

DPTI Procurement & Contracting

Contractor Prequalification Scheme

Directional Boring – Guidelines, Conditions and Application Form

PART 1: INTRODUCTION

Companies wishing to undertake direction boring works for the Department of Planning, Transport and Infrastructure (DPTI), or to roadworks contractors who are building roads for the Department, must first be prequalified.

Prequalification is available in the category of DB 1:

DPTI may restrict companies to specific categories of boring, depending on the Applicant's capability. Once prequalified, companies are subject to ongoing review by DPTI to ensure that the information submitted in their application remains valid and that they have performed satisfactorily when awarded contracts.

The purpose of the prequalification scheme is to minimise risks to DPTI and to reduce the effort of individual companies at the time of tender. The scheme aims to facilitate, but not replace, tender assessment for individual projects.

Companies are invited to apply for prequalification by completing the application form (available from http://www.dpti.sa.gov.au/contractor_documents/prequalification) and attaching the information described in Part 2 "Information to be Submitted and Assessment Criteria".

The Application Form and Attachments must be submitted in accordance with the instructions on the Application Form.

Enquiries may be directed to:

DPTI.Prequal@sa.gov.au or

Geotechnical Engineer

Technical Services

Phone: (08) 8343 2351



PART 2: CONDITIONS OF PREQUALIFICATION

1. Introduction

These Conditions of Prequalification prescribe the rules by which an application will be assessed by DPTI and if applicant is successful, for the management of the prequalification system. By submitting an application for prequalification, an applicant agrees to comply with, and be bound by, the rules contained within these Conditions of Prequalification.

2. Applications

Companies may submit applications for prequalification at any time. Applications must be submitted in accordance with Part 2 “Application” of this document. Prequalification only determines a company’s eligibility to submit tenders.

3. Assessment and Notification

Applications for prequalification will be assessed in accordance with DPTI’s internal procedures for management of its prequalification systems. DPTI and its agents may undertake any investigation that is reasonably necessary to validate the information submitted by the applicant.

The criteria considered in the assessment of an application are those listed in Part 3: “Information to be Submitted and Assessment Criteria” of this document.

Companies should allow at least six weeks from the date of submission for the assessment process.

The prequalification of a Contractor does not extend to related or subsidiary companies owned or controlled by the Contractor.

4. Prequalification Period

The prequalification system is reviewed at least every three years. However, DPTI, in its absolute discretion, may at any time:

- vary the period of review and/or revise the system;
- advertise for new applications; and
- request a company to validate or resubmit their application (either in part or in its entirety).



5. **Reviewing, Rescinding or Downgrading Prequalification**

At any time, DPTI may review the prequalification status of a company and in its absolute discretion, rescind the company's prequalification or reduce the level of prequalification as a result of:

- in DPTI's opinion, unsatisfactory performance by the company on a contract for any client;
- material changes to a company's organisational structure, third party certification or its technical, financial or management capacity; or
- a failure to comply with the terms and conditions of prequalification.

Before such action is taken, the Contractor will be given an opportunity to show cause why the prequalification should not be rescinded or reduced. The Contractor will also be given details of the matters prompting the request to show cause.

6. **Restricted Prequalification**

A company may be granted Provisional Prequalification where DPTI reasonably considers that there are limitations on a company's capacity to undertake all types of boring.

7. **Contractor to Advise**

A prequalified company must immediately advise the Director, Contracting and Procurement, DPTI of any material change to:

- its financial capacity, contact details, ownership, resources or technical capacity; and /or
- any convictions or prohibition notices under Work Health and Safety legislation or environmental legislation.

8. **Confidentiality**

Except as required by law, DPTI will ensure the confidentiality of all information supplied by companies is maintained and will sign an appropriate confidentiality agreement if requested.

9. **Publication of Prequalification Status**

A list of the prequalified companies will be disclosed to others on the following web site:

<http://www.dpti.sa.gov.au/documents/contractsandtenders/prequalification>.

While a company may communicate its DPTI prequalification status to others, it must not represent that this prequalification necessarily means that they are competent to undertake work for organisations other than DPTI. No responsibility is accepted for any consequences arising from the use of the prequalification scheme other than for DPTI contracts.



10. Disclaimer

The decision to approve or reject, with or without conditions, any application for prequalification is at the absolute discretion of DPTI. DPTI is not liable for any costs or damage incurred in the exercise of such discretion or the discretion to rescind or downgrade any prequalification.

While other organisations may reference this prequalification system, DPTI:

- assumes no responsibility whatsoever to any other party in any matter associated with this prequalification system;
- has developed this system solely for its internal purposes; and
- does not represent or warrant that any of the prequalified companies are technically capable, financially sound or suitable for any non-DPTI project.

Any organisation seeking to deal with prequalified companies must rely on its own enquiries and bears all risks associated with the use of this prequalification system.



Please provide the information listed in the column “INFORMATION TO BE SUBMITTED BY APPLICANT” in the following table:

		<i>These columns for DPTI use only</i>	
SUBJECT	INFORMATION TO BE SUBMITTED BY APPLICANT	MINIMUM REQUIREMENTS	Meets Requirement (Yes /
1 COMPANY STRUCTURE	1. Outline of company structure and ownership. 2. Organisational Chart showing key personnel, including Company Directors, Operations Managers, & key managerial / supervisory staff.	For information. For information.	
2 INSURANCE	Evidence of Insurance Policies and certificates of currency.	\$10,000,000 Public Liability insurance.	
3 COMPANY EXPERIENCE & TRACK RECORD	1. Number of years experience that the company has in the industry. 2. Details of relevant current and recently completed contracts, including: <ul style="list-style-type: none"> • Project Name & Description, • Description of work (e.g. under road or rail, boring technique, site access, traffic constraints, dealing with unforeseen conditions), • Client, • Value of Contract and duration of contract, • length, depth & diameter of bore(s); • Name and contact details of a referee. 	Successful completion of contracts to the client’s time, cost and quality requirements. Experience with, or demonstrated knowledge of, DPTI Specifications or equivalent.	

4 RESOURCES AND PLANT CAPABILITY	Detailed description of plant & equipment.	Equipment of appropriate type and capacity.	
5 COMPANY PERSONNEL AND COMPETENCY	CV's for key staff, clearly setting out levels of experience & qualifications in the industry.	<p>Company and / or Operations Manager have more than 2 years experience at manager level in this industry.</p> <p>Key Managerial / Supervisory Staff Adequate experienced staff available commensurate with size of organisation.</p>	
6 QUALITY MANAGEMENT	<p>Copy of certification of quality management system (to either Civil Contractors Federation Integrated Management System, AS / ISO 9001 or equivalent);</p> <p><i>or</i></p> <p>If not third party certified, the following information:</p> <ol style="list-style-type: none"> 1. Details of the level of involvement of the Senior Management in the company's Quality program. 2. The name, contact details and CV of the person in the company responsible for managing Quality. 3. A copy of the company quality manual, or at a minimum, the company quality policy. 4. A full index of the company's quality procedures including current status & last revision date of each. Please provide a copy of Quality Procedures covering the following: <ul style="list-style-type: none"> • Control of non-conforming product • Process Control. • Document & Data Control • Corrective & Preventative Action 	<p>Certified Quality System;</p> <p><i>or</i></p> <p>If not third party certified, evidence demonstrates satisfactory performance for the following:</p> <ul style="list-style-type: none"> • Involvement of the Chief Executive in the company's Quality program (eg management review meeting minutes, policy statement by CEO) • The person responsible for managing Quality has moderate experience (evidence of training & competency in QA, min 2 years QA expected) • Data collection, monitoring / review and actioning of key targets, such as reports on data gathered to Management & / or items shown, with actions agreed and taken in Management Review, etc 	

	<ul style="list-style-type: none"> • Inspection & Testing • Product Identification & Traceability • Control of quality records • Internal Quality Audits • Contract Review <p>5. Evidence of use of the System for continuous improvement through appropriate data collection, monitoring and review of the data, including actions allocated and taken on any un-desirable outcomes for at least the following 'minimum' goals / targets:</p> <ul style="list-style-type: none"> • Internal Reviews (at least 6 monthly) • Random 'on-site' inspections (at least quarterly) • Management Review (at least annually) • Central Yard inspection (at least quarterly – OHS / EMS Area Audits) • Checks of Major and Minor Plant (at least quarterly – for continuing operational capability) • Subcontractor & supplier performance (at least 6 monthly). <p>6. Provide two most recent examples of each of the following:</p> <ul style="list-style-type: none"> • Internal Audit Reports • Project Quality Plans • Non-conformance reports <p>7. Provide two most recent examples of each of the following:</p> <ul style="list-style-type: none"> • External Audit Reports • Corrective Action Reports 	<ul style="list-style-type: none"> • Company quality policy is suitable • Company quality manual includes policy statements for each system element • Company Quality Procedures, and frequency of review as required by the Australian Standard, are adequate • Recent Audit Reports - Internal (min 2) • Recent Audit Reports - External • Corrective Action Reports (min 2) • Non-conformance reports (min 2) <p><i>Note: An interview with the company's nominated person responsible for managing Quality may be required after the application has been received. DPTI reserves the right to conduct an Audit if deemed necessary or seek additional evidence that the system is being effectively implemented.</i></p>	
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<p>7 ENVIRONMENTAL MANAGEMENT</p>	<p>1. Copy of certification of Environmental Management System (to either Civil Contractors Federation Integrated Management System, AS / ISO 14001 or equivalent);</p> <p><i>or</i></p> <p>If not third party certified, the following information:</p> <ul style="list-style-type: none"> • The defined responsibilities/accountabilities for management and other staff responsible for activities effecting the environment. • The company's Environmental Management Policy • Environmental procedures and instructions • Outline of company's awareness of relevant Codes of Practice and legislation 	<p>Certified Environmental Management System;</p> <p><i>or</i></p> <p>If not third party certified, evidence demonstrates satisfactory performance for the following:</p> <ul style="list-style-type: none"> • Level of involvement of the Chief Executive in the company's Environmental Management program: Evidence of involvement (eg management review meeting minutes, policy statement by CEO). • At least one person must be identified with responsibilities for activities effecting the environment. • The policy demonstrates an understanding of the nature, scale and environmental impacts of the organisation's activities, products and services. • Company demonstrates awareness and understanding of relevant Codes of Practice and legislation. <p>the organisation's commitment to environmental improvement, prevention of pollution, compliance with relevant environmental legislation and regulations; and is signed off by senior management.</p>	
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	<p>2. Details of any breaches of legislation and reportable incidents; ie any EPA notices issued on the company in the last 2 years</p>	<p>Either:</p> <ul style="list-style-type: none"> • no reportable incidents; or • evidence of effective corrective action and management review of any reportable incidents. 	
<p>8 WORK HEALTH & SAFETY (WHS)</p>	<p>1. Copy of certification of WHS Management System (to either Civil Contractors Federation Integrated Management System, AS / ISO 4801 or equivalent);</p> <p><i>or</i></p> <p>Evidence of Implementation of an WHS Management System</p> <p>2. Workcover Registration Number and Certificate of Currency for Workers Compensation.</p> <p>3. If an Infringement Notice under the WHS Act has been issued in the last 2 years, details of the Notice and evidence that Corrective Action has been implemented.</p>	<p>Certified WHS system;</p> <p><i>or</i></p> <p>If not third party certified, evidence demonstrates satisfactory performance for the following:</p> <ul style="list-style-type: none"> • minutes of Safety Committee meetings • Audit Reports • Action Plans. <p>Workcover levee rate within an acceptable range for the industry.</p> <p>Evidence that the issue has been properly addressed and appropriate action taken to prevent reoccurrence</p>	