

ROADS AND MARITIME SERVICES. APPLICATION FOR REGISTRATION FOR CONSTRUCTION INDUSTRY CONTRACTORS

Information to Applicants:

1. *The conditions and guidelines are to be read by the Applicant prior to completing this Application Form, and form the basis of acceptance of this Application.*
2. *All items on this Application Form relevant to the Applicant's submission are to be completed, and all the relevant documents requested by the RMS are to be attached to this Form. Applicants may submit relevant documentation additional to that requested by the RMS to support their application.*
3. *Where a yes/no option is provided, tick the appropriate box and proceed to the next item. Items not relevant to an Applicant's submission are to be marked "NA" (not applicable).*
4. *Failure to provide information requested in this Application Form will delay processing and may result in the application being returned to the Applicant.*

1. Business name of Applicant in full (as used on tender submissions)		
2. Applicant's office address in full		
3. Applicant's postal address for correspondence (if different to item 2)		
4. Applicant's contact person (include designation)		
5. Telephone	6. Facsimile	7. Mobile telephone
8. Email Address		
9. Web Site Address		
10. Registration Class/es Applied For	11. Current RMS Registration Class/es	
12. CCF or Vicroads Registration Class/es (Attach copies of approvals)	13. ABRN	
14. Registered name of Applicant in full (if different to item 1)		

15. Registered address of Applicant in full (if different to item 2)

16. Is the Applicant lodging this Application a trustee?

- If yes, ATTACH copies certified by a solicitor, Justice of Peace, or company director of:
- (a) the up-to-date trust deed (or other constituent documents), any variation documents or documents appointing new trustees;
 - (b) a list of names and relevant details of the beneficiaries of the trust and
 - (c) the up-to-date memorandum and articles of association, if the trustee is a company.

17. ATTACH an organisation chart showing the relationships between the Applicant and parent and/or subsidiary companies, including names of principals, directors and partners.

18. If the Applicant has operated as a contractor under its present business name for less than 7 years, provide the previous business names used by the Applicant (include dates):

19. ATTACH a separate Declaration Form stating whether or not any company director or partner, or a business in which any company director or partner were involved, has ever been declared bankrupt, been wound up leaving unpaid creditors, been involved in a compromise or other arrangement with creditors, or had an administrator appointed. (Not applicable for urban design services)

20. If a company director / partner has been involved in a situation described in Item 18 above, provide details on the extent of indebtedness and the seriousness of the matter, the length of control the person exercised over the organisation concerned and the length of time that has elapsed.

21. Has the Applicant ever been declared bankrupt, entered into receivership, management agreement scheme or composition pursuant to the Bankruptcy Act or the Corporations Law? (Not applicable for urban design services)

If yes, provide details on the extent of indebtedness and the seriousness of the matter, and the length of time which has elapsed.

22. Have any adverse judgements (excluding minor fines or notices) been made against the Applicant for any breaches of or unlawful acts under legislation covering Occupational Health and Safety, Anti-discrimination, Fair Trading, Industrial Relations? (Not applicable for urban design services)

If yes, state when and the circumstances resulting in the adverse judgements.

23. ATTACH the following information about current projects and for those completed since the last Application for Registration, or those completed in the past 5 years

- (a) name and location of projects;
- (b) description of work, indicate if QA Contract;
- (c) project client;
- (d) contract value;
- (e) Superintendent or Client's Engineer, include name and contact telephone and
- (f) estimated or actual date of completion.

24. Has the Applicant, under any business name, ever failed to complete a contract?

If yes, name the project, the Principal and state the circumstances

25. ATTACH information about the technical experience of the Applicant's key personnel including

- (a) names of personnel and their professional and technical qualifications;
- (b) experience in Class/es of work, on which project and a brief description and
- (c) present designation and duration in the position.

26. ATTACH information about the plant / equipment available to the Applicant for contract work including (Not applicable for urban design or erosion, sedimentation and soil conservation services)

- (a) description of plant item, including model and capacity;
- (b) quantity on hand;
- (c) ownership or leasing details and;
- (d) condition of plant, including year of manufacture.

27. Traffic Control Contractors only

- (a) List staff who have completed the required training courses and attach copies of course certificates.
- (b) Provide evidence that traffic control devices comply with the Australian Standard and RMS requirements for reflectivity.

28. Construction Industry Laboratories only

- (a) NATA Accreditation No (attach Certificate)
- (b) List staff having NATA signatory approval
- (c) Detail how minimum requirements will be met for each annex laboratory

29. Urban Design Services only**U1 Urban Design Advisory Services**

Provide separate response to the following 6 requirements. To be no longer than 4 pages.
(One nomination per application)

1. Experience, skills, qualifications and industry recognition in the field of urban design.
2. Demonstrated expertise on transport projects and the development of transport policy, including a deep understanding of RMS urban design related processes and policies.
3. Demonstrated technical expertise relating to high quality urban design outcomes.
4. Experience with the environmental assessment process of infrastructure projects.
5. Demonstrated experience in community participation and high level presentation, specifically addressing urban design.
6. High quality of service performance in advising the RMS.

U2 Urban Design Consultancy Services

Provide separate response to the following requirements. To be no longer than 8 pages.

1. Demonstrated experience and understanding of urban design, at site and corridor scales, with applicability to transport and/or road infrastructure.
2. Demonstrated expertise on government infrastructure projects, including an awareness of RMS urban design related processes and policies.

3. Recognised professional qualifications and/or education of the proposed team in relation to architecture, landscape architecture and urban design (other disciplines and

expertise may be included).

4. **Demonstrated technical expertise relating to; analytical and design abilities in the built and natural environment; and experience in the conversion of design concepts into practical, cost effective outcomes.**
5. **Experience with the environmental assessment process of infrastructure projects.**
6. **Demonstrated experience in community participation and high level presentation, specifically addressing urban design.**
7. **Management qualities (including organisational structure of proposed team, management systems, team support including electronic and graphics resources).**
8. **Service performance (including client relationships and past performance in meeting time, cost, service and quality requirements).**

30. Erosion, Sedimentation and Soil Conservation Consultancy Services

Each individual proposed for selection must fulfil the selection criteria below.

Category A – Organisations where each individual proposed to provide the services is registered with the specialist certification of CPESC from the International Erosion Control Association are required to meet the selection criteria 1-4.

Category B - Organisations providing services by staff not certified as a CPESC, but possessing the demonstrated skills, are required to meet the requirements of selection criteria 1-8. Registration under either category is an equivalent registration.

Selection Criteria - Category A & B: The organisation and each individual proposed for selection must satisfy the following criteria:

1. **Demonstrated experience and understanding of soil conservation and stormwater management issues with applicability to linear road infrastructure construction projects.**
2. **Demonstrated understanding of the expectations of the Department of Environment & Climate Change in relation to construction erosion and sedimentation issues and their legislative context.**
3. **Service performance (including client relationships and past performance in meeting time, cost, service and quality requirements).**
4. **Management qualities (including organisational structure of proposed team, management systems, team support including electronic and graphics resources). The application should note the nominated specialist individuals and support available to provide the services.**

Category B only: The organisation must nominate individual team members and satisfy the following criteria for each individual team member providing the services:

5. **Demonstrated experience in preparing and implementing Soil and Water Management Plans and Erosion and Sedimentation Control Plans.**
6. **Recognised professional and/or technical qualifications in relation to erosion and sedimentation, soil conservation and stormwater management.**
7. **Demonstrated technical expertise in the design, implementation and maintenance of erosion and sedimentation controls for construction activities.**
8. **Demonstrated experience in communication of erosion and sedimentation/stormwater management principles and design advice to field staff at all levels.**

31. Demolition of Properties

Applicants must attach a copy of their Workcover license to carry out demolition works.

License No	
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32. Stabilisation

- (a) AustStab Accreditation No (attach Certificate)
- (b) List specialist equipment for stabilisation
- (c) Detail how minimum requirements will be met for each stabilisation category

FINANCIAL INFORMATION TO BE SUBMITTED

(Not applicable for urban design or erosion, sedimentation and soil conservation services)

Note: *Where the Applicant is a trustee, the financial information is required for both the trust and the trustee.*

- 33. ATTACH a statement from the Applicant's bank or other financial institution advising of**
- (a) branch and account name;
 - (b) overdraft facility;
 - (c) overdraft balance;
 - (d) guarantee facility;
 - (e) guarantees outstanding and
 - (f) brief details of any other funding facilities available (term loans, commercial bills, or letters of credit).
- 34. ATTACH audited Financial Statements (including notes) for the last 3 financial years including**
- (a) trading account;
 - (b) profit and loss
 - (c) balance sheet;
 - (d) statement of cash flows;
 - (e) signed auditor's report and
 - (f) signed director's report (where Applicant is a corporation).

NB: If audited statements cannot be provided, ATTACH *signed* taxation returns for the last 3 financial years together with the unaudited financial statements listed above. If the financial statements provided are more than 6 months old, the latest management accounts (trading account, profit and loss account and balance sheet) must also be provided. If

management accounts are not available, the Applicant is to contact the Contracts Officer (see Section 4.1 of Guidelines and Conditions) for advice on alternative information.

35. ATTACH details of any significant changes in the nature of the Applicant's operations since its last balance date and any recent developments that are expected to substantially affect the operating results of the Applicant for the current financial year.

OHS&R AND ENVIRONMENTAL MANAGEMENT SYSTEM REQUIREMENTS
(Not applicable for urban design or erosion, sedimentation and soil conservation services)

36. ATTACH evidence of the Applicant's ability to develop OHS & R Site Safety Management Plans and Environmental Management Plans if the registration category requires it.

37. QUALITY MANAGEMENT SYSTEM REQUIREMENTS

(Not applicable for traffic control, urban design or erosion, sedimentation and soil conservation services)

Applicants are required to indicate on Attachment 1 - Quality Management System Q3/2 Checklist appended to this form where in the Applicant's Corporate System and Project Quality Plan each item in the checklist is addressed. The completed checklist/s are to be submitted together with the documents required below.

Documents to be submitted:

38. A copy of the Quality Manual (optional) and a copy of Procedures (including those referred to in the Quality Manual) that would normally be applicable to RMS projects to provide evidence that a quality system has been developed.

39. A sample Project Quality Plan/s for work appropriate to the Registration Class/es applied for, to provide evidence that a quality system can be readily implemented at a project level.

40. The documents requested in this Application Form must be attached and labelled (tick if attached)

- (12) Copies of CCF or Vicroads' approval of registration
- (16) Trust deed, beneficiaries, articles of association
- (17) Organisation chart of parent and subsidiary companies
- (19) Declaration
- (23) Current and completed projects
- (25) Technical experience of key personnel
- (26) Available plant and equipment
- (27) Traffic Control – specific requirements
- (28) Construction Industry Laboratories – specific requirements
- (29) Urban Design Services – specific requirements
- (30) Erosion, sedimentation and soil conservation services – specific requirements
- (31) Workcover License for demolition of properties
- (32) Stabilisation – specific requirements
- (33) Bank / financial institutions

- (34) Audited financial statements or unaudited statements and signed taxation returns
- (35) Changes to Applicant's operations
- (36) Evidence of ability to develop OHS&R Site Safety Management Plan and EMP
- (37) Quality Management System/PQP Checklist
- (38) Quality Manual and Procedures
- (39) Sample Project Quality Plan

* Applicants registered with the CCF or Vicroads need only submit financial details to apply for registration in D, E and F categories.

Signed

Designation

Date

**Post to: Manager Contracts Strategy
Infrastructure Contracts Branch
Roads and Maritime Services
Locked Bag 928
NORTH SYDNEY NSW 2059**

OR

**Deliver to: Manager Contracts Strategy
Infrastructure Contracts Branch
Roads and Maritime Services
Level 17
101 Miller Street**

NORTH SYDNEY NSW 2060

ATTACHMENT 1

**QUALITY MANAGEMENT SYSTEM
&
PROJECT QUALITY PLAN**

Q3/2 CHECKLIST

Quality Management System Evaluation Checklist for

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
4	QUALITY MANAGEMENT SYSTEM	
4.2.4	Control of Records	
ISO 4.2.4	Is a procedure documented for identification, storage, protection, retrieval, retention time and disposition of records needed to provide evidence of conformity in relation to project work and of the effective operation of the quality management system?	
RTA Q3	Does the quality system provide for preparation of a Records Management Plan (RMP) in accordance with Clauses E1 and E2 of RTA Q?	
RTA Q3 Annex Q/E	Does the RMP include procedures which address the requirements of Clause E1.3.1 for the following:	
E1.3.1 (a)	<ul style="list-style-type: none"> • the systematic control of the creation, registration, indexing, filing, maintenance, storage, movement, retrieval and disposal of project records related to the Contract? 	
E1.3.1 (b)	<ul style="list-style-type: none"> • providing to the Principal the information required under the Contract? 	
E1.3.1 (c)	<ul style="list-style-type: none"> • submission and delivery of Identified Records as specified? 	
E1.3.1 (d)	<ul style="list-style-type: none"> • disaster management plan in accordance with ISO 15489? 	
E1.3.1 (e)	<ul style="list-style-type: none"> • providing a list of Identified Records relevant to the Contract which must be progressively handed over to the RMS? 	
RTA Q3	Is the RMP consistent with the PQP?	
8.3	Control of Nonconforming Product	
ISO 8.3	Is a documented procedure established which describes the controls and responsibilities to ensure that product which does not conform to requirements is identified and controlled to prevent its unintended use or delivery?	
	Does the procedure provide for the organisation to deal with nonconforming product by:	
ISO 8.3	(i) taking action to eliminate the detected nonconformity?	
ISO 8.3	(ii) authorising its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer?	
ISO 8.3	(iii) taking action to preclude its original intended use or application?	

1. Guide to Assessors: F = Accreditation withheld rated "C"; G = Finding not considered for accreditation; H = Accreditation may be withheld if frequently rated "C"
2. Evaluation rating: A = Acceptable; C = Nonconformity – condition requiring corrective action; M = Marginal nonconformity or potential for improving guidelines/implementation

Quality Management System Evaluation Checklist for

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
RTA Q3 8.3	(iv) ensuring submission of Nonconformity Report within 2 working days to Principal if repairs or concessions are proposed?	
RTA Q3 8.3	(v) ensuring that reworked and repaired products are re-inspected and re-tested to demonstrate conformity to the requirements?	
ISO 8.3	(vi) ensuring records are maintained of the nature of nonconformities and any subsequent actions taken, including concessions obtained?	
ISO 8.3	(vii) allowing for the organisation to take action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started?	
RTA Q3	Has a standard form been prepared for use as a Nonconformity Report?	
8.5	Improvement	
8.5.2	Corrective Action	
ISO 8.5.2	Is a documented procedure established which describes the action that will be taken to eliminate the cause of nonconformities in order to prevent recurrence?	
ISO 8.5.2	Does the procedure define requirements for: (viii) reviewing nonconformities (including customer complaints)?	
ISO 8.5.2	(ix) determining the causes of nonconformities?	
ISO 8.5.2	(x) evaluating the need for action to ensure that nonconformities do not recur?	
ISO 8.5.2	(xi) determining and implementing action needed which is appropriate to the effects of the nonconformities encountered?	
ISO 8.5.2	(xii) recording the results of action taken?	
ISO 8.5.2	(xiii) reviewing the corrective action taken?	

1. Guide to Assessors: F = Accreditation withheld rated "C"; G = Finding not considered for accreditation;
H = Accreditation may be withheld if frequently rated "C"
2. Evaluation rating: A = Acceptable; C = Nonconformity – condition requiring corrective action;
M = Marginal nonconformity or potential for improving guidelines/implementation

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
4.2	QUALITY MANAGEMENT SYSTEM	
4.2.3	Control of Documents	
ISO 4.2.3	Are all documents in the PQP identified and revision status shown?	
4.2.4	Control of Records	
Q3 4.2.4	Does the PQP describe how the quality records shown in Annexure Q/E will be stored and maintained so that they are readily retrievable, in facilities that provide a suitable environment to minimise deterioration or damage, and to prevent loss of the records.	
5	MANAGEMENT RESPONSIBILITY	
5.5	Responsibility, Authority and Communication	
Q3 5.5.2	Does the PQP:	
Q3 5.5.2	(xiv)nominate the Project Quality Representative?	
Q3 5.5.2	(xv) indicate the relationship between the Project Quality Representative and the Management Representative? (only applies where the Project Quality Representative is not the Management Representative)	
Q3 5.5.1	Does the PQP list the responsibilities and authorities of personnel for:	
	(xvi)receiving, in-process and final (or acceptance) inspection and testing?	
	(xvii)identifying/recording quality problems?	
	(xviii)initiating/recommending solutions through designated channels?	
	(xix)ensuring corrective action is implemented and effective?	
	(xx) controlling further processing/delivery/installation of nonconforming product until deficiencies or unsatisfactory conditions have been corrected?	
7	PRODUCT REALISATION	
7.4	Purchasing	
7.4.1	Purchasing Process	
Q3 7.4.1	Does the PQP:	
	(xxi)require the Contractor to evaluate subcontractor's capability and record the results of the evaluation where subcontracted work involves work processes that require process validation?	
	(xxii)document how the subcontract requirements identified in Annexure Q/F will be included in subcontracts and purchase orders whenever they apply?	
Q3 7.4.2	(xxiii)provide for subcontractor work process control documentation to be included (when applicable)?	
7.4.3	Verification of Purchased Product	
Q3 7.4.3	Does PQP include the methods of surveillance that will be implemented for	

Quality Management System Evaluation Checklist for

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
<p>7.5</p> <p>7.5.1</p> <p>Q3 7.5.1</p>	<p>subcontracted work (when applicable)?</p> <p>Production and Service Provision</p> <p>Control of Production and Service Provision</p> <p>Does the PQP include work process control documentation for work processes covered by the Specifications including the following? (Note: documentation for the main work processes is sufficient)</p> <p>(xxiv)details of controlled conditions (eg. sequence of operations, work methods, inspection/test/control points)?</p> <p>(xxv)the use of suitable equipment (including maintaining equipment in suitable condition and/or calibration)?</p> <p>(xxvi)special working environment aspects (when applicable)?</p> <p>(xxvii)competency and skills of personnel?</p> <p>(xxviii)product characteristics, tolerances, and workmanship standards to be met?</p> <p>(xxix)how work processes will be monitored to ensure their continuing suitability?</p> <p>(xxx)records to be kept?</p> <p>(xxxi)responsibility for implementing and monitoring process controls and rectifying any deficiencies?</p> <p>7.5.2</p> <p>Validation of Processes for Production and Service Provision</p> <p>Q3 7.5.2 Does the PQP identify work processes, including subcontracted work, where resulting output cannot be fully verified by subsequent monitoring and measurement in Accordance with ISO 9001 Clause 7.5.2?</p> <p>Q3 7.5.2 Are these work processes documented to indicate operator qualifications, equipment controls, method for validating process parameters and records to be kept (as appropriate)?</p> <p>Q3 7.5.2 Does PQP make provision for performing validation and keeping process validation records (when appropriate)?</p> <p>7.5.3</p> <p>Identification and Traceability</p> <p>Q3 7.5.3 Does the PQP describe method for subdividing work into lots and to uniquely identify each lot? (Alternatively, may apply a suitable product identification procedure)</p> <p>Q3 7.5.3 Does the PQP describe how traceability of materials specified in Annexure Q/G will be maintained (where appropriate)?</p>	

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Quality Management System Evaluation Checklist for

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
<p>8 8.1, 8.2.4</p> <p>Q3 8.1.1 & Q3 7.4.2</p> <p>Q3 8.1.1</p> <p>Q3 8.2.4</p> <p>8.1.3 Q3 8.1.3</p>	<p>MEASUREMENT, ANALYSIS AND IMPROVEMENT</p> <p>Inspection and Test Planning, Monitoring and Measurement of Product</p> <p>Does the PQP explain how to carry out and record receiving, in-process and final inspection and testing for work processes controlled by the Contractor, and describes who is responsible?</p> <p>Are ITPs (and associated ITP forms) included for all inspection and testing required by the Specifications, including subcontracted work? Note: documentation for the main activities is sufficient</p> <p>Do ITPs and ITP forms identify: (xxxii)who performs each inspection or test and at what stage of the work? (xxxiii)how the inspection or test is to be carried out and recorded? (xxxiv)frequency of sampling/testing and acceptance criteria? (reference to specification clause alone is unacceptable) (xxxv)when statistical analysis of test results is required? (xxxvi)Hold and Witness Points, time limits for testing and time constraints for submission, (when applicable)? (xxxvii)who performs final review of all inspection/test results to confirm that all inspections and tests have been carried out to completely verify conformance for each lot? Is provision made on inspection/test records to identify work lots and keep traceability records (when applicable)? Do ITP forms include provision to indicate whether each lot has passed or failed its inspections and/or tests? Do ITP forms include provision to indicate when nonconformity control is addressed?</p> <p>Do ITPs (or PQP) document a method to show whether each product or work lot has received the frequency of testing required by the Specifications?</p> <p>Inspection and Test Status</p> <p>Does the PQP describe the method for identifying and controlling the inspection and test status of all product and work under the Contract?</p>	

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Quality Management System Evaluation Checklist for

ISO/RTA Q3 Clause	Requirement	Insert Clause No.
8.2	Monitoring and Measurement	
8.2.4	Monitoring and Measurement of Product	
Q3 8.2.4.3	Does PQP document a suitable method for closing out work lots?	
Q3 8.2.4.1	Does the PQP describe the method of release of Hold Points?	
Q3 8.2.4.3	Does the PQP include an effective method for traceability/closure for any work lots that may have to be covered up before the results of all conformity tests are known?	
8.3	Control of Nonconforming Product	
Q3 8.3	Does the PQP make provision to apply the corporate nonconformity procedure, including the additional requirements of RTA Q Clause 8.3?	
Q3 8.3	Does the PQP document a method to ensure submission of Nonconformity Reports within 2 working days of detection of the nonconformity?	
8.5	Improvement	
8.5.2	Corrective Action	
Q3 8.5.2	Does the PQP make provision to apply the corporate corrective action procedure?	

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