



Prequalification for physical works

Supplier information pack

ISSUE 6

November 2024

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More information

NZ Transport Agency Waka Kotahi

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If you have further queries, call our contact centre on 0800 699 000 or email us at prequalification@nzta.govt.nz

This document is available on NZTA's website at [Contractor prequalification | NZ Transport Agency Waka Kotahi](#)

Record of Amendments

ISSUE / REVISION	SUBJECT	EFFECTIVE DATE	UPDATED BY
Issue 6	<ul style="list-style-type: none">Updated requirements for management controlsUpdated definitions for levels of work (A to D)Updated subcategories of workRevised template and guidance for referees	18 November 2024	Procurement Team
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1 Overview of NZTA's prequalification framework

NZTA's prequalification system was developed as a trial for the South Island in 2003, as a joint NZTA / industry initiative to make the procurement / tender process easier and more cost-effective. It was subsequently extended to the North Island, and in 2007 was accepted as a permanent system. Today over 160 suppliers have been registered with the Prequalification System.

NZTA's prequalification framework:

- allows a contractor to identify work categories and subcategories that they want to be prequalified for
- assesses a contractor's *management systems* for health & safety, quality management and environmental management
- assesses a contractor's resources and experience compared with four levels of NZTA work, ranging from Level D (low cost low risk) through to Level A (high cost high complexity' work on major construction programmes).

1.1 Who can be prequalified?

Prequalification is about the skills, experience and capabilities of the company, not individuals within the company. Although the capability of the company's key individuals is part of the assessment, the prequalification certificate is awarded to the company.

Any organisation can apply to be prequalified. It's important to know that when tendering for work, the contractor submitting a tender must be prequalified in their own right (e.g. they can't use a prequalification certificate awarded to a parent company or other entity).

1.2 Why is prequalification important?

We only consider tenders from contractors who have a current NZTA prequalification certificate. If you want to tender for work with NZTA, you must already be prequalified at the time when you submit your tender.

If you want to submit a tender but you're not currently prequalified, send us an urgent email at prequalification@nzta.govt.nz telling us which opportunity you want to tender for. Do this before preparing / submitting your tender.

We will contact you to discuss any options.

1.3 How we assess

Prequalification is a documentation-based assessment. When you apply for prequalification, you tell us what services you're applying to be prequalified for, and you provide documentary evidence of your skills and experience to perform that work, e.g.:

- Organisational certifications (e.g. ISO 9001 / ISO 14001, Tōtika assessment)
- Relevant industry qualifications for key individuals
- References / testimonials relating to previous work (on capital projects and/or maintenance contracts)

[Appendix A](#) gives more information about the supporting documents/evidence required.

1.4 What happens after the assessment

If we approve your application, we add you to our register of prequalified contractors and we send you a prequalification certificate showing the work categories and levels of work that you've been prequalified for.

When NZTA advertises physical works tenders we specify the minimum prequalification level for that work. If your prequalification certificate matches or exceeds those requirements, you are eligible to submit a tender.

A contractor's prequalification level may be adjusted based on their real-world performance.

1.5 Registration duration and expiry

NZTA prequalification operates on a 2-yearly cycle, expiring on 30 June in every odd year. Typically, twelve weeks before this date, we notify all currently prequalified contractors and explain how to renew or change their prequalification status before their certificates expire. However, contractors can apply for a higher level at any stage.

Please refer to section 7 for more details about expiry and maintaining a current registration.

2 Application requirements

2.1 Sending the application and subsequent communications

Please send all applications and communications to prequalification@nzta.govt.nz

NZTA aims to respond to all correspondence within 5 working days of receipt.

2.2 Prequalification requires Tōtika registration

We require every physical works contractor to have a current Tōtika registration before applying for NZTA prequalification.

- If your company is new to Tōtika you may need to undergo an assessment with a third-party certifying organisation.
- If your company is currently subscribed to Tōtika, there is no additional action required to share that information with NZTA.

To find out more about Tōtika, visit their website at www.totika.org.

2.3 Seeking prequalification via mutual recognition

2.3.1 What is mutual recognition?

If you are already prequalified with an overseas organisation, NZTA may be able to use that experience, documentation, and certificates as part of our own prequalification assessment. This is called mutual recognition, and might be available to you if:

- you are currently prequalified under the National Prequalification System with a Participating Authority in Australia; and
- you do not have a base in New Zealand.

2.3.2 How to apply for mutual recognition

If this applies to you, you can apply for prequalification via mutual recognition by sending us:

- a completed application for *prequalification via mutual recognition*; and
- information to support your eligibility within NZTA's prequalification framework:
 - Management controls (see section 4.2); and
 - The level of work that you typically perform (see section 4.3); and
 - The categories / subcategories of work that you want to be prequalified for (see section 4.4)

2.3.3 Supporting documentation

We will need:

- copies of the prequalification certificates from:
 - the 3rd party Assessment and Verification provider; and
 - the Prequalification Certificate from the Client organisation.
- details of your Tōtika registration. If you're not already registered with Tōtika, refer to section 2.2
- supporting documentation relating to your management controls. This documentation can depend on the territory / jurisdiction / organisation where you were prequalified.

You can email us at prequalification@nzta.govt.nz so we discuss and confirm the requirements for your specific circumstances.

2.3.4 Our assessment process

We may request further information from the company or from the original Assessing Agency before granting mutual recognition. This includes reference checking.

If we don't approve your application via mutual recognition we will explain why.

Depending on the circumstances you may decide to re-apply via our normal prequalification application process.

3 Submitting an application

The personal information you provide with your application for Prequalification for Physical Works will be used by NZTA for the purposes of assessing and communicating with you about your application and other Prequalification matters.

Please refer to section 3.4 for more details on how we manage and use any personal information that you send us.

3.1 Use the standard application form

Please apply using our standard application form, including:

- general company information; and
- information about your management controls (your practices for health & safety management; environmental management; and quality management); and
- which categories / subcategories of work you want to be prequalified for; and
- what 'level' of work you want to be prequalified for, based on (and demonstrated by) your track record in the past 5 years.

3.2 Providing supporting information

Please provide digital copies of the relevant supporting information (please do not send paper copies),

Every application must include the following (see [Appendix A](#) for additional details):

- Tōtika certificate
- Quality management system, certified to ISO standard or compliant with NZTA requirements
- Environmental management system, certified to ISO standard or compliant with NZTA requirements
- Reference letters, using our standard template
- Organisational structure (chart of management and technical personnel)
- Curriculum vitae of all key project management and supervisory / technical staff
- Other information as requested in the prequalification application form.

3.3 Providing references

The prequalification assessment will require a minimum of 3 references for:

- the 'level' of work that you want to be prequalified for; and
- each work category that you want to be prequalified for.

3.3.1 Providing reference letters

Please ensure that:

- all references use the referee letter template provided in [Appendix B](#); and
- each letter relates to a different project and is signed by a different referee; and
- the referee does not have (and has not previously had) a financial association or conflict of interest with you (the contractor applying for prequalification). The following relationships would constitute a conflict of interest:
 - subsidiary
 - sister company
 - Territorial Local Authority (TLA) ownership eg Council-Controlled Organisation (CCO)

3.3.2 Having enough references to cover the work categories you want to be prequalified for

For each work category that you want to be prequalified for, you need evidence (references) from three different contracts.

- So if you want to be prequalified for just one category, we need three references:
 - each reference must cover the work category that you want to be prequalified for; and
 - they must be from three different referees and relate to three different contracts
- If you want to be prequalified for more than one work category:
 - each work category must be covered by three different references from three different contracts
 - if you worked on any contracts where you performed more than one work category, those references can count towards each of those work categories.

Example

You want to be prequalified for two work categories.

You have provided enough references when you can tick all the items in this checklist:

- Each reference letter relates to a different project/contract;
- Each reference letter comes from a different referee, with no conflicts of interest
- Looking at each work category that you want to prequalify for, each of them is covered by three reference letters. (A reference letter can cover more than one work category.)

It's possible to tick all these boxes with just three reference letters (if every letter relates to a different contract, and comes from a different referee, and covers both of your work categories).

If you have three reference letters but you can't tick all these boxes yet, you'll have to provide additional reference letters until all the boxes are ticked.

If unsure, you can email us at prequalification@nzta.govt.nz to discuss and confirm how many reference letters you need for your application.

3.4 Privacy

The personal information you provide with your application for Prequalification for Physical Works will be used by NZTA for the purposes of assessing and communicating with you about your application and other Prequalification matters.

Where you are providing personal information about another person, such as CV information for staff or referees, you must inform them that their information will be provided to NZTA for the purposes of prequalification and that their information will be handled by NZTA in accordance with this privacy statement.

We use third-party providers to store and process information. We store some information with Microsoft Azure and Google servers in Australia. We also use Microsoft Office 365 for our email and other office productivity applications. This means that information we hold about you may be transferred to, or accessed from, outside New Zealand.

We take all reasonable steps to ensure that information about you which is stored or processed by our third-party service providers or agents is protected from loss, unauthorised access and disclosure, or any other misuse. We satisfy ourselves that our providers meet high data security standards.

Under the Privacy Act 2020, you have the right to request access to and correction of the personal information that we hold about you.

You can find our general privacy statement (and related information) in this page on our website.

[NZTA General privacy statement](#)

The page also explains how to contact us if you have requests or concerns or want to make a complaint about our handling of your personal information.

4 The prequalification framework

4.1 Overview of the framework

When we prequalify a supplier/contractor, we prequalify them based on:

- their management practices for:
 - Health & Safety management; and
 - Environmental management; and
 - Quality management
- Their experience on projects of different size / complexity; and
- The categories of work they do:
 - Maintenance (Routine) & Minor Works.
 - Surfacing
 - Bridge & Structure Construction
 - Construction

Each of these categories have several sub-categories (see section 4.4). A contractor can apply to be prequalified in any combination of sub-categories, or all of them.

In your application we will ask you to tell us which **Levels** and **Categories** of work you believe you can be prequalified for based on the guidance below, and to provide supporting evidence and references.

4.2 Management systems

Management System	Classification Level			
	A	B	C	D
Quality	ISO 9001 certified NZTA Z/1 & Z/8 compliant*	ISO 9001 certified NZTA Z/1 & Z/8 compliant*	ISO 9001 compliant NZTA Z/1 & Z/8 compliant*	NZTA Z/1 & Z/8 compliant*
Environmental and Sustainability	Environmental Management Plan certified to ISO 140001 standard	Environmental Management Plan certified to ISO 140001 standard	Environmental Management Plan compliant with NZTA Z/19*	Environmental Management Plan compliant with NZTA Z/19*
Health and Safety	Documented Health and Safety Management System compliant with the HSWA** and NZTA contractor health and safety expectations* Totika ≥ 85%, status 'Performing'	Documented Health and Safety Management System compliant with the HSWA** and NZTA contractor health and safety expectations* Totika ≥ 80%, status 'Performing'	Documented Health and Safety Management System compliant with the HSWA** and NZTA contractor health and safety expectations* Totika ≥ 75%, status 'Performing'	Documented Health and Safety Management System compliant with the HSWA** and NZTA contractor health and safety expectations* Totika ≥ 65%, status 'Performing' or 'Developing'

* NZTA minimum requirements can be found on our website at [Z Series – minimum standards](#)

** Health And Safety at Work Act

4.3 Four Levels of Infrastructure Work

We assess a contractor's capabilities and experience and compare with the four 'Levels' of project that we manage (Levels A, B, C, and D - see the table below).

We prequalify the contractor to the highest level they have demonstrated. The contractor can be considered for projects up to (and including) that level (e.g. a contractor prequalified to **Level B** can be considered for projects rated at **Level B, C or D**).

Level	Typical features
Level A	<ul style="list-style-type: none">• Prequalification classification typically for high value capital works and IDC maintenance contracts.• Resources and experience to carry out projects estimated at:<ul style="list-style-type: none">— greater than \$50Million construction value (indicative only)— greater than \$20Million maintenance value (indicative only)• Are considered high risk• Needs the highest Quality Management System to ISO 9001 certified by an accredited organisation, and is compliant with NZTA Z/1 and Z/8• Uses an Environmental Management system certified to ISO 14001 by an accredited organisation.• Must be operating under a documented Health and Safety Management System, and must fully comply with:<ul style="list-style-type: none">— the Health and Safety at Work Act; and— NZTA Contractor Health and Safety Expectations• Must have a Tōtika score of 85% or above, with contractor status 'Performing'• Technically complex requiring specialist appreciation and understanding• Involves full partnering and co-operation with all parties• Complex and sensitive Environmental Management issues

Level	Typical features
Level B	<ul style="list-style-type: none"> • Prequalification classification typically for medium to high value Capital Works and IDC Maintenance Contracts. • Resources and experience to carry out projects estimated at between: <ul style="list-style-type: none"> — \$20Million to \$50Million Construction value (indicative only) — \$5Million to \$20Million Maintenance value (indicative only) • Are considered medium to high risk • Needs the highest Quality Management system to ISO 9001 certified by an accredited organisation, and is compliant with NZTA Z/1 and Z/8 • Uses an Environmental Management system certified to ISO 14001 by an accredited organisation. • Must be operating under a documented Health and Safety Management System, and must fully comply with: <ul style="list-style-type: none"> — the Health and Safety at Work Act; and — NZTA Contractor Health and Safety Expectations • Must have a Tōtika score of 80% or above, with contractor status 'Performing' • Technically complex requiring technical appreciation and understanding • Limited surveillance required, and the contractor adheres to the principles of partnering • Complex Environmental Management issues
Level C	<ul style="list-style-type: none"> • Prequalification classification typically for low to medium value Capital Works and IDC Maintenance Contracts. • Resources and experience to carry out projects estimated at between: <ul style="list-style-type: none"> — \$5Million to \$20Million Construction value (indicative only) — \$1Million to \$5Million Maintenance value (indicative only) • Are considered low to medium risk • Operates a Quality Management system compliant with ISO 9001, independently audited, and is compliant with NZTA Z/1 and Z/8 • Uses an Environmental Management System compliant with NZTA's Environmental Management Plan Guidelines. • Must be operating under a documented Health and Safety Management System, and must fully comply with: <ul style="list-style-type: none"> — the Health and Safety at Work Act; and — NZTA Contractor Health and Safety Expectations • Must have a Tōtika score of 75% or above, with contractor status 'Performing' • Not technically complex but requiring technical appreciation and understanding • Straightforward/minor requirements for co-operation and pro-active partnering • Simple Environmental Management issues

Level	Typical features
Level D	<ul style="list-style-type: none"> • Prequalification classification typically for the Low Cost/ Low Risk, Minor Works, Safety Programs, Panel Participants, and maintenance programmes. • Resources and experience to carry out projects usually less than: <ul style="list-style-type: none"> — \$5Million Construction value (indicative only) — \$1Million Maintenance value (indicative only) • Are considered low risk • Quality Management compliant with NZTA Z/1 and Z/8 • Uses an Environmental Management System compliant with NZTA's Environmental Management Plan Guidelines. • Must be operating under a documented Health and Safety Management System, and must fully comply with: <ul style="list-style-type: none"> — the Health and Safety at Work Act; and — NZTA Contractor Health and Safety Expectations • Must have a Tōtika score of 65 - 75%, with contractor status 'Performing' or 'Developing' • Technically simple, routine or repetitive • Minimal levels of surveillance and support • Does not involve sensitive Environmental Management issues

4.4 Categories and sub-categories of work

We currently separate physical works into four categories: Maintenance (Routine) & Minor Works; Surfacing; Bridge & Structure Construction; Construction. Each of these is described below, with their sub-categories.

You can ask to be prequalified in any combination of work categories and subcategories.

1. Maintenance (Routine) and Minor works	
Pavement Maintenance	<ul style="list-style-type: none">• Patching and repairs including potholes• Shoulder maintenance including flanking• 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• Repair to scour, degradation or aggradations threatening roads, bridges or other roading related structures which has accumulated over time• Repair to any other deficiency which has developed from events occurring over a period of time• Replacement of wearing and running course metal on unsealed roads• Grading of unsealed roads
Drainage Maintenance	<ul style="list-style-type: none">• Routine maintenance and repair of surface water channel and subsoil drainage• Stream clearing and debris removal; to maintain water courses through culverts• Repair minor scour in water channels and other drainage facilities• Renewal or installation of culverts with an opening area less than 3.4 m²
Bridge Maintenance	<ul style="list-style-type: none">• Visual inspection to check for obvious signs of damage• Cleaning the bridge deck and joints• Removing vegetation or litter• Repairing small cracks and potholes on the bridge deck• Applying corrosion inhibitors to susceptible areas• Repainting or reapplying protective coatings to steel components• Resealing expansion joints
Intelligent Transport System	<ul style="list-style-type: none">• Operation and maintenance of traffic signals• Operation and maintenance of electronic signage• Operation and maintenance of traffic monitoring equipment, such as area-wide traffic control systems and CCTV• Replacement of traffic signal, electronic signage and surveillance equipment with an equivalent but state of art facility.• Provision and operation and maintenance of emergency telephones on motorways• Provision and operation and maintenance of loops / traffic detection devices• Provision and operation of advanced traffic management systems (ATMS)• Provision and operation of variable message signs

1. Maintenance (Routine) and Minor works

Road/ pavement/ line marking

- Provision and maintenance of pavement markings

Barriers and guardrails

- Provision and maintenance of barriers and guardrails

Traffic signage

- Provision and maintenance of traffic signage

Carriageway Lighting

- Provision and maintenance and operation of lighting (local roads, state highways, shared paths, cycleways etc)
- Provision and maintenance and operation of belisha beacons and floodlights at pedestrian crossings

Vegetation Control

- New landscape planting
- Maintenance of landscape planting
- Noxious plant control

Amenity/Safety Maintenance

- Snow clearing and ice control
- Litter collection on rural roads
- Removal of, protection against, graffiti on roading structures
- Removal and cleaning up crash debris and spillages (excluding hazardous substances which are responsibility of emergency services)
- Cleaning channels, sumps and cesspits

Temporary Traffic Management

- Provision and operation of temporary traffic management

Weighing devices

- Provision and operation of weighing devices

Minor Safety

- Small isolated geometric improvements (including kerb realignment, roundabouts)
- Intersection improvements
- Traffic calming measures (including speed platforms, traffic islands)

2. Surfacing

Seals & Reseals

- Conventional chip reseals including second coat seals
- Void filling seal coats
- Texturing seals
- Other approved special purpose chip seals

Asphalt

- Asphaltic surfacing

3. Bridge & Structure Construction

- Bridge repairs / complex maintenance**
- Repair of bridge retaining walls
 - Replacement of timber decks
 - Replacement of damaged or deteriorated structural members
 - Sand blasting and painting of structural members
 - Foundation protection

- Bridge Construction**
- New or replacement bridge structure
 - Widening an existing bridge
 - Temporary bridges

- Large retaining walls**
- Construction of retaining structure greater than 5m in height

- Small retaining walls**
- Construction of retaining structure less than 5m in height

- Culverts**
- Construction of large culvert structures

- Noise walls**
- Construction of noise walls

4. Construction

- Pavements / pavement improvements**
- New pavements
 - Removal and replacement of the existing pavement material
 - Chemical stabilisation
 - Unbound granular overlays
 - Treatments involving ripping and/or reshaping of existing pavement material

- Drainage / drainage improvements**
- Installation of water channels, sub-soil drainage
 - Renewal or installation of culverts with a diameter greater than 600mm
 - New pipelines, manholes

- Earthworks**
- Structural fill and rock protection
 - Cut to fill, cut to waste
 - Stabilised embankments
 - Excavating hard material

- Concrete**
- Concrete paths / shared use paths

- Concrete barriers**
- Concrete barriers

4.5 Understanding the prequalification rating

If your application is successful, we will assign a prequalification rating that shows:

- the **Work Category** (1 to 4); and
- the **Work Level** (A to D).

For example, if you prequalify for work category **2. Surfacing**, at work level **B**, your rating will be **2B**.

Work Categories	Classification Levels			
	A	B	C	D
1. Maintenance (Routine) & Minor Works	1A	1B	1C	1D
2. Surfacing	2A	2B	2C	2D
3. Bridge & Structure Construction	3A	3B	3C	3D
4. Construction	4A	4B	4C	4D

5 The assessment process

Steps	Summary
Step 1	Information pack Read and become familiar with the prequalification procedures in this Information Pack
Step 2	Subscribe to Tōtika Contact Tōtika and complete registration process (if not already registered). This is still required if you are applying under the mutual recognition pathway.
Step 3	Management systems Provide information and supporting documentation for your management controls (see section 4.2).
Step 4	Classification level Identify which work classification levels that you meet and can provide the appropriate supporting documentation for (see section 4.3).
Step 5	Work Categories and Subcategories Identify which work categories / subcategories cover the type of NZTA work that your company may wish to deliver (see section 4.4).
Step 6	Check and submit your application <ul style="list-style-type: none">• Check that you've answered all the questions and have gathered all the supporting documents (see Appendix A)• Send your application via email to prequalification@nzta.govt.nz
Notes	<ul style="list-style-type: none">• You should receive the result of your application within 4 weeks• All questions should be directed to prequalification@nzta.govt.nz• You are required to notify NZTA of company changes at the time of the change. Information supplied will be retained under your company's in-house prequalification profile.

5.1 How long is the assessment process?

You can apply for prequalification at any time. We can usually complete the process within four weeks from the date we receive the application, if the information we receive is complete, clear and accurate.

We will notify you of the outcome via email.

5.2 If your application is successful

If your application is successful we will:

- notify you via email and include your formal Prequalification Certificate; and
- add you to our register of prequalified contractors.

At that point you will be eligible to tender for NZTA contracts.

5.3 If your application is unsuccessful

If your application is unsuccessful or if there is a reduction in your prequalification classification, we will:

- inform you via email;
- explain the reasons; and
- if you have a pre-existing prequalification, amend our register of prequalified contractors to reflect the reduction or removal.

You can reapply if the conditions and circumstances have changed sufficiently for the Prequalification Manager to reconsider their decision.

5.4 Out of cycle prequalification assessment or review of prequalification status

Under exceptional circumstances contractors may request NZTA to make a prequalification assessment outside of the usual cycle.

We may conduct an out-of-cycle review of a contractor's prequalification credentials. This can happen for various reasons, e.g. there has been a change in the contractor's situation or we become aware that there may have been a change in situation and request and update.

5.5 The publicly accessible register of Prequalified Contractors

We publish a list of currently Prequalified Contractors and their classifications on the NZTA website (www.nzta.govt.nz).

We update this register regularly.

Example: A contractor receives their prequalification certificate on 21 Feb.

- *The contractor is officially prequalified from that date and can tender for work from that date.*
- *The contractor will appear on the publicly available Prequalified Contractors register at the end of February.*

6 Performance Reviews

6.1 Overview

We use the NZTA-generated Interim and Final PACE reports to monitor the performance of prequalified contractors.

6.2 Out of cycle review for inadequate performance

We may carry out a performance review on any prequalified supplier who appears to have demonstrated unsatisfactory performance by receiving the 'Meets Few Requirements' across multiple assessment outcomes across the same or different contracts/projects within a 12-month period (refer to the Z/12 Supplier Performance Evaluation Framework).

6.2.1 The review process

The prequalification manager will discuss with the project manager, supervising consultant and the contractor before initiating a performance review. If a review is appropriate the prequalification manager will inform the contractor and arrange for an independent party to prepare a report covering the contractor's performance and make a recommendation to NZTA within 4 weeks.

NZTA will advise the Contractor in writing of the outcome of the performance review.

6.2.2 Possible penalties for inadequate performance

Penalties for inadequate performance can apply to any or all Waka Kotahi Regions and can include any of the following:

- **Warning:** any recurrence will lead to automatic suspension.
- **Downgrading:** Supplier downgraded and required to re-submit an 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 of remediation:** The supplier may be asked to demonstrate the remedial actions taken to improve in the specific area of inadequate performance.

Penalties can apply to any or all NZTA Regions that the supplier operates in.

6.2.3 Review of registration / classification

NZTA may review any registration/classification at any time.

6.2.4 Appeal

The Contractor has 14 calendar days to appeal the final decision.

7 Updating and renewing prequalification registration

7.1 Updating/renewing at the end of the registration cycle

Prequalification registration has a **2-year lifecycle** with a maximum validity until 30 June **in the next odd year**. NZTA will notify all prequalified contractors 12 weeks before the end of the registration period and will explain how to renew their registration.

Typically, if your details haven't changed, you can apply for renewal by:

- reconfirming basic organisation details, e.g. legal & trading names, contact details, regions served etc; and (if your existing prequalification was approved more than 12 months ago)
- providing updated references.

7.2 Keeping your certifications current

If your prequalification is based on certifications (e.g., ISO 9001), you must:

- notify us of any changes
- send us updated copies before they expire.

7.3 Updating your prequalification levels at other times

You can apply to change your prequalification status at any time if:

- you believe you can prequalify for a higher level of work; or
- you want to update the categories/subcategories of work that you can offer.

Normally you will have to provide supporting evidence for the changes that you're applying for.

We can advise on next steps, and the information you will need to provide.

Please contact us via email initially at prequalification@nzta.govt.nz

7.4 Changing other registration details

It's important that you tell us of any changes to the details you provided with your prequalification application, even if they don't relate directly to the services that you offer. Examples include:

- Changes to key personnel that formed part of your prequalification application/assessment
- A change of trading name – if you don't inform us:
 - we can't issue an updated prequalification certificate; and
 - you won't be eligible to tender for work with us until this is resolved.

If any details do change, contact us and we can advise on next steps. We might simply need to update our records.

Contact us via email at prequalification@nzta.govt.nz.

8 Glossary of terms

Term	Meaning
Applicant	The Contractor who is seeking Prequalification registration for one or more Work Category(s) and Classification Level(s) by submitting the documents and meeting the requirements stipulated in this document.
Classification Level	The Prequalification system has four Classification Levels A through D, Level A being the highest and D the lowest Classification Level
HSWA	The Health And Safety At Work Act
PACE	<p>Performance Assessment by Coordinated Evaluations (PACE) is the performance evaluation system used by NZTA to assess Physical Works and Professional Services contracts.</p> <p>The requirements of the PACE system can be downloaded from the NZTA website (www.nzta.govt.nz).</p>
Prequalification Certificate	The certificates issued to Contractors who have successfully completed Prequalification registration. The certificate allows a Contractor to tender for NZTA's Physical Works contracts with Prequalification requirements.
Prequalification Manager	The person in NZTA who is responsible for management of the Prequalification system.
Referee	A Referee shall be from a client organisation and/or a 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.
Registration	The process of seeking acceptance to become a Prequalified Contractor by submitting an application.
Tōtika Scheme (Tōtika)	Online system to manage NZTA's health and safety prequalification requirements.
Work Categories	Contractors are classified in accordance with their expertise in four physical work categories i.e. Maintenance (Routine) & Minor Works, Surfacing, Bridge & Structure Construction, and Construction.

Appendices

Appendix A. Self-assessment checklist

LEVEL	CRITERIA	DOCUMENTATION REQUIREMENTS	INCLUDED?
Quality Management System Accreditation			
A	<ul style="list-style-type: none"> ISO 9001 certified by an accredited organisation; and Compliant with NZTA Z/1 and Z/8 	<ul style="list-style-type: none"> Provide current certification to ISO 9001 by a JAS-ANZ accredited organisation. 	<input type="checkbox"/>
B	<ul style="list-style-type: none"> ISO 9001 certified by an accredited organisation; and Compliant with NZTA Z/1 and Z/8 	<ul style="list-style-type: none"> Provide current certification to ISO 9001 by a JAS-ANZ accredited organisation. 	<input type="checkbox"/>
C	<ul style="list-style-type: none"> Compliant with ISO 9001, independently audited; and Compliant with NZTA Z/1 and Z/8 	<ul style="list-style-type: none"> Provide an independent audit report. Provide a copy of recent Quality Management Plan that demonstrates compliance with NZTA Z/1 and Z/8. 	<input type="checkbox"/>
D	<ul style="list-style-type: none"> Compliant with NZTA Z/1 and Z/8 	<ul style="list-style-type: none"> Provide 3 copies of recent Quality Management Plans that demonstrate compliance with NZTA Z/1 and Z/8. 	<input type="checkbox"/>
Environmental Management System Accreditation			
A&B	<ul style="list-style-type: none"> Uses an Environmental Management System certified to relevant ISO 14001 Standard by an accredited organisation. 	<ul style="list-style-type: none"> Provide current certification to ISO 14001 by a JAS-ANZ accredited organisation. 	<input type="checkbox"/>
C&D	<ul style="list-style-type: none"> Uses an Environmental Management System based on NZTA's Environmental Management Plan Guidelines. 	<ul style="list-style-type: none"> Provide copy of recent example of Environmental Management Plan in accordance with NZTA's guidelines. 	<input type="checkbox"/>
Health and Safety			

LEVEL	CRITERIA	DOCUMENTATION REQUIREMENTS	INCLUDED?
A	<ul style="list-style-type: none"> Must fully comply with: <ul style="list-style-type: none"> the Health and Safety at Work Act 2015; and NZTA contractor health and safety expectations; and Must be operating under a documented Health and Safety Management System 	Tōtika assessment: <ul style="list-style-type: none"> score of 85% or above; with contractor status 'Performing' 	<input type="checkbox"/>
B	<ul style="list-style-type: none"> Must fully comply with: <ul style="list-style-type: none"> the Health and Safety at Work Act 2015; and NZTA contractor health and safety expectations; and Must be operating under a documented Health and Safety Management System 	Tōtika assessment: <ul style="list-style-type: none"> score of 80 - 85%; with contractor status 'Performing' 	<input type="checkbox"/>
C	<ul style="list-style-type: none"> Must fully comply with: <ul style="list-style-type: none"> the Health and Safety at Work Act 2015; and NZTA contractor health and safety expectations; and Must be operating under a documented Health and Safety Management System 	Tōtika assessment: <ul style="list-style-type: none"> score of 75 - 80%; with contractor status 'Performing' 	<input type="checkbox"/>
D	<ul style="list-style-type: none"> Must fully comply with: <ul style="list-style-type: none"> the Health and Safety at Work Act 2015; and NZTA contractor health and safety expectations; and Must be operating under a documented Health and Safety Management System 	Tōtika assessment: <ul style="list-style-type: none"> score of 65 - 75%; with contractor status: <ul style="list-style-type: none"> 'Performing'; or 'Developing'. 	<input type="checkbox"/>
Project Management – Curriculum Vitae			
A	<ul style="list-style-type: none"> Technically complex requiring specialist appreciation and understanding. 	<ul style="list-style-type: none"> Provide details of project management and key supervisory staff (one of whom is an Engineer or equivalent), all with at least 5 years' experience (2 pages CV for each staff) 	<input type="checkbox"/>

LEVEL	CRITERIA	DOCUMENTATION REQUIREMENTS	INCLUDED?
B	<ul style="list-style-type: none"> Technically complex requiring technical appreciation and understanding. 	<ul style="list-style-type: none"> Provide details of experience of project management and key supervisory staff, all with at least 3 years' experience (2 pages CV for each staff) 	<input type="checkbox"/>
C	<ul style="list-style-type: none"> Some variation requiring technical appreciation and understanding. 	<ul style="list-style-type: none"> Provide details of experience of project management and key supervisory staff (2 pages CV for each staff) 	<input type="checkbox"/>
D	<ul style="list-style-type: none"> Work of a routine and repetitive nature. Not technically demanding. 	<ul style="list-style-type: none"> Provide details of experience of project management and technical staff (2 pages CV for each staff) 	<input type="checkbox"/>
Company Information			
All levels	<ul style="list-style-type: none"> 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. 		<input type="checkbox"/>
Environmental Management			
A&B	<ul style="list-style-type: none"> Capable of providing complex environmental management. 	<ul style="list-style-type: none"> Provide reference letters from supervising authorities on 3 recently completed projects. 	<input type="checkbox"/>
C&D	<ul style="list-style-type: none"> Capable of providing simple environmental management. 	<ul style="list-style-type: none"> Provide reference letters from supervising authorities on 3 recently completed projects. 	<input type="checkbox"/>
Quantum or size of work			
A	<p>Has the capability, resources and the experience to carry out:</p> <ul style="list-style-type: none"> Capital projects estimated at more than \$50M; or Maintenance projects estimated at more than \$20M. 	<ul style="list-style-type: none"> Provide reference letters from supervising authority for 3 recently completed projects. 	<input type="checkbox"/>
B	<p>Has the capability, resources and experience to carry out:</p> <ul style="list-style-type: none"> Capital projects estimated at between \$20M and \$50M; or Maintenance projects estimated at between \$5M and \$20M 	<ul style="list-style-type: none"> Provide reference letters from supervising authority for 3 recently completed projects. 	<input type="checkbox"/>

LEVEL	CRITERIA	DOCUMENTATION REQUIREMENTS	INCLUDED?
C	<p>Has the capability, resources and experience to carry out:</p> <ul style="list-style-type: none"> Capital projects estimated at between \$5M and \$20M; or Maintenance projects estimated at between \$1M and \$5M 	<ul style="list-style-type: none"> Provide reference letters from supervising authority on 3 recently completed projects. 	<input type="checkbox"/>
D	<p>Has the capability, resources and experience to carry out:</p> <ul style="list-style-type: none"> Capital projects estimated at less than \$5M; or Maintenance projects estimated at less than \$1M 	<ul style="list-style-type: none"> Provide reference letters from supervising authority on 3 recently completed projects. 	<input type="checkbox"/>
Co-operation and Proactive Partnering			
A	<ul style="list-style-type: none"> Experienced in the establishment and practice of a Full Partnering Charter and co-operates fully with all parties (or demonstrates capability to achieve this). 	<ul style="list-style-type: none"> Provide reference letters from supervising authority for 3 recently completed projects. 	<input type="checkbox"/>
B	<ul style="list-style-type: none"> Very limited surveillance required, adheres to the principles of partnering. 	<ul style="list-style-type: none"> Provide reference letters from supervising authority on 3 recently completed projects. 	<input type="checkbox"/>
C	<ul style="list-style-type: none"> Some surveillance required, proactive co-operation with all parties. 	<ul style="list-style-type: none"> Provide reference letters from supervising authority for 3 recently completed projects. 	<input type="checkbox"/>
D	<ul style="list-style-type: none"> Surveillance and support required. 	<ul style="list-style-type: none"> Provide reference letters from supervising authority for 3 recently completed projects. 	<input type="checkbox"/>

Appendix B. Reference letter template

The Prequalification Manager
 NZ Transport Agency Waka Kotahi
 PO Box 6995
 Wellington
 New Zealand

Insert date

Reference letter – NZTA prequalification for physical works

I've been asked to provide a reference 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	Maintenance (Routine) & Minor Works	
2	Surfacing	
3	Bridge & Structure Construction	
4	Construction	

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

Yours faithfully

Name:

Title of supervising authority:

Address:

Contact telephone no.:

Email:

Checklist

Area	Page ref	Answered? (please tick)
Contract value and dates	3	
Work category / subcategories	3	
Quantum / size of work	3	
Health & Safety management	4	
Quality management	4	
Environmental management	5	
Cooperation and proactive partnering	5	
Additional information	6	

Contractor reference for NZTA prequalification

Contract value: \$ _____

Start date: _____

End date: _____

Work Category

On the project/contract listed on page 1, the contractor provided the following services:

Work Category	Subcategory (Please tick all that apply)
1. Maintenance (Routine) & Minor Works	<input type="checkbox"/> Pavement Maintenance <input type="checkbox"/> Drainage Maintenance <input type="checkbox"/> Bridge Maintenance <input type="checkbox"/> Intelligent Transport System <input type="checkbox"/> Road / Line marking <input type="checkbox"/> Barriers and Guardrails <input type="checkbox"/> Traffic Signage <input type="checkbox"/> Carriageway Lighting <input type="checkbox"/> Vegetation Control <input type="checkbox"/> Amenity / Safety Maintenance <input type="checkbox"/> Temporary Traffic Management <input type="checkbox"/> Weighing Devices <input type="checkbox"/> Minor Safety
2. Surfacing	<input type="checkbox"/> Seals & Reseals <input type="checkbox"/> Asphalt
3. Bridge & Structure Construction	<input type="checkbox"/> Bridge Repairs / Complex Maintenance <input type="checkbox"/> Bridge Construction <input type="checkbox"/> Large Retaining Walls <input type="checkbox"/> Small Retaining Walls <input type="checkbox"/> Culverts <input type="checkbox"/> Noise Walls
4. Construction	<input type="checkbox"/> Pavements / Pavement Improvements <input type="checkbox"/> Drainage / Drainage Improvements <input type="checkbox"/> Earthworks <input type="checkbox"/> Concrete Paths <input type="checkbox"/> Concrete Barriers

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:

Capital Projects	Level
Greater than \$50M	A
Between \$20M and \$50M	B
Between \$5M and \$20M	C
Up to \$5M	D
	N/A

Maintenance Projects	Level
Greater than \$20M	A
Between \$5M and \$20M	B
Between \$1M and \$5M	C
Up to \$1M	D
	N/A

Health & Safety

On this project the contractor's performance:

	Level
Met all requirements and often exceeded them	A
Met all requirements with no additional action required	B
Met requirements, sometimes requiring additional action / supervision	C
Met requirements, often requiring additional action / supervision	D
Select level	

Health and Safety performance – additional comments

Quality management

On this project the contractor's performance:

	Level
Met all requirements and often exceeded them	A
Met all requirements with no additional action required	B
Met requirements, sometimes requiring additional action / supervision	C
Met requirements, often requiring additional action / supervision	D
Select level	

Quality management – additional comments
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Environmental management

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

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

Environmental management – additional comments
--

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:

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

Cooperation and partnering – additional comments
--

Additional Information

1. Please provide a brief description of the project.
2. What was your role on the project?
4. What was the scope of works for the contractor to complete?
3. How would you describe the contractor's performance to date?
5. Was all the work completed by the contractor? If some elements were sub-contracted, please explain briefly?
6. Did the contractor have the necessary capability and knowledge to complete the required work?
7. Would you be happy to engage this contractor for higher value or more complex projects?

Client signature:

Client name (please print):

Appendix C. Guide for referees

You've been nominated as a referee for a contractor that provided roading / construction services to you. The contractor has applied for NZTA prequalification, and your reference will be an important part of our prequalification assessment.

What is NZTA prequalification?

Prequalification involves contractors being assessed over a range of criteria and then being registered for specific types and sizes of work. We will use your reference, along with other measures, to determine an overall prequalification level for each work category that the contractor has applied for.

What do we need from you?

We've provided a letter template for referees. Please answer all relevant questions and provide additional information as necessary to help us understand:

- the work that was being done
- the contractor's role
- how the contractor performed; and
- whether you would engage them again in future.

Providing the information

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.

Notes

1. Please provide your reference using the attached template.
2. Please complete a separate letter for EACH project that you have been asked to provide a reference for.
3. References can be local or international and from the public or private sector.
4. References should relate to work performed within the last 3 years.
5. You must have had significant oversight of the contractor's performance on this project and you will preferably have managed their contract.
6. Please consider whether the contractor has demonstrated their ability/capability in an area, not simply whether they have actually completed a project at that level.
7. References from NZTA are not considered a conflict of interest unless specific circumstances suggest otherwise.
8. NZTA (or its representatives) may contact you to clarify / understand any information provided.