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# Prequalification for physical works

Procurement

June 2021

ISSUE 5

Information pack

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## RECORD OF AMENDMENTS

AMENDMENT NO	SUBJECT	EFFECTIVE DATE	UPDATED BY
Version 1	Prequalification for Physical Works Procedure Manual Issued for Trial	13 Mar 2003	N/A
Version 2	Amended to include feedback from Trial	9 Aug 2004	Ian Gray
Version 3	Amended following North Island consultation	5 Jan 2005	Ian Gray
Version 4	Amended to include feedback from Trial	30 Nov 2005	Ian Gray
Issue 1	Prequalification for Physical Works Application Pack issued (replaces the previous "Prequalification for Physical Works Procedure Manual") <ul style="list-style-type: none"> <li>The Prequalification Trial ended on 30 June 2007 and Prequalification is now a "Business As Usual" procurement procedure.</li> <li>Split of content between the new Application Pack and the Contract Procedures Manual</li> </ul>	12 Dec 2007	Raj Rajagopal
Revision 1	New Appendix 3: Contractor's Occupational Health and Safety Management Information incorporated	1 Mar 2008	Raj Rajagopal
Revision 2	Amendment to Section 1, Item 1.	5 Mar 2008	Raj Rajagopal
Revision 3	Minor miscellaneous changes. All references to Transit NZ replaced with NZTA	1 July 2009	Richard Quinn
Revision 4	Minor Miscellaneous changes	15 July 2009	Valfrid Jarl
Revision 5	Amendment Section 7.2	5 Feb. 2010	Valfrid Jarl
Revision 6	Amendment Appendix 3	1 May 2010	Valfrid Jarl
Revision 7	Amendments from annual prequalification workshop July 2010	8 Sep 2010	Valfrid Jarl
Revision 8	Amendments from prequalification industry meetings and addition of Operator Rating System into H&S	8 April 2013	Michele Berry
Revision 9	Amendment to Section 1.4: Step 4, Section 3 and Glossary of Terms	30 Oct 2013	Paula Alkema
Issue 2	Prequalification for Physical Works Information Pack issued (replaces the previous "Prequalification for Physical Works Application Pack"). <ul style="list-style-type: none"> <li>Aligns with ISNetworld process</li> </ul>	4 April 2017	Paula Alkema

Issue 3	Inclusion of mutual recognition of Australian prequalification systems	31 Jan 2018	Paula Alkema
Issue 4	Review of reference and capability requirements.	8th Jan 2020	Robert Coyle
Revision 1	Amendment to Sections 3.2 and 7.3. Clarification on Reference letter requirements and Performance Evaluation process.	2 <sup>nd</sup> March 2020	Robert Coyle
Issue 5	Revision to reflect new prequalification management processes.	28 June 2021	Audrey Koncsol, Robert Coyle

## DOCUMENT MANAGEMENT PLAN

### Purpose

This Management Plan details the process for updates, amendments and includes contact points in relation to the “Prequalification for Physical Works Information Pack”.

### Document information

Document name	
Availability	This document is located in electronic, PDF format on the Waka Kotahi website
Document Owner	Waka Kotahi Prequalification Manager
Sponsor	Group Manager, System Design and Delivery

### Amendments and review strategy

All Corrective Action/Improvement Requests (CAIRs) suggesting changes will be acknowledged by the document owner.

	Comments	Frequency
Amendments (of a minor nature)	Updates to the Information Pack will be incorporated as soon as practicable.	As required
Review (major changes)	Amendments fundamentally changing the content or structure of the document will be incorporated as soon as practicable. They may require coordinating with the review team timetable.	Annually
Notification	All users that have registered their interest by email to <a href="mailto:prequalification@nzta.govt.nz">prequalification@nzta.govt.nz</a>	Immediately

	will be advised by email of amendments and updates.	
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## Other information (at document owner's discretion)

There will be occasions, depending on the subject matter, when amendments will need to be worked through by the Review Team before the amendment is actioned. This may cause some variation to the above noted time frames.

## Distribution

Copies of this Document Management Plan are included in the document.

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# 1. GUIDELINES FOR COMPLETING APPLICATION PROCESS

## 1.1 Introduction

- 1.1.1 The System Design and Delivery Group of Waka Kotahi NZ Transport Agency (Waka Kotahi) are continuously inviting Contractors to register their interest in pre-qualifying for Physical Works Contracts.
- 1.1.2 Prequalification is a joint Waka Kotahi / industry initiative aimed at simplifying the tendering process and reducing tendering costs
- 1.1.3 The prequalification system was originally developed 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 100 suppliers are registered with the Prequalification System.
- 1.1.4 It should be noted that Prequalification is about the skills and experience of the company not individuals within the company.
- 1.1.5 The prequalification process consists of Contractors being evaluated over a range of quality criteria and then being registered for specific types and sizes of work. Waka Kotahi physical works tenders using prequalification will specify a minimum prequalification level and only Contractors who are prequalified to at least the specified level will be able to submit a tender.
- 1.1.6 Under prequalification, low risk routine projects (typically up to \$5 Million) will be procured using the Lowest Price Conforming method and awarded to the Prequalified Contractor with the lowest price. Non-price attributes will not be required. For more complex, higher risk projects (typically over \$5 Million), tenderers may be asked to provide some project-specific non-price attribute information. The Prequalified Contractor will then be evaluated using the Price Quality Method.
- 1.1.7 Successful Contractors will be monitored for compliance against their Prequalification level. Depending on performance, a Contractor may retain their existing Prequalification level, or be moved to a lower level. Contractors can apply for a higher level at any stage.
- 1.1.8 All prequalification applications and inquiries are handled via email to [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).
- 1.1.9 Waka Kotahi has joined the Tōtika Scheme (Tōtika) ([www.chasnz.org/totika](http://www.chasnz.org/totika)) to help objectively manage our contractor health and safety prequalification. As a result, all our prequalified physical works contractors will be required to join Tōtika in order to complete their physical works prequalification and be eligible to tender for Waka Kotahi contracts.
- 1.1.10 Waka Kotahi has established a Pipeline program of work. This can be found at the following links: Capital Programme (<https://www.nzta.govt.nz/resources/capital-projects-tender-programme/>) & Maintenance Programme (<https://www.nzta.govt.nz/resources/large-maintenance-contracts/>)



## 1.2 Communications on applications

- 1.2.1 All communications between Waka Kotahi and applicants must be in writing.
- 1.2.2 Upon receipt of the Information Pack, the Contractor shall notify Waka Kotahi that it is beginning the physical prequalification process by emailing [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz). It shall also join Tōtika as a Contractor/Supplier by following the steps on the Tōtika website (<https://www.chasnz.org/totika>).
- 1.2.3 All queries should be addressed to:
- The Prequalification Manager  
Waka Kotahi NZ Transport Agency  
Victoria Arcade  
44 Victoria Street  
Private Bag 6995  
Wellington 6141  
Email: [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz)
- 1.2.4 Waka Kotahi will endeavour to respond to all queries within five (5) working days of receiving them.

## 1.3 General Application Details

- 1.3.1 All physical works contractors applying for prequalification must first subscribe to Tōtika to complete their health and safety prequalification. If your company is new to Tōtika you may need to undertake assessment with a third party certifying organisation. To find out more, you can call CHASNZ at 0800 CHASNZ (0800 2420769) or visit their website at [www.chasnz.org/totika](http://www.chasnz.org/totika). If your company is currently subscribed to Tōtika, there is no additional action required to share that information with Waka Kotahi.
- 1.3.2 Once subscribed, you will need to submit your physical works prequalification application information and documentation as outlined in this information pack via email to [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).
- 1.3.3 One prequalification application only is allowed for each company.

## 1.4 Obtaining mutual recognition

- 1.4.1 This process is intended to facilitate applicants that are prequalified under the National Prequalification System with a Participating Authority in Australia, and applicants who are prequalified with similar H&S 3<sup>rd</sup> party verification schemes with NZ based Waka Kotahi Approved Organisations. These are typically Client-side organisations who utilise 3<sup>rd</sup> party Health and Safety accreditation schemes. Examples include large Local Authorities, KiwiRail and large Utility Organisations.
- 1.4.2 This process involves the completion and lodgement of a simple 'Registration Form for Mutual Recognition' (Appendix C). The key element of this is that the Applicant must provide evidence of AS/NZS 4801 or ISO 45001 Certification and / or supply the Certificate of H&S Competency from the other 3<sup>rd</sup> party verifying organisations that Waka Kotahi recognises. These are TELARC, IMPAC, SHE, SAFEPLUS, QSAFE, SITEWISE.

- 1.4.3 Waka Kotahi will ensure the currency of Certification and ensure the relevancy to the Scope and Grade of work being applied for.
- 1.4.4 For Auditing purposes, Waka Kotahi reserves the right to request any Contractor to provide specific documentary evidence that has informed a Prequalification Certificate.
- 1.4.5 All Contractors must register with Tōtika as part of their application.
- 1.4.6 Please refer to Section 1.5 and the Health and Safety Compliance checklist in Appendix A for further details regarding applicability to the classification levels of work being applied for.
- 1.4.7 Experience and capability alignment with the specific Roding component required by Waka Kotahi will be assessed through the Reference letters provided as a follow up to a Mutual Recognition application.
- 1.4.8 The mutual recognition application must include a copy of the prequalification certificate from the 3<sup>rd</sup> party Assessment and Verification provider along with the Prequalification Certificate from the Client organisation.
- 1.4.9 An applicant should consider the alignment with the Agency's prequalification requirements including Capital Cost Thresholds and Work Categories.
- 1.4.10 The completed 'Registration Form for Mutual Recognition' shall be lodged with [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz)
- 1.4.11 Waka Kotahi may undertake its own investigation of a company seeking mutual recognition and may request further information from the company or from the original Assessing Agency before granting mutual recognition. This includes reference checking.
- 1.4.12 Waka Kotahi may choose not to accept a 'Mutual Recognition' application (if the criteria etc. cannot be aligned). In this case the applicant would be required to complete the full Waka Kotahi Prequalification Application process if they still wanted to become prequalified.

## 1.5 Health and Safety Prequalification

- 1.5.1 Good practice guidelines for a Person Conducting a Business or Undertaking (PCBU) working together, identifies that a lead PCBU (e.g. Waka Kotahi) should undertake activities that provide assurance of a contracted partner's health and safety capability, prior to engagement.
- 1.5.2 We define this activity as "prequalification" in health and safety. Prequalification alone is not a guarantee of health and safety competence but ensures a potential partner has the ability, resources and necessary systems and procedures required to manage their work in a healthy and safe way.
- 1.5.3 Our prequalification process is completed through Tōtika, a single framework that brings all health and safety prequalifications together under one umbrella. As part of our Construction Sector Accord obligations to simplify health and safety prequalification processes, by joining Tōtika contracted partners need only prequalify once, against one set of standards, instead of duplicating effort for each new client and opportunity.
- 1.5.4 To register with Tōtika, contracted partners must sign up as a contractor/supplier on the Tōtika website (<https://www.chasnz.org/totika>) and notify Waka Kotahi when this process is complete via email at [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).

## 2. APPLICATION PROCEDURE



### Step 1: Information pack

Read and become familiar with the prequalification procedures in this Information Pack



### Step 2: Work sites

Identify which of the four work sites (described in detail in Section 4) cover the type of Waka Kotahi work that your company may tender for. The four work sites are:

1. Routine & Minor Works
2. Surfacing
3. Bridge Construction
4. Construction



### Step 3: Classification level

Identify which of the two work classification levels (described in detail in Section 4) that you meet and are able to provide the appropriate supporting documentation for.



### Step 4: Subscribe to Tōtika

Contact Tōtika and complete registration process.



### Step 5: Application upload

Confirm which work sites and levels you would like to apply for and submit the required supporting information (described in detail in Section 3) via [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).

Information supplied will be retained under your company's in-house prequalification profile. In the event of changes to your company (refer to section 3.4) this allows a comparison between old and new company details to be made. You are required to notify Waka Kotahi of company changes at the time of the change.

All questions should be directed to the Waka Kotahi Prequalification Manager.

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

**You should receive notification of the result of your application within 4 weeks**

## 3. APPLICATION INFORMATION

### 3.1 Trading divisions

- 3.1.1 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.

### 3.2 Company and Application Information

- 3.2.1 The following company information is required as part of the application process:

Company Contact Information (Name, Position, Email, Phone Number)

Physical address

Mailing address

Company phone number

Company fax number

Company web address

Geography served from the following list: Northland, Auckland & Coromandel, Waikato, Bay of Plenty, Gisborne, Taranaki, Hawkes Bay, Manawatū–Wanganui, Wellington, Tasman & Nelson, Marlborough, West Coast, Canterbury, Southland, Otago

A short blurb about the contractor

- 3.2.2 The following application information is required as part of the application process:

Work Types (As listed on pages 15–17)

Work Side Applied For (Construction, Surfacing, Bridging, Routine & Minor Works)

Level Applied For (Levels A – D)

### 3.3 Supporting information

- 3.3.1 The following supporting information is required as part of the application process:

Tōtika Assessment

Quality management system accreditation

Environmental management system accreditation

Organisational structure (chart of management and technical personnel)

Curriculum vitae of all key project management and supervisory / technical staff (refer to the checklist on appendix A)

Resources – list all relevant plant (with year of manufacture) and total staff employed as at date of application. Also, indicate whether plant is owned or rented by the Contractor.

Reference letters: covering environmental management, quantum or size of work and co-operation or proactive partnering.

## 3.4 Reference letters / Capability Assessment

- 3.4.1 Guidance on the number of confirming letters required is given in Appendix A and is summarised below: –

Reference letter	A	B	C	D
Environmental management	3	3	1	1
Quantum or size of work	3	3	3	3
Cooperation or proactive partnering	3	1	1	N/A

- 3.4.2 Please ensure the Reference template letter found in Appendix B is used as the streamlining of this template allows for one letter covering Environmental, Quantum and Cooperation and partnering aspects to be submitted in one letter for each of the 3 projects required.
- 3.4.3 Where more than one confirming reference letter is required, each letter shall be signed by a different person.
- 3.4.4 Referees will be required to confirm that they do not have or have had financial association or conflict of interest with the contractor. A subsidiary, sister company or TLA ownership (e.g. CCOs) would constitute a conflict of interest. Guidance and the format for these letters is given in Appendix B.

## 3.5 Company changes

- 3.5.1 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 the Prequalification Evaluation Team immediately via email to [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).
- 3.5.2 The Prequalification Manager 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. This can be carried out at the next available registration period.

## 3.6 Change of classification levels

- 3.6.1 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 outside the set registration periods, they must apply to the Prequalification Manager with the necessary reference letters for that level(s) and category(s).

## 3.7 Updating the Register of Prequalified Contractors

- 3.7.1 Waka Kotahi will endeavour to update the Prequalification Register within one (1) week of the following dates; 31 January, 30 April, 31 July, and 31 October for applications assessed in the previous quarter.
- 3.7.2 The Register of Prequalified Contractors may be updated outside these dates in exceptional circumstances, in which case all Prequalified Contractors who have submitted email contact details will be notified by email of the change to the register.

## 3.8 Privacy

- 3.8.1 The personal information you provide with your application for Prequalification for Physical Works will be used by Waka Kotahi for the purposes of assessing and communicating with you about your application and other Prequalification matters. If you don't provide all of the information requested, we may not be able to process your application.

Where you are providing personal information about another person, such as CV information for staff or referees we ask that you ensure that they are made aware that their information will be provided to Waka Kotahi for the purposes of prequalification and that their information will be handled by Waka Kotahi in accordance with this privacy statement.

We also ask that you ensure that any information you provide with your application, including personal information about other people, is up-to-date and accurate.

We use third party providers to store and process some information that we hold. We store some personal information in Microsoft Azure data centres in Australia. We also use Microsoft Office 365 for our email and other office productivity applications. This means that the personal information we hold may be transferred to, or accessed from, countries other than New Zealand.

We take reasonable steps to ensure the personal information that we hold is protected against loss, unauthorised access and disclosure or any other misuse in accordance with the Privacy Act 2020, including information stored or processed by our third-party providers. We have assessed and are satisfied that, for example, Microsoft has adequate security and privacy safeguards in place to protect information it holds on our behalf.

Under the Privacy Act 2020, you have the right to request access to and correction of the personal information that we hold about you. If you'd like to make a request or have any concerns about our handling of your personal information, please write to:

Waka Kotahi NZ Transport Agency  
Private Bag 11777 Manawatu Mail Centre  
Palmerston North 4442

Alternatively, you can send an email to [info@nzta.govt.nz](mailto:info@nzta.govt.nz)

## 4. PREQUALIFICATION CLASSIFICATION AND WORK SITES

### 4.1 Classification levels

4.1.1 The Prequalification system classifies Contractors according to their ability to meet specified quality levels within each of four (4) physical works categories.

4.1.2 Each work category has four possible quality levels, where A is the highest and D is the lowest, to give the following 16 prequalification classification Levels:

Work Categories	Classification Level			
	A	B	C	D
1. Routine & Minor Works	1A <sup>1</sup>	1B	1C	1D
2. Surfacing	2A	2B	2C	2D
3. Bridge Construction	3A	3B	3C	3D
4. Construction	4A	4B	4C	4D
<b>Level A</b>	<ul style="list-style-type: none"> <li>• Prequalification classification typically for high value Capital Works and NOC Maintenance Contracts.</li> <li>• Capable resources and experience to carry out projects estimated above \$20Million. (indicative only)</li> <li>• Are considered high risk</li> <li>• Needs the highest Quality Management System to ISO 9001 2016</li> <li>• Technically complex requiring specialist appreciation and understanding</li> <li>• Involves full partnering and co-operation with all parties</li> <li>• Complex and sensitive Environmental Management issues</li> <li>•</li> <li>•</li> </ul>			
<b>Level B</b>	<ul style="list-style-type: none"> <li>• Prequalification classification typically for medium to high value Capital Works and NOC Maintenance Contracts.</li> <li>• Capable resources and experience to carry out projects estimated at between \$5Million and \$20Million (indicative only)</li> <li>• Are considered medium to high risk</li> <li>• Quality Management System having evidence of working towards ISO 9001 2016 certification</li> <li>• Technically complex requiring technical appreciation and understanding</li> <li>• Limited surveillance required, and the contractor adheres to the principles of partnering</li> <li>• Complex Environmental Management issues</li> <li>•</li> </ul>			
<b>Level C</b>	<ul style="list-style-type: none"> <li>• Prequalification classification typically for low to medium value Capital Works Contracts.</li> <li>• Capable resources and experience to carry out projects estimated at between \$0.5 and \$5 Million (indicative only)</li> <li>• Are considered low to medium risk</li> <li>• Need a moderate level of quality control</li> <li>• Provide 3 copies of recent Quality Plans for assessment of capability.</li> </ul>			

<sup>1</sup> Contractor needs to be directly responsible for the delivery of activities or have experience as a Prime Contractor responsible for the delivery of activities included in this work category

	<ul style="list-style-type: none"> <li>• Not technically complex but requiring technical appreciation and understanding</li> <li>• Minimum surveillance on co-operation and pro-active partnering</li> <li>• Simple Environmental Management issues</li> <li>•</li> </ul>
<b>Level D</b>	<ul style="list-style-type: none"> <li>• Prequalification classification typically for the Low Cost/ Low Risk, Minor Works, Safety Programs and Panel Participants.</li> <li>• Capable resources and experience to carry out projects usually less than \$0.5 Million</li> <li>• Are considered low risk</li> <li>• Need only a simple level of quality control – Provide 1 copy of a recent Quality Plan to enable assessment of capability.</li> <li>• Technically simple, routine or repetitive</li> <li>• Minor levels of surveillance and support</li> <li>• Does not involve sensitive Environmental Management issues</li> </ul>

## 4.2 Work sites

- 4.2.1 Projects may be categorised as one or more of the following four Work categories. Contractors need to request to be connected to the work category most applicable to the types of work they are likely to tender for.

1. Routine & Minor Works	
<b>Pavement Maintenance</b>	<ul style="list-style-type: none"> <li>▪ Patching and repairs including potholes</li> <li>▪ Shoulder maintenance including flanking</li> <li>▪ Routine maintenance and repair of surface water channel and subsoil drainage</li> <li>▪ Stream clearing and debris removal; to maintain water courses through culverts</li> <li>▪ Repair minor scour in water channels and other drainage facilities</li> <li>▪ Renewal or installation of culverts with an opening area less than 3.4 m<sup>2</sup></li> <li>▪ Repair dropouts and/or slips that do not require restriction of a traffic lane, provided they do not need urgent attention to remove a threat to road safety or the road structure</li> <li>▪ Repair to scour, degradation or aggradations threatening roads, bridges or other roading related structures which has accumulated over time</li> <li>▪ Repair to any other deficiency which has developed from events occurring over a period of time</li> <li>▪ Replacement of wearing and running course metal on unsealed roads</li> <li>▪ Grading of unsealed roads</li> </ul>



<b>Traffic Services</b>	<ul style="list-style-type: none"> <li>▪ Provision and maintenance of signs. Provision and maintenance of road markers</li> <li>▪ Provision and maintenance of pavement markings</li> <li>▪ Operation and maintenance of traffic signals</li> <li>▪ Operation and maintenance of electronic signage</li> <li>▪ Operation and maintenance of traffic monitoring equipment, such as area-wide traffic control systems and CCTV</li> <li>▪ Operation and maintenance of emergency telephones on motorways</li> <li>▪ Maintenance of guardrails and sight rails</li> <li>▪ Replacement of traffic signal, electronic signage and surveillance equipment with an equivalent but state of art facility.</li> </ul>
<b>Carriageway Lighting</b>	<ul style="list-style-type: none"> <li>▪ Provision and maintenance of operation of lighting on local roads</li> <li>▪ Provision and maintenance of operation of lighting on state highways</li> <li>▪ Provision and maintenance of operation of belisha beacons and floodlights at pedestrian crossings</li> </ul>
<b>Vegetation Control</b>	<ul style="list-style-type: none"> <li>▪ Protection planting projects</li> <li>▪ Toe weighting of unstable slopes</li> <li>▪ Drainage installed to drain incipient slips</li> <li>▪ New works which protect existing roads from sea or river damage</li> </ul>
<b>Amenity/Safety Maintenance</b>	<ul style="list-style-type: none"> <li>▪ Snow clearing and ice control</li> <li>▪ Vegetation control</li> <li>▪ Litter collection on rural roads</li> <li>▪ Removal of, protection against, graffiti on roading structures</li> <li>▪ Removal and cleaning up crash debris and spillages (excluding hazardous substances which are responsibility of emergency services)</li> <li>▪ Cleaning channels, sumps and cesspits</li> </ul>
<b>Traffic Management</b>	<ul style="list-style-type: none"> <li>▪ Provision and operation of advanced traffic management systems (ATMS)</li> <li>▪ Provision and operation of variable message signs</li> <li>▪ Provision and operation of local area traffic management schemes</li> <li>▪ Provision and operation of surveillance and traffic detection devices</li> <li>▪ Provision and operation of weighing devices</li> <li>▪ Maintenance of Traffic Management Systems</li> </ul>
<b>Minor Safety</b>	<ul style="list-style-type: none"> <li>▪ Small isolated geometric improvements</li> <li>▪ Intersection improvements</li> <li>▪ Traffic calming measures</li> <li>▪ Lighting improvements</li> <li>▪ Power pole relocation</li> <li>▪ Provision of guard railing</li> <li>▪ Sight benching to improve visibility</li> <li>▪ Pedestrian crossings</li> <li>▪ Stock underpasses</li> <li>▪ Formation of trailer parks</li> </ul>
<b>2. Surfacing</b>	
<b>Reseals/Seal Extension</b>	<ul style="list-style-type: none"> <li>▪ Conventional chip reseals including second coat seals</li> <li>▪ Void filling seal coats</li> <li>▪ Texturing seals</li> <li>▪ Other approved special purpose chip seals</li> <li>▪ Asphaltic surfacing</li> </ul>

<b>3. Bridge Construction</b>	
<b>Bridge Maintenance/ Repairs</b>	<ul style="list-style-type: none"> <li>▪ Repair of bridge retaining walls</li> <li>▪ Replacement of timber decks</li> <li>▪ Replacement of damaged or deteriorated structural members</li> <li>▪ Sand blasting and painting of structural members</li> <li>▪ Foundation protection</li> </ul>
<b>Bridge Construction</b>	<ul style="list-style-type: none"> <li>▪ Replacing bridge structure</li> <li>▪ Widening an existing bridge</li> <li>▪ New Bridge</li> </ul>
<b>4. Construction</b>	
<b>Rehabilitation/ Pavement Treatment</b>	<ul style="list-style-type: none"> <li>▪ Removal and replacement of the existing pavement material</li> <li>▪ Rip and relay</li> <li>▪ Chemical stabilisation</li> <li>▪ Unbound granular overlays not exceeding 70mm over high spots</li> <li>▪ Treatments involving ripping and/or reshaping, including stabilisation of the existing pavement material</li> </ul>
<b>Drainage Improvements</b>	<ul style="list-style-type: none"> <li>▪ Repair and replacement of kerb and channel</li> <li>▪ Installation of water channels, sub-soil drainage</li> <li>▪ Renewal or installation of culverts with a diameter greater than 600mm</li> <li>▪ Routine maintenance and repair of surface water channel and subsoil drainage</li> <li>▪ Stream clearing and debris removal; to maintain water courses through culverts</li> </ul>
<b>Road Construction</b>	<ul style="list-style-type: none"> <li>▪ New road realignments</li> <li>▪ Regrading</li> <li>▪ Widening</li> <li>▪ Intersection Improvements</li> <li>▪ Approaches to bridge renewals</li> <li>▪ New retaining structures</li> <li>▪ Tunnels</li> </ul>

## 5. ASSESSMENT PROCESS

### 5.1 Assessment flowchart



## 5.2 Processing timeframes

- 5.2.1 Assessment process will be completed within four weeks from the date of receipt of the application, subject to the information provided being complete and accurate. An incomplete application may cause delays beyond the stipulated time.
- 5.2.2 A contractor's prequalification is not officially recognised until the Waka Kotahi certificate has been issued to the contractor. This will be undertaken via email from [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz).

## 5.3 Prequalification register

- 5.3.1 The current list of Prequalified Contractors and their classification is available on the Waka Kotahi website ([www.nzta.govt.nz](http://www.nzta.govt.nz)).
- 5.3.2 Submission of a prequalification application can be made at any time. However, the Register of Prequalified Contractors will only be updated quarterly; 31 Jan, 30 April, 31 July and 31 Oct). e.g. a Contractor whose application is approved 21 Feb, will have its Prequalification status confirmed at the next update (30 April) of the Register of Prequalified Contractors.

## 5.4 Reapplying for registration

- 5.4.1 Contractors are entitled to reapply for registration on condition that they are able to provide evidence the conditions and circumstances have changed sufficiently for the Prequalification Manager to reconsider their application.

## 6. APPEAL ON PREQUALIFICATION MANAGER'S DECISION

### 6.1 Appeal period

- 6.1.1 Within 14 days of notification from the Prequalification Manager to either downgrade or reject a Prequalification application, the Contractor may submit a Letter of Appeal (with supporting documents) for the Prequalification Review Committee's consideration to:

The Prequalification Manager  
Prequalification Review Committee  
Waka Kotahi NZ Transport Agency  
Private Bag 6995  
Wellington 6141

### 6.2 Additional information

- 6.2.1 The Prequalification Review Committee will review any additional information provided by the applicant and make a ruling on the Contractor's appeal.

### 6.3 Final decision

- 6.3.1 The decision of the Prequalification Review Committee will be final.

## 7. PERFORMANCE REVIEWS

### 7.1 Overview

- 7.1.1 The Prequalification Manager will use the Waka Kotahi generated Interim and Final PACE reports to monitor the performance of Prequalified Contractors.

### 7.2 Yearly performance review

- 7.2.1 Once per year, a full performance review will be conducted for each Prequalified Contractor using PACE. Feedback will be provided to the Prequalified Contractor.

### 7.3 Out of cycle review for inadequate performance

- 7.3.1 If the total score in a Pace Report (Interim or Final) for any of the 4 PACE main Criteria Categories (Management Production, Health and Safety or Administration) average 40% or less, a performance review will be undertaken. In addition, the Prequalification Manager, in discussion with the Waka Kotahi Project Manager, will make a decision on whether a performance review is necessary when:

- 3 or more (in total) of the individual PACE criteria are 40% or less, or
- 2 or more in any one category are 40% or less.

### 7.4 Out of cycle performance review

- 7.4.1 The Prequalification Manager will initiate a Performance Review in consultation with the Project Manager, supervising consultant and the Contractor. The Prequalification Manager will organise for an independent party to prepare a report covering the Contractor's performance and make a recommendation to Prequalification Review Committee (PRC) within 4 weeks, regarding the continuing Prequalification registration status of that Contractor.
- 7.4.2 The PRC will advise the Contractor in writing of the outcome of the performance review.

### 7.5 Penalties for inadequate performance

- 7.5.1 Penalties for inadequate performance can apply to any or all Waka Kotahi Regions and involve any of the following:
- **Warning:** any recurrence will lead to automatic suspension.
  - **Downgrading:** Supplier downgraded and required to re-submit application to reverse downgrading.
  - **Suspension:** Prequalification withdrawn for a set period.
  - **Rescind registration:** Prequalification withdrawn for a set period and application must be resubmitted.
  - **Evidence:** Suppliers may be asked to demonstrate the remedial actions taken to improve in the specific area of inadequate performance.

## **7.6 Review of registration / classification**

7.6.1 The PRC has the right to review any registration/classification at any time.

## **7.7 Appeal**

7.7.1 The Contractor has 14 calendar days to appeal the PRC decision.

## 8. RENEWAL OF PREQUALIFICATION REGISTRATION

### 8.1 Registration cycle

8.1.1 Registration for Prequalification has a **two-year life** span with a maximum validity until 30 June the next odd year.

### 8.2 Renewal of registration

8.2.1 12 weeks prior to end of the current registration period Waka Kotahi will issue a bulletin to invite all Prequalified Contractors to renew their registration based on the current status of classification.

8.2.2 This is done by reconfirming basic details about the Prequalified Contractors and in most circumstances will not require a new Prequalification Application to be provided.

### 8.3 Changes to classification level

8.3.1 Where there has been a change in the category and /or classification of the Contractor or the Contractor intends to register for different work categories, a new Prequalification application must be submitted by the Contractor for evaluation and registration.

8.3.2 Documents will need to be supplied for the categories the contractor wishes to upgrade only.

### 8.4 Change in classification level using PACE report

8.4.1 Where a PACE report is used by a Contractor to seek a change to their Prequalification level, the Prequalification Manager will advise the Contractor on additional documentation inputs required. The exact requirements will be assessed on a case-by-case basis.

8.4.2 The final approval of the change will be made by the Prequalification Manager.



## GLOSSARY OF TERMS

<b>Classification Level</b>	The Prequalification system has four Classification Levels A through D, Level A being the highest and D the lowest Classification Level
<b>Group Manager</b>	The Group Manager (GM) is a Waka Kotahi manager with the appropriate delegated powers and duties as described in the Waka Kotahi State Highway Control Manual.
<b>Tōtika Scheme (Tōtika)</b>	Online system to manage Waka Kotahi health and safety prequalification.
<b>PACE</b>	<p>Performance Assessment by Coordinated Evaluations (PACE) is the performance evaluation system used by Waka Kotahi to assess Physical Works and Professional Services contracts.</p> <p>The requirements of the PACE system can be downloaded from the Waka Kotahi website (<a href="http://www.nzta.govt.nz">www.nzta.govt.nz</a>).</p>
<b>Performance Criteria</b>	<p>These define the quality standards required to achieve Prequalification. There are seven Performance Criteria that the Contractor needs to comply:</p> <ul style="list-style-type: none"> <li>• Quality Assurance</li> <li>• Traffic Management</li> <li>• Environmental Management</li> <li>• Health and Safety</li> <li>• Project Management</li> <li>• Quantum or Size of Work</li> <li>• Cooperation and Proactive Partnering</li> </ul>
<b>Prequalification Certificate</b>	The certificates issued to Contractors who have successfully completed Prequalification registration. The certificate allows a Contractor to tender for Waka Kotahi Physical Works contracts with Prequalification requirements.
<b>Prequalification Manager</b>	The person in Waka Kotahi who is responsible for the management of the Prequalification system.

<b>Prequalification Review Committee (PRC)</b>	<p>The PRC consists of a Waka Kotahi representative, a Contractor's representative, and a Consultant representative.</p> <p>The PRC:</p> <ul style="list-style-type: none"> <li>• Reviews appeals from Contractors whose Prequalification application has been rejected and/or downgraded by the Prequalification Manager.</li> <li>• Decides on the Prequalification Manager's recommendation on the PACE initiated Performance Reviews of Contractors carried out pursuant to Section 7.2 – Inadequate Performance, of this document.</li> <li>• Be actively involved in any dispute resolutions regarding Prequalification, where necessary.</li> </ul>
<b>Prime Contractor</b>	<p>Main contractor who has a contract with the Client for a project or job and has the full responsibility for its completion. A prime contractor undertakes to perform a complete contract and may employ (and manage) one or more subcontractors to carry out specific parts of the contract.</p> <p>The application of the prime contractor can only apply to Work Category 1A: Routine &amp; Minor Works.</p>
<b>Compliance Checklist (CC)</b>	<p>The CC details the Performance Criteria required for each classification level. Contractors should complete these as part of their Prequalification registration application process to confirm they have submitted the required information.</p>
<b>Referee</b>	<p>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 project.</p>
<b>Regional Primary Assessor (RPA)</b>	<p>The Waka Kotahi Project Manager appointed to receive and check the registration applications forwarded by the Prequalification Evaluation Team. The RPA scrutinises the submission and satisfies themselves that the information provided by the Contractor is accurate in form and content and is consistent with their knowledge of the Contractor. Comments in this regard are then forwarded to the PET.</p>
<b>Registration</b>	<p>The process of seeking acceptance to become a Prequalified Contractor by submitting an application.</p>
<b>Work Categories</b>	<p>Contractors are classified in accordance with their expertise in four physical work categories i.e. Routine &amp; Minor Works, Surfacing, Bridge Construction, and Construction.</p>

## APPENDIX A: COMPLIANCE CHECKLIST

LEVEL	PERFORMANCE CRITERIA	DOCUMENTATION REQUIREMENTS	INCLUDED
<b>Quality Management System Accreditation</b>			
D	Uses a Quality Control System based on the Z/1 and Z/8 specifications.	Provide copy of recent Quality Plan complying to confirm competency.	
C	Uses a Quality Control System that meets the Z/1 and Z/8 specifications.	Provide 3 copies of recent Quality Management Plans to confirm competency.	
B	Uses a Quality Management system that meets ISO 9001: 2016.	Provide evidence of progress towards ISO9001 certification.	
A	Uses Quality Management System certified to relevant ISO 9001 Standard by an accredited organisation.	Provide current certification to ISO 9001:2016 by a JAS-ANZ accredited organisation.	
<b>Environmental Management System Accreditation</b>			
D&C	Uses an Environmental Management System based on the Waka Kotahi Environmental and Social Management Plan Guidance.	Provide copy of recent example of Environmental and Social Management Plan in accordance with the Waka Kotahi guidelines.	
B&A	Uses an Environmental Management System certified to relevant ISO 14001 Standard by an accredited organisation.	Provide current certification to ISO 14001 :2015 by a JAS-ANZ accredited organisation.	
<b>Health and Safety</b>			
Level A	Must fully comply with the relevant sections of the <i>Health and Safety at Work Act 2015</i> and have a documented Health and Safety Management System in operation.	Achieve a Tōtika assessment score of 95% or above.	
Level B	Must fully comply with the relevant sections of the <i>Health and Safety at Work Act 2015</i> and have a documented Health and	Achieve a Tōtika assessment score of 95% or above.	

	Safety Management System in operation.		
<b>Level C</b>	Must fully comply with the relevant sections of the <i>Health and Safety at Work Act 2015</i> and have a documented Health and Safety Management System in operation.	Achieve a Tōtika assessment score of 85% or above.	
<b>Level D</b>	Must fully comply with the relevant sections of the <i>Health and Safety at Work Act 2015</i> and have a documented Health and Safety Management System in operation.	Achieve a Tōtika assessment score of 75% or above.  In certain cases, contractors who have achieved a score between 65% and 75% will be eligible for prequalification. These will be assessed on a case-by-case basis and will require the score to be raised to 75% within one year.	
<b>Project Management – Curriculum Vitae</b>			
<b>D</b>	Work of a routine and repetitive nature. Not technically demanding.	Provide details of experience of project management and technical staff (2 pages CV for each staff)	
<b>C</b>	Some variation requiring technical appreciation and understanding.	Provide details of experience of project management and key supervisory staff (2 pages CV for each staff)	
<b>B</b>	Technically complex requiring technical appreciation and understanding.	Provide details of experience of project management and key supervisory staff, all with at least <b>three</b> years' experience (2 pages CV for each staff)	
<b>A</b>	Technically complex requiring specialist appreciation and understanding.	Provide details of project management and key supervisory staff (one of whom is an Engineer or equivalent), all with at least <b>five</b> years' experience (provide CVs of staff)	
<b>Company Information</b>			
<b>All levels</b>	Organisational structure (chart of management and technical personnel)		
	Resources list of all relevant plant (with year of manufacture) and total staff employed as at date of application.		
<b>Environmental Management</b>			

<b>D&amp;C</b>	Capable of providing simple environmental management.	Provide a <b>confirming letter</b> from a supervising authority on a recently completed project.	
<b>B&amp;A</b>	Capable of providing complex environmental management.	Provide confirming letters from supervising authorities on <b>three</b> recently completed projects.	
<b>Quantum or size of work</b>			
<b>D</b>	Has the capability, resources and experience to carry out projects estimated at less than \$ 0.5M	Provide confirming letters from supervising authority on <b>three</b> recently completed projects.	
<b>C</b>	Has the capability, resources and experience to carry out projects estimated at between \$0.5M and \$5M	Provide confirming letters from supervising authority on <b>three</b> recently completed projects.	
<b>B</b>	Has the capability, resources and experience to carry out projects estimated at between \$5M and \$20M	Provide confirming letters from supervising authority for <b>three</b> recently completed projects.	
<b>A</b>	Has the capability, resources and the experience to carry out projects estimated at more than \$20M.	Provide confirming letters from supervising authority for <b>three</b> recently completed projects.	
<b>Co-operation and Proactive Partnering</b>			
<b>D</b>	Surveillance and support required.	Provide details of successful completion of recent project demonstrating co-operation with client/engineer.	
<b>C</b>	Some surveillance required, proactive co-operation with all parties.	Provide confirming letter from supervising authority on a recently completed project.	
<b>B</b>	Very limited surveillance required, adheres to the principles of partnering.	Provide confirming letter from supervising authority on a recently completed project.	
<b>A</b>	Experienced in the establishment and practice of a Full Partnering Charter and co-operates fully with all parties (or demonstrates capability to achieve this).	Provide confirming letter from supervising authority for <b>three</b> recently completed projects.	



# APPENDIX B: REFERENCE LETTER TEMPLATE AND GUIDANCE

# Letter Template

The Prequalification Manager  
 Waka Kotahi NZ Transport Agency  
 Victoria Arcade  
 44 Victoria Street  
 Private Bag 6995  
 Wellington 6141

Insert date

## RE: REFERENCE LETTER – Waka Kotahi Prequalification for physical works

Further to the Waka Kotahi 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 the client.

Name of contractor:

Contract:

The scope of this contract covered the following work categories (please see Table 1 for definition of work categories):

Ref	Work category	Please tick
1	Routine and Minor Works	<input type="checkbox"/>
2	Surfacing	<input type="checkbox"/>
3	Bridge Construction	<input type="checkbox"/>
4	Construction	<input type="checkbox"/>

I 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 Waka Kotahi prequalification**Contract value: \$ 

Contract start date :     /     /

Contract end date :     /     /

**Environmental management**

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

Level	Description
A	Capable of providing complex, high risk environmental management
B	Capable of providing complex, medium risk environmental management
C	Capable of providing simple, low to medium risk environmental management
D	Capable of providing simple, low risk environmental management

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	Routine and Minor Works	N/A	A	B	C	D
2	Surfacing	N/A	A	B	C	D
3	Bridge Construction	N/A	A	B	C	D
4	Construction	N/A	A	B	C	D

**Quantum or size of work**

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

Level	Description
A	Greater than \$20M
B	Between \$5M and \$20M
C	Between \$0.5M and \$5M
D	Up to \$0.5M

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	Routine and Minor Works	N/A	A	B	C	D
2	Surfacing	N/A	A	B	C	D
3	Bridge Construction	N/A	A	B	C	D
4	Construction	N/A	A	B	C	D

**Cooperation and proactive partnering**

Based on the contractor's performance on the above project 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 some surveillance and support
D	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	Routine and Minor Works	N/A	A	B	C	D
2	Surfacing	N/A	A	B	C	D
3	Bridge Construction	N/A	A	B	C	D
4	Construction	N/A	A	B	C	D

Signature (client to sign):

Name (print client name):

# Guide for referees

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

- insert name of project
- insert name of project
- insert name of project
- insert name of project

They would like to apply for Waka Kotahi prequalification for physical works. 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 project(s) noted above. There are 4 work categories that contractors can prequalify for in Table 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.

You will also be asked to verify the level of environmental management required and performed on the project taking into consideration the list of activities provided in Table 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 Waka Kotahi.

**Table 1 – Work category descriptions**

Reference	Work Category
<b>1</b>	<b>Routine and Minor Works</b>
	<ul style="list-style-type: none"> <li>• Pavement Maintenance</li> <li>• Traffic Services</li> <li>• Carriageway Lighting</li> <li>• Vegetation Control</li> <li>• Amenity/Safety Maintenance</li> <li>• Traffic Management</li> <li>• Minor Safety</li> </ul>
<b>2</b>	<b>Surfacing</b>
	<ul style="list-style-type: none"> <li>• Reseals/Seal Extension</li> </ul>
<b>3</b>	<b>Bridge Construction</b>
	<ul style="list-style-type: none"> <li>• Bridge Maintenance/Repairs</li> <li>• Bridge Construction</li> </ul>
<b>4</b>	<b>Construction</b>
	<ul style="list-style-type: none"> <li>• Rehabilitation/Pavement Treatment</li> <li>• Drainage Improvements</li> <li>• Road Construction</li> </ul>

**Table 2 – Environmental management activities**

Manages construction noise to acceptable levels
Manages construction dust
Manages energy consumption and waste associated with construction and the business in a cost effective and sustainable manner
Manages spray drift of chemicals during construction
Adverse environmental effects of stormwater run-off are avoided or minimised during construction
Avoids, remedies or mitigates effects of soil erosion, sediment run-off and sediment deposition during construction
Ensures that non-road users are catered for during construction (maintain safety, comfort and connectivity)
Sensitive construction around heritage and archaeological features
Safe removal of contaminated soil
Avoids or reduces, as far as practicable, the disturbance to communities from vibration during construction

Your reference MUST be provided using the attached template. A separate letter must be completed for EACH project 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 projects should be within the last 5 years. References from Waka Kotahi 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 project at that level.

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

# APPENDIX C: REGISTRATION FORM FOR MUTUAL RECOGNITION

**GENERAL INSTRUCTIONS:**

This process is intended to facilitate applicants that are prequalified under the National Prequalification System with a Participating Authority in Australia, and applicants who are prequalified for with Approved Organisations (typically Local Authorities and KiwiRail) and recognised large NZ Utility Organisations who are seeking Prequalification recognition with Waka Kotahi. Experience and capability alignment with the specific Roding component required by Waka Kotahi will be assessed through the Reference letters provided as a follow up to a Mutual Recognition application.

All applicants who meet these criteria must complete this Registration Form.

The Application Form contains form fields to enable it to be completed electronically.

Submissions must be emailed to [prequalification@nzta.govt.nz](mailto:prequalification@nzta.govt.nz)

# 1. General Information

Applicants must provide the following general information:

- (a) Name of the company or entity under which this application is being made and under which tenders will be submitted (hereinafter referred to as the Applicant)

- (b) Trading name (if different)

- (c) State the type of entity e.g. public or private company, individual, joint venture etc.

- (d) State of registration of company (if applicable)

- (e) ABN

- (f) ACN or ARBN



(g) Address of registered office

(h) Postal address

(i) Business address

(j) Preferred address (please tick)

Address of registered office

Postal Address

Business address

(k) Telephone number

(l) Email address

(m) Website address

(n) Contact for prequalification enquiries (full name, position and email address)

(o) Contact for general enquiries (full name, position and email address)

(p) Membership of industry associations (please list)

## 2. Prequalification Categories

Applicants for mutual recognition must note the name of the assessing authority, the Approved Organisation in New Zealand or the participating Authority in Australia, with whom the Applicant is prequalified.

The Registration Form must include a copy of the registration letter and certificate provided by the assessing authority that lists the prequalification categories registered in and whether any restrictions or conditions apply to the prequalification.

Applicants must also detail the Work Category and Classification level being applied for.

Name of assessing authority and Work Category and Classification Levels applied for.

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Prequalification letter/certificate attached (please tick)