N/A	A	B	C
6	Rail infrastructure	N/A	A	B	C
7	Street furniture	N/A	A	B	C
8	Electrical / data installations	N/A	A	B	C

Table 5.1

Form 6 – Prequalification Application Completeness Check

Please complete the following checklist before submitting your application to ensure that you have included all information requested and in the right order. Please tick if you have included the information or “N/A” if it is not applicable.

Forms and Attachments	Included? ✓ or N/A
Form 1 – Key details	✓
Organisational structure	✓
List of current resources (including all plant and staff)	✓
Details of any environmental infringement notices or enforcement action taken against the applicant in the last 3 years, and any documented learnings from these	✓
Form 2 –General requirements	✓
Quality Assurance - Quality assurance certificate or quality plan	✓
Traffic Management - Level 1 TC certificates/cards for all site management staff	✓
Environmental Management - Environmental management certificate if applicable	✓
Health and Safety - Health and safety certificate(s)	✓
Project Management - CVs for project management staff and key supervisory/technical staff	✓
Form 3 – Contract content – Table A.3.1 (optional)	✓
Form 4.1 – Major road works (if applicable)	✓
References for “1 – Major road works” contracts (if applicable)	✓
Form 4.2 – Minor road works (if applicable)	✓
References for “2 – Minor road works” contracts (if applicable)	✓
Form 4.3 – Structures (if applicable)	N/A
References for “Structures” contracts (if applicable)	N/A
Form 4.4 – Earthworks and geotechnics (if applicable)	N/A
References for “4 – Earthworks and geotechnics” contracts (if applicable)	N/A
Form 4.5 – Wharves and pontoons (if applicable)	N/A
References for “5 – Wharves and pontoons” contracts (if applicable)	N/A
Form 4.6 – Rail infrastructure (if applicable)	N/A
References for “6 – Rail infrastructure” contracts (if applicable)	N/A
Form 4.7 – Street furniture (if applicable)	N/A
References for “7 – Street furniture” contracts (if applicable)	N/A
Form 4.8 – Electrical / data installations (if applicable)	✓
References for “8 – Electrical / data installations” contracts (if applicable)	✓
Form 5 – Prequalification Level	✓
Form 6 – Prequalification application completeness check	✓



Appendix C – Guide for referees

You will need to send the following “Auckland Transport Construction Prequalification - Guide for Referees” to your referees. This template is available to download in MS Word format from the Auckland Transport website:

www.aucklandtransport.govt.nz/prequalification

Auckland Transport Construction Prequalification - Guide for Referees

You have been asked to provide a reference for **(insert company name or individual name)** for their involvement on the following contract(s):

- **(Insert name of contract)**
- **(Insert name of contract)**
- **(Insert name of contract)**
- **(Insert name of contract)**

They would like to apply for prequalification for Auckland Transport construction category contracts. Without prequalification contractors will not be eligible to bid for this work.

Prequalification involves contractors being assessed over a range of quality criteria and then being registered for specific types and sizes of work.

Your reference will be used, along with other measures, to determine an overall prequalification level for each work category that the contractor has applied for. You will need to consider the contractor's performance in areas relating to environmental management, quantum or size of work and cooperation and proactive partnering.

You will need to consider which work categories are covered by the contract(s) noted above. There are 8 work categories that contractors can prequalify for in Table C.1 below. A contractor only needs to be capable of performing one of the items listed under each category in order to qualify for that category.

For company references you will also be asked to verify the level of environmental management required and performed on the contract taking into consideration the list of activities provided in Table C.2 below.

As long as you verify and sign off the reference letter you may ask the contractor to complete as much or as little of the information in it as you wish.

Please return the completed reference to the contractor so that they may submit all documentation as one package to Auckland Transport.

Your reference **MUST** be provided using the attached template. A separate letter must be completed for EACH contract that you have been asked to provide a reference for.

References can be local or international and from the public or private sector and experience on contracts should be within the last 5 years. References from Auckland Transport or other Auckland Council organisations are not considered a conflict of interest unless specific circumstances suggest otherwise.



Remember that you need to consider whether the contractor has demonstrated their ability/capability in an area, not necessarily whether they have actually completed a contract at that level.

Auckland Transport (or their representatives) may contact you to verify your reference and your position. You must have had significant oversight of the contractor's performance on this contract and you will preferably have managed their contract

Table C.1 – Work category descriptions

Reference	Work Category
1	Major road works
	<ul style="list-style-type: none"> • Road construction • Intersection upgrades • At-grade car parks • Footpaths and cycle lanes within road corridor • Road reseals and seal extensions • Service relocations
2	Minor road works
	<ul style="list-style-type: none"> • Pedestrian crossings • Speed humps • Minor kerb realignment • Off-road footpaths and cycleways
3	Structures
	<ul style="list-style-type: none"> • Buildings • Bridges • Major retaining walls • Large shelters and canopies
4	Earthworks and geotechnics
	<ul style="list-style-type: none"> • Slope / slip stabilisation • Geotechnical investigations • Earthworks
5	Wharves and pontoons
6	Rail infrastructure
	<ul style="list-style-type: none"> • Platform construction, extensions and upgrades • Rail track works

7	Street furniture
	<ul style="list-style-type: none"> • Small shelters and canopies • Railings • Bins • Signage • Guard railings
8	Electrical / data installations
	<ul style="list-style-type: none"> • CCTV • Parking control equipment • Cabling • Lighting • Traffic signals and associated equipment • Electronic signage

Table C.2 – Environmental management activities

Manages construction noise to acceptable levels
Manages dust effectively
Avoids or reduces, as far as practicable, the disturbance to communities from vibration during construction
Manages energy consumption in an effective and sustainable manner
Manages waste in an effective and sustainable manner
Manages spray drift of chemicals during construction
Avoids, remedies or mitigates effects of soil erosion, sediment run-off and sediment deposition during construction
Avoids, remedies or mitigates effects of other Stormwater contaminants such as lime and cement
Employs effective practices to avoid, remedy or mitigate effects of construction over or near water
Sensitive construction around heritage and archaeological features
Safe removal of contaminated soil
Ensures that non-road users are catered for during construction (maintain safety, comfort and connectivity)
Manages construction around trees and other flora and fauna, appropriately
Provides clear plans for management of environmental aspects and impacts of work
Proactively reports on environmental aspects of work
Ensures staff are trained and competent for environmental aspects of work
Supervises sub-contractors' environmental performance appropriately
Deals with incidents openly and constructively

Appendix D – Reference letter template – company reference

The letter template is available to download in MS Word format from the Auckland Transport website:

www.aucklandtransport.govt.nz/prequalification

The Prequalification Manager
Auckland Transport
6 Henderson Valley Rd
Henderson
Auckland 0612

Private Bag 92250
Auckland 1142

[date]

RE: REFERENCE LETTER (Company Reference)- Prequalification for Auckland Transport construction category works

Further to Auckland Transport's contractor prequalification process I have been asked to provide a reference (please see attached completed reference form) for the following contractor and contract for which I was a representative of the client organisation.

Name of contractor :

Contract :

The scope of this contract covered the following work categories (please see Auckland Transport Construction Prequalification - Guide for Referees, Table C.1 for definition of work categories):

Ref	Work category	Please tick
1	Major road works	
2	Minor road works	
3	Structures	
4	Earthworks and geotechnical	
5	Wharves and pontoons	
6	Rail infrastructure	
7	Street furniture	
8	Electrical / data installations	

I also confirm that I have or have had no financial association with this contractor, and in my opinion no conflict of interest exists.

Yours faithfully

[name]

[title of supervising authority]

Address :
.....

Contact telephone no.:

Email :

Contractor reference for Auckland Transport construction category prequalification

Contract value : \$.....

Contract start date :/...../.....

Contract end date :/...../.....

Environmental management

Based on the contractor's performance on the above contract I believe that the contractor (named above) has the capability for:

Level	Description
A/B	Complex environmental management including many of the activities in Table C.2, Auckland Transport Construction Prequalification - Guide for Referees
C	Simple environmental management including some of the activities in Table C.2, Auckland Transport Construction Prequalification - Guide for Referees

Please circle the relevant level for each work category applied for. Where a work category is not applied for please circle "N/A".

Ref	Work category	Level		
1	Major road works	N/A	A/B	C
2	Minor road works	N/A	A/B	C
3	Structures	N/A	A/B	C
4	Earthworks and geotechnical	N/A	A/B	C
5	Wharves and pontoons	N/A	A/B	C
6	Rail infrastructure	N/A	A/B	C
7	Street furniture	N/A	A/B	C
8	Electrical / data installations	N/A	A/B	C

Quantum or size of work

Based on the contractor's performance on the above contract I believe that the contractor (named above) has the capability, resources and experience to carry out contracts of the following value:

Level	Description
A	Greater than \$5m
B	Between \$1m and \$5m
C	Less than \$1m

Please circle the relevant level for each work category applied for. Where a work category is not applied for please circle "N/A".

Ref	Work category	Level			
1	Major road works	N/A	A	B	C
2	Minor road works	N/A	A	B	C
3	Structures	N/A	A	B	C
4	Earthworks and geotechnical	N/A	A	B	C
5	Wharves and pontoons	N/A	A	B	C
6	Rail infrastructure	N/A	A	B	C
7	Street furniture	N/A	A	B	C
8	Electrical / data installations	N/A	A	B	C

Cooperation and proactive partnering

Based on the contractor’s performance on the above contract I believe that the contractor (named above) has the following capability:

Level	Description
A	Experienced in the establishment and practice of a Full Partnering Charter and cooperates fully with all parties (or demonstrates ability to achieve this)
B	Requires very limited surveillance, adheres to the principles of partnering and cooperation with all stakeholders
C	Requires surveillance and support

Please circle the relevant level for each work category applied for. Where a work category is not applied for please circle "N/A".

Ref	Work category	Level			
1	Major road works	N/A	A	B	C
2	Minor road works	N/A	A	B	C
3	Structures	N/A	A	B	C
4	Earthworks and geotechnical	N/A	A	B	C
5	Wharves and pontoons	N/A	A	B	C
6	Rail infrastructure	N/A	A	B	C
7	Street furniture	N/A	A	B	C
8	Electrical / data installations	N/A	A	B	C

Signature (supervising authority to sign) :

Name (print name) :

Appendix E – Reference letter template – Individual reference

The letter template is available to download in MS Word format from the Auckland Transport website:

www.aucklandtransport.govt.nz/prequalification

The Prequalification Manager
Auckland Transport
6 Henderson Valley Rd
Henderson
Auckland 0612

Private Bag 92250
Auckland 1142

[date]

RE: REFERENCE LETTER (Individual reference) - Prequalification for Auckland Transport construction category works

Further to Auckland Transport's contractor prequalification process I have been asked to provide a reference for the person and contract noted below, for which I was a representative of the client organisation.

Name of person that reference is for :

Name of company that person is currently employed by (the company seeking prequalification) :

.....

Name of contract :

Employee's role in this contract :

Name of company person was working for at the time of working on this contract :

The scope of this contract covered the following work categories (please see Auckland Transport Construction Prequalification - Guide for Referees, Table C.1 for definition of work categories):

Ref	Work category	Please tick
1	Major road works	
2	Minor road works	
3	Structures	
4	Earthworks and geotechnical	
5	Wharves and pontoons	
6	Rail infrastructure	
7	Street furniture	
8	Electrical / data installations	

I also confirm that I have or have had no financial association with this contractor, and in my opinion no conflict of interest exists.

Yours faithfully

[name]

[title of supervising authority]

Address :
.....

Contact telephone no.:

Email :

Individual reference for Auckland Transport construction category prequalification

This reference is for :-

Name of person :

Contract value : \$.....

Contract start date :/..../.....

Contract end date :/..../.....

Quantum or size of work

Based on the individual's performance on the above contract I believe that the person (named above) has the capability and experience to manage / supervise contracts of the following value:

Level	Description
A	Greater than \$5m
B	Between \$1m and \$5m
C	Less than \$1m

Please circle the relevant level for each work category applied for. Where a work category is not applied for please circle "N/A".

Ref	Work category	Level			
1	Major road works	N/A	A	B	C
2	Minor road works	N/A	A	B	C
3	Structures	N/A	A	B	C
4	Earthworks and geotechnical	N/A	A	B	C
5	Wharves and pontoons	N/A	A	B	C
6	Rail infrastructure	N/A	A	B	C
7	Street furniture	N/A	A	B	C
8	Electrical / data installations	N/A	A	B	C

Signature (supervising authority to sign) :

Name (print name) :