

Contract [Number]
[Contract Name]

Registration of Interest

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CONSULTANT QUALITY RECORD

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DOCUMENT CHANGE FORMAT CODES

This proforma document provides the basis for the development of physical works contract documents for Waka Kotahi NZ Transport Agency's (Waka Kotahi) physical works contracts administered under 3910 and 3916 (i.e. Traditional and D&C). The purpose of the proforma is to provide consistency throughout the Waka Kotahi regional operations and to ensure that an appropriate level of detail is provided for tender documentation.

Black

Black text is mandatory and may not be changed without approval prior to issue by the Waka Kotahi Project Manager, who will consult with the Waka Kotahi Project Services Team on all material changes made.

Red

Red text is used for data which requires fields to be updated or at least considered for each contract and marked at the beginning with [and the end with]. Text can also be used as is, modified or replaced. All red text adjustments must have the Waka Kotahi Project Manager's approval.

Blue

Blue text is used for optional clauses which can be included as is or deleted in full.

Purple

Purple text is used for prequalification clauses which are to be included for prequalification tenders only. Prequalification clause details must be prior approved with the Project Manager.

Green

Green text is used for clauses for traditional tenders.

Brown

Brown text is used for clauses for D&C tenders.

<<Guidance Notes>>

Blue text with yellow highlighting and marked at the beginning with << and the end with >> are guidance notes for the Tender Document creator. Guidance notes must be removed prior to tender document release.

[Insert Contract name]
Contract No: [insert no]

Waka Kotahi NZ Transport Agency
Registration of Interest
ROI

SET NO. _____

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1 INTRODUCTION

1. General

- 1.1.1 A Registration of Interest (ROI) is invited from suitably experienced contractors (applicants) interested in being short-listed as prospective tenderers for the **design and** construction of the [Project Name].
- 1.1.2 This ROI is the first stage in a two-stage procurement process. More detailed and specific attribute information will be requested in the second stage and will be required to be submitted with tenders for the purpose of the tender evaluation.
- 1.1.3 From the ROI submissions, up to [three / four] tenderers will be shortlisted and invited to submit a tender for the Contract Works (second stage). <<Guidance note: we typically short list to three tenderers for D&C contracts>>

2. Description of the Project

- 1.2.1 [Brief description of the project].
- 1.2.2 [Describe a brief summary of key features of the works, e.g. length, no of structures, volume of earthworks, timeframe etc.].
- 1.2.3 [Describe any project specific objectives or constraints]

3. ROI and Questionnaire

- 1.3.1 The ROI provides interested parties with details of the project and the specific contract strategy.
- 1.3.2 Information to be provided by applicants is set out in the Applicant's Questionnaire (Appendix [C] of this ROI) and will be used for evaluating the applicant's attributes as the basis for selection of the short-listed tenderers. In accordance with the Pre-qualification for Physical Works, this contract has been classified as <<Guidance note: include work category(s) & classification level(s): e.g. "Construction – Level C (4C)" >>. Applicants are reminded that under the terms of the Highway and Network Operation's (HNO) Prequalification System, only those prequalified to <<Guidance note: include work category & classification levels "Construction - Level A, B or C (4A, 4B or 4C)">> are eligible to submit an ROI submission.
- 1.3.4 Where more than one classification level is specified (for example 3A and 4B) and the applicant is not prequalified for one of these, a subcontractor who does have this prequalification registration shall be included in the ROI submission and subsequent tender phase.
- 1.3.5 A prequalified applicant may be excluded from consideration if Waka Kotahi NZ Transport Agency (Waka Kotahi) considers that for this contract the applicant's attributes are not of an appropriate nature to the contract being tendered. It is the responsibility of applicants who consider that they may be in this category to raise the issue with the [Waka Kotahi consultant / Principal's Adviser] as soon as possible, following the procedure in section [3.2] of this ROI document.
- 1.3.6 The contract details and proposed procurement information contained in this document is preliminary and will be replaced by the tender documents for stage two.
- 1.3.7 The information is given in good faith for the guidance of applicants. No warranty or representation is given as to the accuracy or completeness of such information and the Principal, under the contract, shall not be liable for any errors or omissions.
- 1.3.8 The Principal reserves the right to withdraw from the tender process (including the ROI) at any time without notice before entering into the contract. If the Principal withdraws from the tender process, then no applicant or tenderer shall have any claim for compensation or otherwise against the Principal.

4. Timetable

- 1.4.1 The following is a summary of the key dates in the tender process. The information and detail contained elsewhere within the ROI documents shall take precedence if there is any ambiguity or conflict with the following table. The timetable is provisional. <<guidance note: identify all risks to the tendering timetable e.g. It is dependant on land acquisition and funding>> and is therefore subject to change:

TABLE 1.4: KEY ROI DATES		
DESCRIPTION	DATE	DOCUMENT REFERENCE
ROI Site Visit	[Time, Day, Date, Month, Year]	Section [3.3]
ROI Submission close	[Time, Day, Date, Month, Year]	Section [3.4]
Short-listing tenderers	[Month, Year]	Section [3.8]
Issue of tender documents	[Month, Year]	Section [4.1]
Tender close	[Month, Year]	Not Applicable
[Other]	<<List any other key dates as required>>	

2 CONTRACT DETAILS

1. Location

- 2.1.1 The site is located [location]. Site access will be from [access]. While access to the site is not available to the public, Waka Kotahi will make arrangements for a site visit for applicants. Refer Section [3.3].
- 2.1.2 The location is shown in Appendix [A] to this ROI.

2. Land acquisition

- 2.2.1 At the time of preparation of this ROI land negotiations have [not] been concluded with all landowners.
- <<Guidance note: If land acquisition has not been concluded, describe any project related land risks, e.g. service diversions, easements memorials registered on Records of Title, any outstanding alignment issues, compulsory purchase etc.>>
- 2.2.2 The formal tendering process is programmed to commence in [Month, Year] but the actual timing is dependent on the outcome of the above. <<Guidance Note: only include this clause if land acquisition has not been concluded.>>

3. Detailed Design

<<Guidance Note: Only include this section for traditional contracts.>>

- 2.3.1 A design for the [Project Name] has been prepared by [consultant name] as part of their design commission for this project.
- 2.3.2 Details, including drawings and specifications, will be issued to shortlisted tenderers with the tender documents. Preliminary information is provided in the form of Figures in Appendix [A].
- 2.3.3 In addition the Principal recognises the value of innovation and will seek to develop alternatives with shortlisted tenderers during the interactive tender period.

4. Lump Sums

<<Guidance Note: **Optional** clause, only include if appropriate, or edit as required>>.

- 2.4.1 For the purpose of this contract the Principal seeks to maximise the use of lump sums for significant aspects of the works.

5. Specimen Design

<<Guidance Note: Only include this section for D&C contracts>>

- 2.5.1 A specimen design for the [Project Name] [has been/is being] prepared by [consultant name] as part of their commission for this project.
- 2.5.2 Details will be issued to tenderers with the tender documents for information only. Preliminary information is provided in the form of [Drawings] in Appendix [A].
- 2.5.3 The specimen design [has been/is being] prepared to various levels of completion and is not intended to form, and will not form, a complete design of the works. It [has been/is being] prepared on behalf of the Principal to assist in the promotion of the scheme and completion of the resource consents application.
- 2.5.4 The specimen design will not provide a design sufficient to meet the requirements of the tender documents and, in particular, the Principal's Requirements. It will be made available to applicants

for the purpose of illustrating the character and form of design for which the necessary resource consents application has been lodged.

- 2.5.5 A tenderer may use any part of the specimen design within their conceptual design. In such circumstances the tenderer will be held to have satisfied themselves, as to the sufficiency and adequacy of the part of the specimen design used within the conceptual design, to ensure that the conceptual design will be capable of being developed to meet all the requirements of the contract, in particular the Principal's Requirements.

6. Contract Works

- 2.6.1 The key components of the contract works will comprise:

- a) [List Key Components];
- b) [List Key Components].

7. Utility Operators

- 2.7.1 There are [power, telephone, water, sewer, gas] services within the contractor's work area, which will require [relocation and/or protection] by [either the Contractor or the Utility Operator].

8. Statutory Approvals and Licenses

- 2.8.1 Waka Kotahi [holds/will apply for] the <<Guidance note: Consultant (informed by the Waka Kotahi planner) to list any Statutory Approvals and licenses (such as property based licenses to occupy etc), held or being applied for the works>> required for the proposed works.
- 2.8.2 The contractor will be required to obtain any other Statutory Approvals, or licences (or variations to existing Statutory Approvals or licences) to those described above and the building consents required in order to proceed with the Contract. The contractor shall obtain the approval of the Consents and Approvals Manager before acquiring any new consents (or modifications to existing consents). [These shall include but are not limited to:] <<Guidance note: identify any outstanding designation and resource consent issues, and what Waka Kotahi is doing to manage the process, and when tenderers will be informed as to the outcome>>.
- 2.8.3 The design and construction of the contract works will be required to comply with the conditions contained in all Statutory Approvals and licenses.
- 2.8.4 Details of existing statutory approvals will be provided to tenderers as part of the [tender documents or viewing documents].
- 2.8.5 The resource consent and designation conditions will impose environmental obligations and constraints on the contractor that are to be met during construction and throughout the defects notification period. A copy of the decisions for all consents is available for viewing via CSVUE, the Waka Kotahi web based consent management database at [Location]. Applicants are encouraged to view the decision documentation and can arrange to do so as set out in Section [3.2] of this ROI. <<Guidance Note: Only include if consent decisions exist. Consents and Approvals Manager will need to set up a project in CSVUE and enable access or run a report >>

9. Project Management

- 2.9.1 [Company] has been engaged by Waka Kotahi, as [Principal's Advisor/ Consultant] for the project and will provide the Engineer to the Contract for the [Project Name] contract.
- 2.9.2 The successful tenderer will be required to participate in a partnering process with Waka Kotahi, [Consultant] and other stakeholders.
- 2.9.3 The successful tenderer will be required to liaise with the [Principal's Adviser/ Consultant] for [Project Name], the Waka Kotahi Network Outcomes Contractor. Such liaison will include <<describe any liaison required>> and also contract interface issues.

10. Environmental Management

- 2.10.1 A Project Management Plan (PMP) for [project name] has been developed by [Consultant], Volume [2] of which is the Environmental Guidelines. In addition, Site Specific Environmental Requirements have been developed and are contained in a separate document. These have been produced to facilitate the design, construction and operation of [project name] and form the basis for the environmental requirements for the project. These two documents will be revised as necessary to incorporate any additional requirements resulting from the resource consents conditions. Arrangements to view the current version of both documents at [Location] can be made as set out in section [3.2] of this ROI.
- 2.10.2 The successful tenderer will be required to prepare a Contractor's Social and Environmental Management Plan (CSEMP), as per the Waka Kotahi *Minimum Standard Z/19 and P47 Specification for Environmental, Social and Cultural Management during Construction*, the requirements for which will be defined in the tender documents. Refer to Appendix E, Supporting Documentation. <<Guidance Note: include Z/19 in Appendix E.>>

11. Identified Archaeological Sites

- 2.11.1 The project [does/does not] impact on identified archaeological sites. Waka Kotahi [has/does not have] an archaeological authority from Heritage New Zealand Pouhere Taonga to destroy or modify the archaeological sites affected by the project works.
- 2.11.2 The plans show the location of the identified archaeological sites. The tender documents will require the contractor to closely liaise with [list iwi / hapu] representatives during the project, (via the [Principal's Adviser/Consultant]) to ensure the archaeological authorities and established protocols are complied with.
- 2.11.3 << List any archaeological issues that may affect the works >>.

12. Emissions Trading Scheme Deforestation

- 2.12.1 The project [does/does not] trigger the deforestation obligations of the Emission Trading Scheme. Waka Kotahi has/has not completed an Emissions Trading Scheme compliance risk assessment for the contract works.
- 2.12.2 The plans show the location of forest land that will trigger the deforestation obligations of the Emissions Trading Scheme when converted to non-forest land. The tender documents will require the contractor to record the area and timing of trees cleared that are identified on the plans as Emissions Trading Scheme forest land.

13. Supporting Documentation

- 2.13.1 Electronic copies of the ROI supporting documentation can be viewed at the [tempobox] website. The Principal's Adviser's Nominated Person shall be contacted to request access as detailed in section [3.2.4]. A detailed listing is included in Appendix [E].

3 ROI AND SHORT-LISTING PROCESS

1. General

- 3.1.1 The ROI, and short listing is the first stage in a two-stage procurement process.
- 3.1.2 Short-listing does not constitute pre-qualification in terms of the Waka Kotahi *Procurement Manual* (the Procurement Manual). More detailed and specific attribute information will be required from tenderers for the purpose of the second stage of the procurement process.

2. Communications During ROI Period

- 3.2.1 Communications during the ROI period is from date of invitation to submit an ROI to the ROI closing date. All enquiries regarding the ROI must be directed to the [Principal's Adviser's /Consultant's] Nominated Person through the Tender Secretary (through GETS). Applicants must not directly or indirectly approach any representative of Waka Kotahi, or any other person, to solicit information concerning any aspect of the ROI. Only the [Principal's Adviser's /Consultant's] Nominated Person, and any authorised person of Waka Kotahi, are authorised to communicate with applicants regarding any aspect of the ROI. Waka Kotahi will not be bound by any statement made by any other person.
- 3.2.2 When applicants receive the ROI documents, they shall notify the [Principal's Adviser's/Consultant's] Nominated Person in clause [3.2.4] of the name and contact details of the person within their own organisation with whom they will direct all communications during the tender period (the Applicant's Nominated Person).
- 3.2.3 All communications between the [Principal's Adviser's/Consultant's] Nominated Person and applicants must be in writing. For the purposes of this IFT, this includes facsimile and e-mail communication, which may include attachments.
- 3.2.4 Communications must be clearly labelled with the Waka Kotahi assigned contract number and name. Communications not so addressed may be delayed and/or not actioned. All applicant's queries shall be addressed to:

[Name of [Principal's Adviser's/Consultant's] Company]	
[Address 1]	
[Address 2]	
[CITY]	
For the Attention of:	[insert name of [Principal's Adviser's/Consultant's]
Contract Number:	[contact number]
Contract Name:	[contact name]
Email:	[email address]

- 3.2.5 Applicant's enquiries shall be raised with [Principal's Adviser's /Consultant's] Nominated Person as soon as possible, but not later than [8] working days, before the ROI closing date. Where the Principal considers it necessary and/or appropriate, they will endeavour to respond to all queries within [48] hours of receiving them.
- 3.2.6 It is the applicant's responsibility to ensure that the [Principal's Adviser's / Consultant's] Nominated Person has received any enquiry that they have raised.
- 3.2.7 Where Waka Kotahi considers it necessary and/or appropriate, the answers to any questions will be made in writing, by way of Notice to Applicants, to all who have uplifted contract documents and will subsequently be annexed to, and form part of, the Contract Documents. All applicants shall

acknowledge receipt of each Notice to Applicants by emailing, faxing, or returning the associated Acknowledgement Receipt to the [Principal's Adviser's / Consultant's] Nominated Person and also confirm receipt of each Notice to Applicants in the ROI submission.

3. Conflict of Interest, Risk of Bias or Collusion

- 3.3.1 Applicants are required to declare, at the commencement, as soon as practicable after uplifting the RIO documents, or as they become aware of them, any actual or potential conflicts of interest or risk of bias during the ROI procurement process, relating to any individual or company involved in the applicant's bid. This includes individuals and companies engaged in any subconsultant, subcontractor or other supply arrangement. The applicant must advise Waka Kotahi of the means that they intend to use to remove or mitigate such conflicts of interest or risk of bias.
- 3.3.2 Applicants are required to declare any conflicts of interest and submit them with their ROI response.
- 3.3.3 Applicants are required to warrant that their ROI response has not been prepared with any consultation, communication, contract, arrangement or understanding with any competitor, other than where:
- Joint venture arrangements exist between the applicant and a competitor;
 - The applicant has communicated with a competitor for the purpose of subcontracting a portion of the tender, and where the communication with the competitor is limited to the information required to facilitate that particular subcontract; and/or
 - The applicant and a competitor have an agreement that has been authorised by the Commerce Commission.
- 3.3.4 Any applicant that is uncertain as to what would be considered by Waka Kotahi to be collusive or anti-competitive behaviour is encouraged to proactively discuss potential or perceived collusive behaviour with the nominated Probity Auditor, Commerce Commission and/or Waka Kotahi, in advance to preparing their submission. In such circumstances the applicant may be required to disclose to Waka Kotahi the name of the competitor and the extent of any arrangements or agreements with them.
- 3.3.5 In the event that no such disclosure is made, the applicant warrants that their submission has not been prepared with any consultation, communication, contact, arrangement or understanding with any competitor.
- 3.3.6 Waka Kotahi reserves the right, at its discretion, to report suspected collusive or anti-competitive conduct by applicants to the Probity Auditor and/or other appropriate authority(s), and to provide them with any relevant information, including their response.
- 3.3.7 Similarly, Waka Kotahi may refer any actual or potential conflicts of interest or any risk of bias that it becomes aware of, to the Probity Auditor, and decide the appropriate action to remove or mitigate any potential conflicts of interest or risk of bias.
- 3.3.8 Waka Kotahi reserves the right to decline the tender of any tenderer that
- Has been found to contravene their warrant, and / or
 - Cannot satisfactorily remove or mitigate a conflict of interest or risk of bias that, in the opinion of Waka Kotahi, creates an unfair advantage or impropriety in the tender process.

4. ROI Site Visit

- 3.4.1 <<Either:>> No site visit has been arranged and applicants are assumed to have made themselves sufficiently familiar with the site to complete their ROI response.
- 3.4.2 Applicants must ensure that the requisite permissions have been obtained in advance, and the appropriate Health and Safety measures complied with. All personnel within the state highway

reserve, for whatever reason, shall prepare a job safety environmental analysis that is risk assessed with the appropriate controls using the hierarchy of controls as detailed in the Health and Safety Act 2015 to lower the risk so far as is reasonably practicable for road users and road workers. Applicants' access to the site is restricted to the following locations for safety reasons:

- a) [List access road];
- b) [List access road];

<<OR>>

A site visit will be arranged for [Time, Day, Date, Month, Year]. Applicants wishing to visit the site are to meet [Principal Adviser/Consultant] at [Location]. Applicants shall be advised if the visit has to be rescheduled due to adverse weather conditions.

- 3.4.3 Applicants wishing to visit the site are to register their interest by contacting the [Principal Adviser/Consultant] by facsimile or email in accordance with the procedures in section [3.2] of this ROI, no later than [Time, Day, Date, Month, Year].
- 3.4.4 It is anticipated that the number of persons each applicant will be allowed to participate in the visit will have to be limited for safety and management reasons. Applicants will be advised in advance as to numbers that can be accommodated.
- 3.4.5 Participants in the site visit need to provide their own appropriate Personal Protective Equipment (PPE) in line with the Waka Kotahi PPE Minimum Standard. The visit is expected to take [two] hours.

5. ROI Response

- 3.5.1 Applicants are asked to provide the information requested in the ROI questionnaire in a clear and concise a manner, and in the format specified. Where limits on the extent of individual responses are stated in the questionnaire, the portion of any response in excess of the limit will be disregarded. For details of the questionnaire, and page limits refer to Appendix [C].
- 3.5.2 Attribute information is required for the [applicant/ both the applicant and the applicant's designer.]
- 3.5.3 <<Either>>Attribute information is required for proposed key subcontractors<<OR>> Attribute information is not required for proposed key subcontractors. Key subcontractor's attribute information will however be required at time of tender. <<Guidance Note: if the project has multiple different elements requiring significant subcontractor input project manager may require subcontractors attributes ensuring appropriate clause is present to make sure the contractor maintains continuity of subcontractors between the ROI and Tender phases, and what happens if the project is significantly delayed>>
- 3.5.4 The attribute evaluation scores will be used solely for the purposes of short listing applicants and the successful applicants (the tenderers) will be required to resubmit **Relevant Skills** attribute information at time of tender, which will be re-assessed for the purposes of tender evaluation.
- 3.5.5 Applicants who wish to register their interest, must electronically submit **one** copy of the completed Applicant's Questionnaire and related supporting information not later than [Time pm on Day, Date, Month, Year]. Files must be labelled ['Contract Number, Contract Name], Registration of Interest', and be uploaded to the GETS eTender box. The file upload limit is **50MB**. Applicants should refer to the GETS website for instructions on uploading their submission files (<https://www.gets.govt.nz/SupplierUserTenderHelp.htm>).

6. ROI Evaluation Team

3.6.1 The Evaluation Team (ET), formed to evaluate the ROI, will comprise the following:

TABLE 3.6: EVALUATION TEAM (ET)	
[Name]	[Position, Company] (Leader)
[Name]	[Position, Company] (Qualified)
[Name]	[Position, Company]

<<Guidance note: one of the ET members must be a Qualified Tender Evaluator. This does not have to be the ET Leader>>

3.6.2 Applicants will be notified in writing of any changes to the ET.

3.6.3 Applicants who believe there is an actual or potential conflict of interest or risk of bias with a member of the ET may write to the Probity Auditor, outlining their concerns so that the appropriate action can be taken.

7. ROI Evaluation

3.7.1 Applicants shall provide information on the non-price attributes listed below.

3.7.2 Sufficient relevant information shall be provided for each attribute in relation to the main contractor(s) and, proposed key subcontractors [and the designer] to allow the Evaluation Team (ET) to mark the attribute for each party as provided for in the table below.

<<Guidance note: Insert for Lump Sum or M&V>>

TABLE 3.7: NON-PRICE ATTRIBUTES	
ATTRIBUTE	OVERALL ATTRIBUTE WEIGHTING %
Relevant Experience	[25]
Track Record	[25]
Relevant Skills	[50]

<<OR for D&C insert>>

TABLE 3.7: NON-PRICE ATTRIBUTES		
ATTRIBUTE	ATTRIBUTE WEIGHTING CONTRACTOR / SUBCONTRACTOR % (REFER NOTE 1 BELOW)	ATTRIBUTE WEIGHTING DESIGNER
Relevant Experience	[15]	[10]
Track Record	[5]	[5]
Relevant Skills	[40]	[30]

Note 1: The scoring for the attributes will be apportioned according to the estimated value of the part of the Contract Works being undertaken or managed by each party.

- 3.7.3 ET members will read the applicants' responses and evaluate and grade the non-price attributes using the applicant marking sheets in this ROI document.
- 3.7.4 The ET members will individually evaluate and grade the non-price attributes provided by the applicant. For the evaluation they will take into account:
- Records of contracts held by Waka Kotahi that the applicant has completed;
 - Their personal knowledge if any of the applicant's experience;
 - Information from referees of other organisations the applicant has worked for.
- 3.7.5 The ET will meet to agree each applicant's non-price attribute scores and overall grade. The ET will evaluate the proposals based on a direct comparison of each submission and rank each applicant in order based on the markings gained in the evaluation. If the ET cannot reach a consensus, the ET Leader will consider the teams' attribute scores and decide the final attribute score.
- 3.7.6 Where the tenderer does not meet the minimum standard required of these Tender Documents or a grade of [35] or less is awarded for any non-price attribute, the tender will be deemed to be a Non-Conforming Tender and no further evaluation will take place.
- 3.7.7 The [three] highest overall scoring applicants will be short-listed as tenderers unless the [fourth] highest scoring applicant is within **one** mark of the [third] highest scoring applicant, in which case the [four] highest scoring applicants will be short-listed as tenderers. <<Guidance note: needs to link back to number stated in section 1.1.3>>

8. ROI Tenderer Short-listing

- 3.8.1 On completion of the evaluation applicants will be advised only whether or not they have been short listed, with no other evaluation information being given.
- 3.8.2 In the event that one or more of the short listed tenderers withdraws from the process, leaving less than three remaining, Waka Kotahi reserves the right to invite the next highest ranked applicant to tender, provided that this does not result in more than [three] invited tenderers proceeding through the tender process.

9. ROI Interviews

- 3.9.1 Interviews may be held during the evaluation period with individual applicants should any further clarification be required regarding the applicant's submission.

4 OVERVIEW OF STAGE TWO TENDER PROCESS

1. Introduction

- 4.1.1 The short-listed tenderers will be invited to submit a tender for the [design and] construction of the contract works. It is anticipated that the tender documents will be issued during [Month, Year] <<Guidance note: include any major programme risks e.g. "subject to resolving land and funding issues">>.
- 4.1.2 The tender documents for the contract works will be based on the Waka Kotahi [Measure and Value/ Lump Sum /Design and Construct (D&C)] pro-forma, which provides for an interactive tender period of [12 or 16] weeks.
- 4.1.3 The tendering process will not commence until land purchase is secured and the resource consents have been granted for <<Guidance note: identify any critical Resource Consents required>>. Any delay in their receipt will directly impact on the date of issue of the tender documents.
- 4.1.4 All tendering costs are to be borne by the tenderer.

2. Changes to the Tenderer's Team

- 4.2.1 Short-listed tenderers should not change their team from that nominated in the applicant's ROI Questionnaire. Waka Kotahi may allow the use of a different team if the tenderer can demonstrate good reason for the change and can offer an equal or better alternative, and the change is approved in writing by Waka Kotahi.

3. Conditions of Contract

- 4.3.1 The Contract will be based on NZS [3910:2013 or 3916: 2013]. The Contractor will be required to take full responsibility for the [design and] construction of the Contract Works.

4. Design Standards

<<Guidance note: for Lump Sum or M&V only>>

- 4.4.1 The project has been designed by [Consultant] in accordance with the Waka Kotahi guidelines and requirements and other recognised New Zealand industry standards applicable to the nature of the work being proposed.
- 4.4.2 The 'Project Specification' document and 'Tender Drawings' will describe the scope and provide sufficient information to allow the construction of the Contract Works by the Contractor.

5. Quality Assurance

- 4.5.1 The Contractor is expected to have systems certified to international quality standards (ISO 9001) and the Contractor must have a project specific QMP that covers quality assurance and control minimum requirements as defined in Z/1 - *Waka Kotahi Minimum Standard for Quality Management Plans*.
- 4.5.2 Contractors not having quality management systems formally certified to ISO 9001, will at least have a QMP that comply with the minimum requirements set out in Z/1. **Tenderers will be required to submit an outline Contract Quality Management Plan with their tenders. This should clearly identify the proposed procedures to be adopted for all elements of the project up to and including handover into maintenance and operation.**

6. Health and Safety

- 4.6.1 The contractor must implement processes that meet the requirements of the *Health and Safety at Work Act 2015*, its regulations, supporting codes of practice's and any guidance material that represents industry good practice.
- 4.6.2 The contractor must also comply with all health and safety requirements of Waka Kotahi, and any other relevant asset owner or authority (e.g., a utilities company). Meeting these requirements will not relieve the contractor of any of its responsibilities to comply with the Health and Safety at Work Act 2015.
- 4.6.3 As a minimum, the contractor must comply with the provisions outlined in the Waka Kotahi *Contractor Health and Safety Expectations*, and the other contract specific requirements as set out below. The latest version of the Waka Kotahi *Contractor Health and Safety Expectations* document can be accessed from the Waka Kotahi Highways Information Portal at <https://www.nzta.govt.nz/resources/contractor-health-and-safety-expectations>
- 4.6.4 The Contractor must provide incident reporting in accordance with *NZTA Contractor Expectations: Health and Safety Incident Notification, Investigation and Reporting* and, document available from our information portal at <https://www.nzta.govt.nz/resources/contractor-health-and-safety-expectations>
- 4.6.5 Prior to construction, the contractor shall prepare and implement a project specific Health and Safety Management Plan (H&SMP) or similar or incorporate this into the construction management plan. The Health and Safety Management Plan (H&SMP) must include subject areas outlined in the Waka Kotahi *Contractor Health and Safety Expectations* document, relevant to the risks identified as part of the scope of work. The H&SMP must detail all health, safety and wellbeing critical risks and all mitigations to those risks and be agreed between the parties prior to any construction works commencing.
- 4.6.6 All hazards and notifiable activities shall be monitored by the Contractor to ensure that all necessary precautions are being taken to comply with the Health and Safety Management Plan and relevant Acts and Regulations.
- 4.6.7 The Contactor will allow Waka Kotahi unrestricted access to any documentation or personnel for the purpose of auditing the Health and Safety processes.

7. Supplementary Site Investigation

<<Guidance note: for D&C only>>

- 4.7.1 Detailed geotechnical investigation has been carried out on behalf of the Principal and factual and interpretive reports prepared and will be made available during the tender process.
- 4.7.2 A supplementary site investigation contract will be organised by the Principal. The investigation contractor will be available to carry out supplementary investigations during the tender period to provide additional ground information for Tenderers.

8. Interactive Tender Process

- 4.8.1 During the tender period, meetings will take place between the Principal, the Tender Evaluation Team, the [Principal's Adviser / Consultant] and individual tenderers. The process is expected to comprise [three] meetings [and one feedback session on the Certificate A submissions] of approximately three (3) hours duration each.
- 4.8.2 Matters to be discussed between the Principal and Tenderers during the interactive tender process shall include, but not be limited to:
- The Principal's requirements of the contract
 - The Tenderer's proposals regarding their Conceptual Design;

- c) Compliance with the Principal's Requirements for the contract;
- d) Impact on statutory procedures and land acquisition;
- e) Safety, durability and maintainability issues relating to the Contract Works;
- f) Consenting, environmental and social considerations;
- g) Whole life cost issues;
- h) Work phasing, construction programming and contract period;
- i) Site Safety and traffic management;
- j) Proposed supervision of the Contract Works by [both] the Contractor [and the Designer];
- k) Urban design;
- l) Category of structural and other design check requirements;
- m) Consultation with third party project stakeholders and the community;
- n) Tender Documentation;
- o) Risk assessment associated with the Tenderers proposals;
- p) Alternative Tender proposals;<<Guidance note: only to be included with M&V/LS tenders>>
- q) Maintenance responsibilities.

9. Tender Evaluation Team

4.9.1 The stage 2 Tender Evaluation Team (TET) will be advised to tenderers in the tender documents.

10. Tender Evaluation and Contract Award

4.10.1 The detail for the evaluation of tenders will be set out in the tender documents and will be based on the Waka Kotahi *Contracts Procedures Manual* (CPM).

11. Probity

4.11.1 An independent probity auditor has been appointed to overview the tendering process and to verify that the procedures set out in the Tender Documents are complied with. The probity auditor is not a member of the TET. An Applicant concerned about any procedural issue has the right to contact the probity auditor and request his review. The outcome will be documented with copies to both the Applicant who raised the issue and to Waka Kotahi. The name and contact details are as follows:

Shaun McHale
Managing Director, Team Leader, Probity Assurance Services
McHale Group Ltd
Level 1, Featherston Street
PO Box 25103
WELLINGTON 6146

Office: +64 (0) 04 496 5580
Mobile: +64 (0) 27 486 3412
Email: shaun.mchale@mchalegroup.co.nz

5 DESIGN REQUIREMENTS

<<Guidance Note: Include Section 5 Design Requirements for D&C contract only>>

1. Principal's Requirements

- 5.1.1 The 'Principal's Requirements' document will describe the scope of the Contract Works.
- 5.1.2 It is intended to give the contractor as much freedom as possible to produce an efficient and cost-effective design within the constraints that will apply in the contract. In addition, the Principal's Requirements will prescribe the requirements relating to:
- design criteria, including safety in design;
 - resource consent compliance management and environmental criteria;
 - testing and certification;
 - road safety audits;
 - as-built documentation; and
 - maintenance.

2. Design

- 5.2.1 The design must take full cognisance of the [outline plan, resource consents, designation, property agreements], and the Principal's Requirements all of which will be included as part of the tender documents. Tenderers will be expected to demonstrate, in their tender submissions that they understand fully and have complied with these requirements.
- 5.2.2 <<Identify any project specific design issues or risks, e.g. alignments currently being reviewed or requirements that may be amended >>.
- 5.2.3 The Principal will supply the detailed pavement design and specification. The Contractor's designer will be responsible for ensuring construction in accordance with the prescribed specification and providing a Producer Statement – Construction Review.

3. Standards

- 5.3.1 The design and construction standards will be in accordance with the Principal's guidelines and requirements and other recognised New Zealand industry standards applicable to the nature of the work being proposed.
- 5.3.2 Particular requirements and additional criteria not covered by the relevant Standards and Specifications will be provided in the tender documents.

4. Environmental Requirements

- 5.4.1 The designs must meet all the conditions of the resource consents and other Statutory Approvals, the Environmental Guidelines and the Site-Specific Environmental Requirements.
- 5.4.2 << Identify and summarise any outstanding consent issues which may impact on the project, and indicate anticipated date for resolution. >>
- 5.4.3 [an outline of consents and approvals for the project obtained to date should be obtained from the Consents and Approvals Group]

5. Sustainability Rating Scheme

<<Guidance Note: Waka Kotahi is using the ISCA Sustainability Rating Scheme on projects greater than >\$15m. ISCA must be considered for projects over \$15m and must be included for projects over \$100m. Confirm with (OP3) – Safe and Sustainable Transport team whether the project is required to complete a Sustainability Rating certification under the Sustainability Rating Scheme policy. If not, delete section 1.16>>

- 5.5.1 The Infrastructure Sustainability Council of Australia (ISCA) is an international sustainability rating scheme used to assess the sustainability performance of infrastructure projects. Waka Kotahi has made the decision to use ISCA to drive improved sustainability outcomes on our high value capital projects.
- 5.5.2 The successful tenderer will be contractually required to construct the project to achieve, at a minimum, a [Commended/Excellent/Leading] certification under ISCA IS Rating Scheme v [1.2/2].
- 5.5.3 ISCA covers both the design and construction phases of project delivery. Waka Kotahi is seeking a commitment from tenderers during the tendering phase to become familiar with ISCA. Tenderers shall identify which credits they would seek to gain a [Commended/Excellent/Leading] certification if they become the successful tenderer.
- 5.5.4 Tenderers shall demonstrate understanding of the ISCA sustainability rating scheme and will need to demonstrate their ability to earn a [Commended/Excellent/Leading] certification. Tenderers shall demonstrate that at least one member of the team is accredited under the Infrastructure Sustainability Accredited Professional (ISAP) programme.
- 5.5.5 The tender documents will prescribe the ISCA requirements to be completed by tenderers and returned with the tender.

6. Technical Certification and Road Safety Audits

- 5.6.1 The tender documents will prescribe the requirements for the Design and the Check Certificates to be completed by the tenderers and their proposed Designer(s), Checker(s), auditors and returned with the tender.
- 5.6.2 The Principal's Requirements will prescribe the certificates required to enable the Contractor, the Designer(s), and the Checker(s) to comply with the Technical Certification Procedures required during the currency of the Contract.
- 5.6.3 The self-certification requirements of the contract (by the Designer(s) and the Checker(s)) will cover all aspects of the design, construction and maintenance such that during the progress of the design, construction and maintenance the Principal will have received appropriate certification that all aspects of the design, construction and maintenance meet the requirements of the contract.
- 5.6.4 During the tender period, tenderers will arrange for an independent Safety Audit of their design. The Principal will pay the direct costs of the Road Safety Audit team. A completed Road Safety Audit Certificate will be provided to the Principal with the tender submission.
- 5.6.5 The contractor will be required to have further Road Safety Audits carried out on the design and on the completed works. The Principal will pay the direct costs of the Road Safety Audit team. Any work required due to construction faults or practices or the design arising from the results of the safety audits will be at the contractor's expense.

7. Maintenance Proposal

- 5.7.1 As part of the tender submission, tenderers will be required to detail how they intend to fulfil maintenance obligations during the contract, and how their design accommodates future maintenance operations.
- 5.7.2 The submission will be required to take full cognisance of the resource consents, property agreements, and the Principal's Requirements, which will be included as part of the tender

documents. Tenderers will be expected to demonstrate, in their tender submissions that they fully understand and have complied with these requirements.

APPENDICES

APPENDIX REFERENCE	SUBJECT
A	List of drawings
B	Glossary of terms
C	ROI applicant questionnaire
D	ROI Evaluation marking sheets
E	List of supporting documentation
F	[Other]

Appendix A – List of drawings

DRAWING	DESCRIPTION
[Figure 1]	[Description]
[Figure 2]	[Description]
[Figure 3]	[Description]

Appendix B – Glossary of terms

Terms used in this ROI that may be new to Applicants are described below:

APPLICANTS	The contractors (including consortia) who uplifted the Registration of Interest document.
CONCEPTUAL DESIGN	The design developed by the tenderer for the purposes of tendering. It must be in compliance with the IFT and the Principal's Requirements and have been the subject of the consultation process described in Section 4.7 of the ROI document. It will form the basis of the design. <<Guidance Note: Include for D&C contracts>>
EVALUATION TEAM (ET)	The team appointed by Waka Kotahi who will evaluate the ROI responses, and select the short-listed tenderers.
INSTRUCTIONS FOR TENDERING (IFT)	Part of the tender documents. It provides details of the tendering process and evaluation procedure.
PRINCIPAL'S REQUIREMENTS	Part of the tender documents. It defines the scope of the Contract Works, design criteria, testing and certification requirements, and provides site related information. <<Guidance Note: Include for D&C contracts>>
SPECIMEN DESIGN	The preliminary design prepared by the professional services consultant, which is issued to tenderers for information only. It was prepared for the purpose of promoting the project and supporting the resource consents. It is not sufficiently developed to meet the Principal's Requirements. <<Guidance Note: Include for D&C contracts>>
TENDER DOCUMENTS	The document prepared by Waka Kotahi, which contains the information on which tenderers base their tender.
TENDERERS	The contractors (including consortia) short-listed by Waka Kotahi to [produce a conceptual design and] tender for the [design and] construction of the contract works
KEY SUBCONTRACTORS	For the purposes of this ROI, key subcontractors are defined as subcontractors proposed to undertake greater than 10% of the works (by value).
CSEMP	Means the document developed by the Contractor under the Waka Kotahi <i>Minimum Standard Z/19 – State Highway Environmental and Social Responsibility Standard, State Highway Professional Services Contract Manual (SM030) and P47</i>
CSVUE	The Waka Kotahi web-based resource consent database and compliance management system
REGISTRATION OF INTEREST (ROI)	Previously referred to as a Statement of Intention and Ability (SIA). Used to identify suppliers interested in, and capable of, delivering the required services. Potential contractors can be asked to provide information on their capability to do the work. It is usually the first stage of a multi-stage tender process. An ROI is similar to an expression of interest (EOI). Suppliers can be shortlisted using an ROI.
	[Consultant to add other terms as required]

Appendix C – ROI applicant questionnaire

The applicant's response must include answers to all the questions contained in this questionnaire.

The response must not exceed [20] single sided A4 pages ordinary type (12 point Times Roman or similar typeface). Typeface requirements applicable to all text, tables and diagrams and additional pages. A3 size paper shall be deemed to be two A4 pages and shall be numbered accordingly.

For Joint Ventures and Consortia, the number of projects to be submitted in Relevant Experience and Track Record questionnaires shall apply to the joint venture and/or consortia and not separately to the individual companies making up same, the parties must decide how many each member nominates.

Applicants shall number the pages. For submissions that exceed the page limit, only the first [20] pages, excluding the additional pages provided for below, will be considered during this evaluation.

Additional pages may be included as follows:

- Title Page (**one** page)
- Covering letter (**one** page)
- Index (**one** page)
- Applicant Declaration
- CVs (**two** pages for each person nominated in the submission)
- Copy of Prequalification Certificate (**one** page)

Applicants must upload **one (1)** electronic pdf file of their completed questionnaire together with supporting information as required in Section [3.5].

PART A1: RELEVANT EXPERIENCE CONTRACTOR

The following information should be provided for **[three]** roading/bridging projects under construction or completed within the last five years, which the applicant considers most relevant to this project.

All projects must be the same as nominated for track record <<guidance note: insert this text if Track Record selected>>

Should nominations be less than the required number of projects this will be taken as a deficiency in the attributes for Relevant Experience and Track Record, and will be scored accordingly. Where more than the required number of projects are submitted, only the first nominated projects for Relevant Experience and Track Record will be considered.

Applicants shall provide the following details for each **project** nominated for Relevant Experience:

- Project name, location, contract value (scale: the value of the work carried out, or the value of the work completed so far if still under construction) and when the project was completed (currency: when the work was carried out, or the % completed so far if still incomplete); and
- The Engineers name, company and contact telephone number(s).

A separate table must be included for each **factor**. Each table shall include the following information:

- A description of the work carried out;
- It's relevance to this submission, and
- Details of % of work carried out by the applicant's own resources, and % undertaken by subcontractors.

RELEVANCE:

Provide details of your relevant experience relating to the following **factors** from your nominated projects. For each **factor** provide detail of the % value of work carried out by the contractor's own directly employed labour and resources, and that undertaken by subcontract

<<Guidance Note, These are examples only. Consultant to nominate factors relevant to their project. Factors should be limited to the key 3-6 issues critical to the successful outcome of the project. For projects >\$5M factors must be the same as Relevant Experience Contractor Marking Sheet >>

- [Earthworks
- Structures
- Pavement and Surfacing
- Traffic Safety
- Environmental management (including details of previous environmental compliance breaches)
- Drainage
- Maintenance including Pavement and Resurfacing
- Others – Consultant to state]

<<Guidance Note: Include for D&C or ECI contracts>>

PART A2: RELEVANT EXPERIENCE DESIGNER

The following information shall be provided for **[two]** roading/bridging projects currently being designed, under construction, or completed within the last five years, which the Applicant considers most relevant to this project.

All projects must be the same as nominated for track record. <<guidance note: insert this text if Track Record selected>>

Should nominations be less than the required number of projects this will be taken as a deficiency in the attributes for Relevant Experience and Track Record, and will be scored accordingly. Where more than the required number of projects are submitted, only the first nominated projects for Relevant Experience and Track Record will be considered.

Applicants shall provide the following details for each **project** nominated for Relevant Experience:

- Project name, location, contract value (scale: the value of the work carried out (professional services and physical works), or the value of the work completed so far if still under construction) and when the project was completed (currency: when the work was carried out, or the % completed so far if still incomplete); and
- The Client's Representative name, company and contact telephone number(s).

A separate table must be included for each factor. Each table shall include the following information:

- A description of the work carried out; and
- It's relevance to this submission.

RELEVANCE:

Provide details of your relevant experience relating to the following factors from your nominated projects. For each **factor** provide detail of the % value of work carried out by the designer, and that undertaken by sub-consultant

<<Guidance Note, These are examples only. Consultant to nominate factors relevant to their project. Factors should be limited to the key 3-6 issues critical to the successful outcome of the project. For projects >\$5M, factors must be the same as Relevant Experience Designer Marking Sheet >>

- [Geotechnical Design
- Structural Design
- Pavement and Surfacing Design
- Traffic Safety Engineering
- Environmental management (including details of previous environmental compliance breaches)
- Drainage
- Cooperative Environment
- Asset Management
- Others – Consultant to state]

<<Guidance Note: Optional>>

PART B1: TRACK RECORD CONTRACTOR

The following information shall be provided for **[three]** projects under construction or completed within the last five years, which the Applicant considers most relevant to this project.

All projects must be the same as nominated for relevant experience.

A separate form must be included for each project.

GENERAL INFORMATION:

Provide the following details for each **project** nominated for track record (any information provided for in Relevant Experience does not have to be duplicated for Track Record):

- Project name, location, contract value and when the project was completed.
- Description of nominated work package
- The Principal's name, company and contact telephone number(s)
- The Engineer's name, company and contact telephone number(s)
- Referee's name, company and contact telephone number(s): ***Note it is essential that nominated referees had direct involvement with the Applicant for the nominated work package and that current contact details be provided.***

Joint Venture: Identify which of your nominated project were joint ventures, identify the JV partner(s) and the proportion and nature of the work undertaken by the Contractor's company

<<Guidance Note: Include for D&C or ECI contracts where the Track Record attribute has been selected - Optional>>

PART B2: TRACK RECORD DESIGNER

The following information should be provided for **[two]** projects currently being designed, under construction, or completed within the last five years, which the Applicant considers most relevant to this project.

All projects must be the same as nominated for relevant experience.

A separate form must be included for each project.

GENERAL INFORMATION:

Provide the following details for each **project** nominated for track record (any information provided for in Relevant Experience does not have to be duplicated for Track Record):

- Project name, location, contract value (professional services) and when the project was completed.
- Description of nominated work package
- The Principal's name, company and contact telephone number(s)
- The Contractor's name, company and contact telephone number(s)
- Referee's name, company and contact telephone number(s): **Note it is essential that nominated referees had direct involvement with the Applicant for the nominated work package and that current contact details be provided.)**

Joint Venture: Identify which of your nominated projects were joint ventures, identify the JV partner(s) and the proportion and nature of the work undertaken by the designer's own company

PART C1: RELEVANT SKILLS CONTRACTOR

Attach CV's for each of the key positions identified below (**two** pages per CV). CV's need to demonstrate specific experience relevant to the position and should differentiate between technical and managerial skills where relevant to the position.

<<Guidance Note: the following clause may be included if required>>

The applicant shall supply names and current contact telephone numbers of at least **[one]** person to act as referee, who has direct knowledge of the nominated person. Inadequate contact information or provision of non-applicable referees may result in downgraded scoring.

The applicant must nominate the following personnel and state the key technical skills of each:

POSITION

Health and Safety Manager

Contract Director

Contractor's Representative
(as NZS 3910, Clause 5.2)

Senior Site Supervisor (Earthworks)

Senior Site Supervisor (Structures)

Senior Site Supervisor (Pavement & Surfacing)

Senior Site Supervisor (Maintenance)

Senior Field Supervisor(s) (Earthworks)

Senior Field Supervisor(s) (Structures)

Senior Field Supervisor(s) (Pavement & Surfacing)

Senior Field Supervisor(s) (Maintenance)

Quality Manager (responsible for preparing, implementing and managing CQP)

Environmental and Consent Compliance Manager

Traffic Control Personnel

Bridging Personnel

Communications and Engagement Personnel

[Other Consultant to nominate]

<<Guidance Notes:

- This list is not exhaustive. The Consultant must ensure the personnel listed are appropriate for their project. Personnel should be limited to **4-8** of the contractor's key personnel involved with the project and must be the same as Relevant Skills Marking Sheet.
- Contract Director: Senior representative from the tenderer's organisation, and typically not site based responsible for the Contract Works' overall implementation and management
- For each role, a description of the key responsibilities should be provided, together with the qualifications and minimum number of years' experience >>

<<Guidance Note: Include for D&C or ECI contracts.>>

PART C2: RELEVANT SKILLS DESIGNER

Attach CV's for each of the key positions identified below (**two** pages per CV). CV's need to demonstrate specific experience relevant to the position and should differentiate between technical and managerial skills where relevant to the position.

<<Guidance Note: the following clause may be included if required>>

The applicant shall supply names and current contact telephone numbers of at least **[one]** person to act as referee, who has direct knowledge of the nominated person. Inadequate contact information or provision of non-applicable referees may result in downgraded scoring.

The applicant must nominate the following personnel and state the key technical skills of each:

POSITION

Contract Director

Designer's Team Leader

Designer's Deputy Team Leader

Design Manager

Designers

Planning Personnel

Bridging / Culvert Designer

Geotechnical Engineer

Designers Site Representative

[Other Consultant to nominate]

<<Guidance Notes:

- This list is not exhaustive. The Consultant must ensure the personnel listed are appropriate for their project. Personnel should be limited to **4-8** of the contractor's key personnel involved with the project and must be the same as Relevant Skills Marking Sheet.
- Contract Director: Senior representative from the tenderer's organisation, and typically not site based responsible for the Contract Works' overall implementation and management
- For each role, a description of the key responsibilities should be provided, together with the qualifications and minimum number of years' experience >>

PART E1: DECLARATION

I/We certify that the information supplied is accurate to the best of my/our knowledge and that I/we accept the conditions and undertakings requested in the ROI applicant questionnaire. I/We understand that false information could result in my/our exclusion/removal from the Principal's short-list of tenderers for this contract, and invalidate any responses submitted.

I/We hereby undertake to notify the Principal immediately of any material changes of information and/or circumstances including changes of address, occurring at any time subsequent to the date of this application.

I/we declare that at the time of submitting this ROI response, I am/we are not aware of any actual, potential or perceived conflict/s of interest in relation to the matters covered by this ROI having made all reasonable and proper enquiries or that may prevent us from providing the services and/or acting for Waka Kotahi and that I/we will keep Waka Kotahi updated in relation to any such conflict of interest and/or any relationships or circumstances that may give rise to such conflict of interest in relation to the provision of the services.

I/we hereby give consent to the Principal to discuss and verify the stated Relevant Experience and Track Record with all the parties associated with that Relevant Experience and Track Record.

I/We hereby agree to waiver any claim to confidentiality in relation to the works and/or projects listed as Relevant Experience and Track Record in the questionnaire, on the basis that the Principal will only use such information for the purposes of evaluation for short listing Tenderers for this contract.

I/We hereby acknowledge that the Principal reserves the right to withdraw from the tender process (including the Registration of Interest) at any time without notice before entry into the contract. If the Principal withdraws from the tender process then no applicant or tenderer shall have any claim for compensation or otherwise against the Principal.

Signed:

Name (Printed):

For and on behalf of:

Date:

This declaration must be signed by a Director or Authorised Representative in her/his own name and on behalf of the Applicant.

Appendix D – ROI evaluation marking sheets

DESCRIPTION
Relevant Experience Contractor
Relevant Experience Designer
Track Record Contractor
Track Record Designer
Relevant Skills Contractor
Relevant Skills Designer

<<Marking form to be used for projects <\$5M for Relevant Experience Contractor>>

RELEVANT EXPERIENCE CONTRACTOR (WEIGHTING [X%])			FORM A
PROJECT	RELEVANCE [70%]	CURRENCY [20%]	SCALE [10%]
	<ul style="list-style-type: none"> 35 or less: not related 40,45: barely related 50, 55: related 60, 65, 70: particularly related 75, 80, 85: very related 90, 95, 100: extremely related (one score per project)	<ul style="list-style-type: none"> 35 or less: 5+ years or < 40% complete 40, 45: 4–5 years or 40-50% complete 50, 55: 3-4 years or 50-60% complete 60, 65, 70: 2-3 years or 60-75% complete 75, 80, 85: 1-2 years or 75-90% complete 90, 95, 100: 0-1 years or 90-99% complete (one score per project)	<ul style="list-style-type: none"> 35 or less: <35% of estimate 40, 45: 5-50% of Estimate 50, 55: 50-70% of Estimate 60, 65, 70: 70-90% of Estimate 75, 80, 85: 90-100% of Estimate 90, 95, 100: > or = Estimate (one score per project)
Summary Rating			
Applicant		Relevant Experience Rating	
Evaluators Comments (Continue on separate sheet if necessary)			
ET Note: relevant experience relates to the company, not individuals, and should include relevant experience of key subcontractors, if appropriate.			

<<Marking form to be used for projects >\$5M for Relevant Experience Contractor>>

RELEVANT EXPERIENCE CONTRACTOR (WEIGHTING [XX%])			FORM A	
Factors		Relevance [70%]	Currency [20%] (Years ago or % complete if under construction)	Scale [10%] (% of Estimate)
	Weighting	<ul style="list-style-type: none"> 35 or less: not related 40, 45: barely related 50, 55: related 60, 65, 70: particularly related 75, 80, 85: very related 90, 95, 100: extremely related 	<ul style="list-style-type: none"> 35 or less: 5+ years or < 50% complete 40, 45: 4–5 years or 50-60% complete 50, 55: 3-4 years or 60-70% complete 60, 65, 70: 2-3 years or 70-80% complete 75, 80, 85: 1-2 years or 80-90% complete 90, 95, 100: 0-1 years or 90-99% complete 	<ul style="list-style-type: none"> 35 or less: <35% of estimate 40, 45: 5-50% of Estimate 50, 55: 50-70% of Estimate 60, 65, 70: 70-90% of Estimate 75, 80, 85: 90-100% of Estimate 90, 95, 100: > or = Estimate
Earthworks	[XX%]		Note: Provide Summary Rating Only	Note: Provide Summary Rating Only
Structures	[XX%]			
Pavement & surfacing	[XX%]			
Safety	[XX%]			
Environmental	[XX%]			
Drainage	[XX%]			
[Others]	[XX%]			
Summary Rating				
Applicant		Relevant Experience Rating		
<<Guidance Notes:				
<ul style="list-style-type: none"> The above are examples only and should be tailored to the nature of the project. Factors must be the same as those used in part A1 (Relevant Experience Contractor) of the questionnaire Generally the number of factors should be limited to 3-6 and be project specific. Sub attribute weightings are the default, and may be amended as appropriate. Factor weightings may be entered as a %, or High, Medium or Low. If left blank, the contractor can assume all factors have the same weighting. 				
Evaluator's Comments (Continue on Separate Sheet if Necessary)				
ET Note: relevant experience relates to the company, not individuals, and should include relevant experience of key subcontractors, if appropriate.				

<<Marking form to be used for projects <\$5M for Relevant Experience Designer, for D&C and ECI Contracts>>

RELEVANT EXPERIENCE DESIGNER (WEIGHTING [X%])			FORM A
PROJECT	RELEVANCE [70%] <ul style="list-style-type: none"> • 35 or less: not related • 40,45: barely related • 50, 55: related • 60, 65, 70: particularly related • 75, 80, 85: very related • 90, 95, 100: extremely related (one score per project)	CURRENCY [20%] <ul style="list-style-type: none"> • 35 or less: 5+ years or < 40% complete • 40, 45: 4–5 years or 40-50% complete • 50, 55: 3-4 years or 50-60% complete • 60, 65, 70: 2-3 years or 60-75% complete • 75, 80, 85: 1-2 years or 75-90% complete • 90, 95, 100: 0-1 years or 90-99% complete (one score per project)	SCALE [10%] <ul style="list-style-type: none"> • 35 or less: <35% of estimate • 40, 45: 5-50% of Estimate • 50, 55: 50-70% of Estimate • 60, 65, 70: 70-90% of Estimate • 75, 80, 85: 90-100% of Estimate • 90, 95, 100: > or = Estimate (one score per project)
Summary Rating			
Applicant		Relevant Experience Rating	
Evaluators Comments (Continue on separate sheet if necessary)			
ET Note: relevant experience relates to the company, not individuals, and should include relevant experience of key subcontractors, if appropriate.			

<<Marking form to be used for projects >\$5M for Relevant Experience Designer for D&C and EC
 Contracts>>

RELEVANT EXPERIENCE DESIGNER (WEIGHTING [XX%])			FORM A	
Factors		Relevance [70%]	Currency [20%] (Years ago or % complete if under construction)	Scale [10%] (% of Estimate)
	Weighting	<ul style="list-style-type: none"> • 35 or less: not related • 40, 45: barely related • 50, 55: related • 60, 65, 70: particularly related • 75, 80, 85: very related • 90, 95, 100: extremely related 	<ul style="list-style-type: none"> • 35 or less: 5+ years or < 50% complete • 40, 45: 4–5 years or 50-60% complete • 50, 55: 3-4 years or 60-70% complete • 60, 65, 70: 2-3 years or 70-80% complete • 75, 80, 85: 1-2 years or 80-90% complete • 90, 95, 100: 0-1 years or 90-99% complete 	<ul style="list-style-type: none"> • 35 or less: <35% of estimate • 40, 45: 5-50% of Estimate • 50, 55: 50-70% of Estimate • 60, 65, 70: 70-90% of Estimate • 75, 80, 85: 90-100% of Estimate • 90, 95, 100: > or = Estimate
Geotechnical design	[XX%]		Note: Provide Summary Rating Only	Note: Provide Summary Rating Only
Structural design	[XX%]			
Pavement & surfacing design	[XX%]			
Traffic Safety Engineering	[XX%]			
Environmental	[XX%]			
Drainage	[XX%]			
[Others]	[XX%]			
Summary Rating				
Applicant		Relevant Experience Contractor Rating		
<<Guidance Notes:				
<ul style="list-style-type: none"> • The above are examples only and should be tailored to the nature of the project. • Factors must be the same as those used in part A2 (Relevant Experience Designer) of the questionnaire • Generally the number of factors should be limited to 3-6 and be project specific. • Sub attribute weightings are the default, and may be amended as appropriate. • Factor weightings may be entered as a %, or High, Medium or Low. If left blank, the contractor can assume all factors have the same weighting. 				
Evaluator's Comments (Continue on Separate Sheet if Necessary)				
ET Note: relevant experience relates to the company, not individuals, and should include relevant experience of key subconsultants, if appropriate.				

<<Guidance Note: Optional>>

TRACK RECORD CONTRACTOR (WEIGHTING [XX] %)		FORM B	
PROJECT		PERFORMANCE (100%)	
		<ul style="list-style-type: none"> • ≤35%: Unsatisfactory • 36% to 49%: Needs improvement • 50% to 59%: Acceptable • 60% to 70%: Requirements fully met • 71% to 85%: Exceeds requirements • 86% to 100%: Superlative 	
Summary Rating			
Applicant		Track Record Rating	
<<Guidance Notes:			
<ul style="list-style-type: none"> • Track record weightings to be inserted by document preparer.>> 			
Evaluator's Comments (Continue on Separate Sheet if Necessary)			
<p>ET Note: track record relates to the company, not individuals, and should include track record of key subcontractors.</p> <p>Where no Final PACE evaluation is in the Database, a PACE form shall be used when interviewing the referees</p> <p>The ET may factor the Final PACE score and/or interviewed PACE score accordingly where a project nominated under Track Record is not consistent with referee checks and/or is contrary to the ET's knowledge and experience.</p> <p>Where a project nominated under Track record is less than relevant to the tendered contract the ET may factor the Final PACE score or interviewed PACE score accordingly.</p>			

<<Guidance Note: for Designer for D&C and ECI Contracts>>

TRACK RECORD DESIGNER (WEIGHTING [XX] %)		FORM B	
PROJECT		PERFORMANCE (100%)	
		<ul style="list-style-type: none"> • ≤35%: Unsatisfactory • 36% to 49%: Needs improvement • 50% to 59%: Acceptable • 60% to 70%: Requirements fully met • 71% to 85%: Exceeds requirements • 86% to 100%: Superlative 	
Summary Rating			
Applicant		Track Record Rating	
<<Guidance Notes: <ul style="list-style-type: none"> • Track record weightings to be inserted by document preparer.>> 			
Evaluator's Comments (Continue on Separate Sheet if Necessary)			
<p>ET Note: track record relates to the company, not individuals, and should include track record of key subcontractors.</p> <p>Where no Final PACE evaluation is in the Database, a PACE form shall be used when interviewing the referees</p> <p>The ET may factor the Final PACE score and/or interviewed PACE score accordingly where a project nominated under Track Record is not consistent with referee checks and/or is contrary to the ET's knowledge and experience.</p> <p>Where a project nominated under Track record is less than relevant to the tendered contract the ET may factor the Final PACE score or interviewed PACE score accordingly.</p>			

RELEVANT SKILLS CONTRACTOR (WEIGHTING [XX%])		FORM C	
KEY PERSONNEL		PRACTICAL EXPERIENCE [70%]	QUALIFICATIONS AND TRAINING [30%] (Formal Qualifications & Training)
	Weighting	<ul style="list-style-type: none"> • 35 or less: Poor • 40, 45: Below Average • 50, 55: Average • 60, 65, 70: Above Average • 75, 80, 85: Good • 90, 95, 100: Excellent 	<ul style="list-style-type: none"> • 35 or less: Barely adequate • 40, 45: Adequate • 50, 55: Meets requirements • 60, 65, 70: Related • 75, 80, 85: Very Related • 90, 95, 100: Directly Applicable
Health and Safety Manager (responsible for preparing, implementing and managing the Draft Health and Safety Management Plan)	[XX%]		
Contract Director	[XX%]		
Contractors Representative (as NZS3910, Clause 5.2)	[XX%]		
Senior engineer (Earthworks)	[XX%]		
Senior engineer (Structures)	[XX%]		
Senior engineer (Pavement & Surfacing)	[XX%]		
Senior field supervisor (Earthworks)	[XX%]		
Quality Manager (responsible for preparing, implementing and managing CQP)	[XX%]		
Environmental and Consent Compliance Manager	[XX%]		
Certified Laboratory Personnel	[XX%]		
Traffic Control Personnel	[XX%]		
Communications and Engagement Personnel	[XX%]		
[Others]	[XX%]		
Summary Rating			
Applicant		Relevant Skills Rating	

RELEVANT SKILLS CONTRACTOR (WEIGHTING (XX%))

FORM C

<<Guidance Notes:

- This list is not exhaustive. The Consultant must ensure the personnel listed are appropriate for their project. Personnel should be limited to 4-8 of the contractor's key personnel involved with the project.
- Contract Director: Senior representative from the tenderer's organisation, and typically not site based responsible for the Contract Works' overall implementation and management
- Sub attribute weightings are the default, and may be amended as appropriate
- Factor weightings may be entered as a %, or High, Medium or Low. If left blank, the contractor can assume all factors have the same weighting.>>

Evaluator's Comments (Continue on Separate Sheet if Necessary)

ET Note: Relevant Skills relates to individuals, not the company, and should include relevant skills of key subcontractors if the positions listed are to be filled by subcontractors.

<<Guidance note: provide details of role descriptions and the expected qualifications and minimum number of years' experience for each role.>>

<<Guidance Note: Include for D&C and ECI contracts.>>

RELEVANT SKILLS DESIGNER (WEIGHTING [XX%])		FORM C
KEY PERSONNEL		PRACTICAL EXPERIENCE [70%]
		QUALIFICATIONS AND TRAINING [30%] (Formal Qualifications & Training)
	Weighting	<ul style="list-style-type: none"> • 35 or less: Poor • 40, 45: Below Average • 50, 55: Average • 60, 65, 70: Above Average • 75, 80, 85: Good • 90, 95, 100: Excellent
Designer's Team Leader	[XX%]	<ul style="list-style-type: none"> • 35 or less: Barely adequate • 40, 45: Adequate • 50, 55: Meets requirements • 60, 65, 70: Related • 75, 80, 85: Very Related • 90, 95, 100: Directly Applicable
Designer's Deputy Team Leader	[XX%]	
Design Manager	[XX%]	
Designers	[XX%]	
Planning Personnel	[XX%]	
Bridging / Culvert Designer	[XX%]	
Geotechnical Engineer	[XX%]	
Designer's Site Representative	[XX%]	
[Others]	[XX%]	
Summary Rating		

Applicant	Relevant Skills Designer Rating
<p><<Guidance Notes:</p> <ul style="list-style-type: none"> • This list is not exhaustive. The Consultant must ensure the personnel listed are appropriate for the project. Personnel should be limited to 4-8 of the consultant's key personnel involved with the project. • Sub attribute weightings are the default, and may be amended as appropriate • Factor weightings may be entered as a %.>> 	
<p>Evaluator's Comments (Continue on Separate Sheet if Necessary)</p> <p>ET Note: Relevant Skills relates to individuals, not the company, and should include relevant skills of key subconsultants if the positions listed are to be filled by subconsultants.</p> <p><<Guidance note: provide details of role descriptions and the expected qualifications and minimum number of years' experience for each role.>></p>	

Appendix E – List of supporting documentation

ITEM	DESCRIPTION	AUTHOR	DATE	MEDIA	STATUS
[Reference]	[Name of publication]			[Eg , A4, A3, letter]	[Description eg draft, prelim, final]

<<Guidance note: examples of supporting documentation are as follows:

- a) All Designation, resource consent and other environmental approval applications and decisions;
- b) All Archaeological Assessment Reports and any relevant Heritage New Zealand approvals
- c) Draft construction plans;
- d) Geotechnical investigations;
- e) Scheme assessment reports, Environmental Impact Assessment studies;
- f) Sediment General, Yield and Delivery Potentials: Comparative Catchment Analyses ;
- g) Draft Iwi Protocols;
- h) Summary of Engagement to Date as well as the Waka Kotahi Minimum Standard Z/17 – Branding and Communications Standard;
- i) Site Specific Environmental Requirements;
- j) Project Management Plan Volume 2 (Environmental Guidelines);
- k) Project Management Plan Volume (Site Specific Environmental Requirements);
- l) Assessment of Ecological Effects and Re-vegetation Programme Concept Plan;
- m) Application for Coastal Permit (Section 12 RMA) Supporting Assessment of Environmental Effects Report;
- n) CSEMP - the Waka Kotahi Minimum Standard Z/19 – State highway Environmental and Social Responsibility Standard, State Highway Professional Services Contract Manual (SM030);
- o) Maintenance.>>