



**Finance  
& Services**

# **GUIDELINES FOR APPLICANTS**

**CONSULTANT PREQUALIFICATION SCHEME  
2011-2013 FOR CONSTRUCTION AND RELATED  
WORKS**

**August 2011**

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## SCHEDULE OF DOCUMENT AMENDMENTS

Revision Number	Date	Update Description
0.	22 August 2011	Document Original
1.		

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## DEFINITIONS, REFERENCES & LINKS

### Accreditation or Prequalification Schemes

#### Scheme (or “the Scheme”)

Consultant Prequalification Scheme 2011 – 2013 for Construction and related works  
<http://www.nswprocurement.com.au/Government-Procurement-Frameworks/Construction/Pre-qualification-Scheme/Consultant-Services.aspx>

### Management Systems & Guidelines

#### Aboriginal Participation in Construction Guidelines

[http://www.procurement.nsw.gov.au/psc/nsw\\_government\\_guidelines/aboriginal\\_participation\\_in\\_construction.pdf](http://www.procurement.nsw.gov.au/psc/nsw_government_guidelines/aboriginal_participation_in_construction.pdf)

#### Consultant Performance Report (CPR)

[http://www.nswprocurement.com.au/psc/performance\\_management/pms\\_cpr\\_consultant.aspx](http://www.nswprocurement.com.au/psc/performance_management/pms_cpr_consultant.aspx)

#### Project Director Performance Report

[http://www.procurement.nsw.gov.au/psc/performance\\_management/pms\\_pdpr.aspx](http://www.procurement.nsw.gov.au/psc/performance_management/pms_pdpr.aspx)

#### Project Manager Performance Report

[http://www.nswprocurement.com.au/psc/performance\\_management/pms\\_pmpr.aspx](http://www.nswprocurement.com.au/psc/performance_management/pms_pmpr.aspx)

#### Code of Practice for Procurement

[http://www.nswprocurement.com.au/Government-Procurement-Frameworks/Files/code\\_of\\_prac-curr.aspx](http://www.nswprocurement.com.au/Government-Procurement-Frameworks/Files/code_of_prac-curr.aspx)

#### Guidelines for Auditing Project OHS Management Plans

[http://www.nswprocurement.com.au/psc/nsw\\_government\\_guidelines/ohsms\\_guidelines\\_audit.aspx](http://www.nswprocurement.com.au/psc/nsw_government_guidelines/ohsms_guidelines_audit.aspx)

#### How to prepare Site-specific Safety Management Plans and Safe Work Method Statements

[http://www.nswprocurement.com.au/psc/nsw\\_government\\_guidelines/ohsms\\_guidelines\\_how\\_to\\_guide.aspx](http://www.nswprocurement.com.au/psc/nsw_government_guidelines/ohsms_guidelines_how_to_guide.aspx)

#### Integrated Performance Management System

<http://www.procurement.nsw.gov.au/Procurement-System-for-Construction/Performance-management/Performance-Management-System.aspx>

#### National Competency Standards for Project Management

Background and information on the standards may be obtained from the Australian Institute of Project Management  
<http://www.aijm.com.au/html/ncspm.cfm>

#### NSW Government Environmental Management Systems Guidelines, 2nd edition September 2009

[www.procurement.nsw.gov.au/psc/nsw\\_government\\_guidelines/EMS-Ed2-Sept-2009.aspx](http://www.procurement.nsw.gov.au/psc/nsw_government_guidelines/EMS-Ed2-Sept-2009.aspx)

#### NSW Government Industrial Relations Management Guidelines

[http://www.nswprocurement.com.au/psc/nsw\\_government\\_guidelines/industrial\\_relations\\_management.aspx](http://www.nswprocurement.com.au/psc/nsw_government_guidelines/industrial_relations_management.aspx)

#### NSW Government Procurement System for Construction

<http://www.procurement.nsw.gov.au/Procurement-System-for-Construction>

**NSW Government Occupational Health and Safety Management Systems Guidelines, 4th edition**

[http://www.nswprocurement.com.au/psc/nsw\\_government\\_guidelines/ohsms\\_guidelines.aspx](http://www.nswprocurement.com.au/psc/nsw_government_guidelines/ohsms_guidelines.aspx)

**NSW Government Training Management Guidelines (February 2009)**

[http://www.dpc.nsw.gov.au/\\_\\_data/assets/pdf\\_file/0008/43694/Training\\_Management\\_Guidelines\\_Apprentices.pdf](http://www.dpc.nsw.gov.au/__data/assets/pdf_file/0008/43694/Training_Management_Guidelines_Apprentices.pdf)

**NSW Legislation**

NSW Legislation web site  
<http://www.legislation.nsw.gov.au/>

**QMS Guidelines Appendix E - Guideline for Inspection and Test Plans**

[http://www.nswprocurement.com.au/psc/nsw\\_government\\_guidelines/qms\\_guidelines\\_appendix\\_e.aspx](http://www.nswprocurement.com.au/psc/nsw_government_guidelines/qms_guidelines_appendix_e.aspx)

## Organisations

**DFS**

Department of Finance & Services  
<http://services.nsw.gov.au/>

**DSTA**

The former NSW Department of Services Technology & Administration (currently DFS)

**NSWP**

NSW Procurement

**NSW Procurement web site**

<http://www.procurement.nsw.gov.au/>

**NSW Public Works**

<http://publicworks.nsw.gov.au/>

**NSW Treasury circulars**

[http://www.treasury.nsw.gov.au/Publications\\_Page/NSW\\_Treasury\\_Circulars](http://www.treasury.nsw.gov.au/Publications_Page/NSW_Treasury_Circulars)

**PSS**

Policy Support Services ( a unit of NSW Procurement within Government Services, Department of Finance & Services)

## 1.0 INTRODUCTION

This document provides guidance for Consultants seeking prequalification under the Department of Finance and Services *Consultant Prequalification Scheme 2011 – 2013 for Construction and related works* (“The Scheme”).

### **Extension and renaming of Scheme**

Following the two (2) year extension of the *Consultant Prequalification Scheme 2008 – 2011 for Construction and related works*, the Scheme has been renamed *Consultant Prequalification Scheme 2011 – 2013 for Construction and related works*.

*The purpose of this renaming is to indicate more clearly the extent of the Scheme, particularly for new applicants.*

*Firms which are prequalified under the 2008 – 2011 Scheme are acknowledged as prequalified under the 2011 – 2013 Scheme provided that the firm has submitted the rollover information requested by the Department and where the firm is able to continue to meet the requirements of the Scheme.*

*Prequalified firms are required to read the Scheme document and advise the Department should the firm no longer meet the Scheme requirements as well as action planned to meet the requirements including timeframe.*

### **Use of the Scheme**

The Scheme is used to support the selection of suitable consultants for future work by NSW government agencies which are not accredited to the NSW Treasury Agency Accreditation Scheme for Construction.

Additionally, the Scheme is used to support NSW government agencies which are accredited to the NSW Treasury Agency Accreditation Scheme for Construction as well as State Owned Corporations, Public Institutions (such as Universities) and NSW Local Government Councils.

Prequalified consultants are represented by firms demonstrating a sound business structure, financial capability, resources, management systems, recent experience and good performance history.

### **Scheme Timeline**

<b>Application acceptance</b>	Prior to and during the life of the Scheme
<b>Scheme commenced</b>	1 July 2008 (under previous title: Consultant Prequalification Scheme 2008 – 2011)
<b>Date Scheme extended</b>	13 May 2011
<b>Scheme concludes</b>	30 June 2013
<b>Scheme extension</b>	Subject to Department requirements
<b>Scheme content update</b>	Subject to Department requirements

## 2.0 WORK CATEGORIES

Applicants are to identify the work categories for which they are seeking prequalification based their demonstrated recent experience and capabilities. NSW government agencies may access firms prequalified under the Scheme within the following work categories.

**Table 2: Work categories**

Category	Work Type Code	<p align="center"><b>Summary Description</b></p> <p align="center"><b>For detailed description refer: Section 3.4 Work Specific Requirements</b></p>
Project Director	335	Project Management of planning services and activities required for capital works funding submissions (Business Case) to NSW Treasury. <b>Work Specific Requirements:</b> Refer Note 1
Project Director Health	336	Project Management of planning services and activities required for Health related capital works funding submissions (Business Case) to NSW Treasury. <b>Work Specific Requirements:</b> Refer Note 2
Project Management	313	Project Manager for the effective and economic design and construction of projects. <b>Work Specific Requirements:</b> Refer Note 3
Economic Appraisal - Health	380	Economic Appraisal of major Health Infrastructure Projects <b>Work Specific Requirements:</b> Refer Note 4
Value Management Facilitators	328	Value Management Studies including workshop facilitation and report preparation. <b>Work Specific Requirements:</b> Refer Note 5
Architecture - Health	203	Design Consultant specializing in Architecture - Health including Health Care Facilities (not Nurses Homes, Administration etc.) <b>Specialist areas:</b> Nursing Homes (used by Health Dept with reference to the Department's register, or as procurement managed for Health by the DFS) specifications. <b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required. <b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health &amp; Safety Regulation 2001 (NSW)</i> <b>Work Specific Requirements:</b> Refer Note 6

Category	Work Type Code	<p align="center"><b>Summary Description</b></p> <p align="center"><b>For detailed description refer: Section 3.4 Work Specific Requirements</b></p>
Architecture - Education Primary & Secondary	202	<p>Design Consultant specializing in Architecture - Education Primary &amp; Secondary including primary and secondary education facilities.</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health &amp; Safety Regulation 2001 (NSW)</i></p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>
Architecture - Education Tertiary	200	<p>Design Consultant specializing in Architecture - Education Tertiary including tertiary education facilities.</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health &amp; Safety Regulation 2001 (NSW)</i></p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>
Architecture - Correctional	204	<p>Design Consultant specializing in Architecture - Correctional including correctional facilities.</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health &amp; Safety Regulation 2001 (NSW)</i></p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>
Architecture - Justice	205	<p>Design Consultant specializing in Architecture - Justice including justice facilities.</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health &amp; Safety Regulation 2001 (NSW)</i></p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>

Category	Work Type Code	<p align="center"><b>Summary Description</b></p> <p align="center"><b>For detailed description refer: Section 3.4 Work Specific Requirements</b></p>
Architectural - Heritage	219	<p>Design Consultant specialising in Architecture - Heritage including heritage related work to office buildings, fitout and refurbishment, residences, industrial and commercial offices and non-specialist areas.</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines</i>, <i>Occupational Health and Safety Act 2000</i> (NSW), <i>Occupational Health &amp; Safety Regulation 2001</i> (NSW)</p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>
Architectural - General	201	<p>Design Consultant specialising in Architecture including office buildings, fitout and refurbishment, residences, industrial and commercial offices and non-specialist areas.</p> <p><b>Specialist areas:</b> Specifications</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines</i>, <i>Occupational Health and Safety Act 2000</i> (NSW), <i>Occupational Health &amp; Safety Regulation 2001</i> (NSW)</p> <p><b>Work Specific Requirements:</b> Refer Note 6</p>
Engineering - Principal Design Consultant	132	<p>Design Consultant specialising in Engineering including civil, structural design building, and structural design civil, hydraulic.</p> <p><b>Specialist areas:</b> Specifications</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current: NSW Government <i>OHS Management Systems Guidelines</i>, <i>Occupational Health and Safety Act 2000</i> (NSW), <i>Occupational Health &amp; Safety Regulation 2001</i> (NSW)</p> <p><b>Work Specific Requirements:</b> Refer Note 7</p>

Category	Work Type Code	<p align="center"><b>Summary Description</b></p> <p align="center"><b>For detailed description refer: Section 3.4 Work Specific Requirements</b></p>
Electronic Security	120	<p>Design, documentation, site inspection, training and commissioning of electronic security systems for Correctional Centres, Court Houses, Police Stations and Juvenile Justice Centres. Special Selection Criteria and Site Conditions apply.</p> <p><b>Specialist Areas:</b> Electronic Perimeter Security Systems, Closed Circuit Television (CCTV), Video Conferencing, Guard Tour System, Cell Call System – includes Pass Door Intercom, Access Control Systems, Intruder Alarm Systems, Duress Systems, Public Address System, MATV System, Radio System, Biometrics, X-Ray Screening System, Walk Through Metal Detectors, PABX System, Voice System (Telephones), Data System (Computers), Cabling, Conduits and Pits, Lightning Protection, Uninterrupted Power Supply (UPS), Graphical User Interface (GUI)</p> <p><b>Quality Management System:</b> current certification to AS/NZS ISO 9001 is required.</p> <p><b>Design Consultants:</b> are to be familiar with the current NSW Government <i>OHS Management Systems Guidelines*</i> <i>Occupational Health and Safety Act 2000 (NSW)*</i>, <i>Occupational Health &amp; Safety Regulation 2001 (NSW)*</i>.</p>
Quantity Surveying	301	<p>Cost planning and estimating for architectural facilities including cashflows, cost management, cost forecasting of contract documentation.</p> <p><b>Work Specific Requirements:</b> Refer Note 8</p>
Environmental Studies	307	<p>Assessment, analysis, evaluation and reporting of environmental issues or identified degradation, interference or conflicts, relevant to natural habitats, built environments or proposed developments including environmental impact assessment and major review of environmental factors including the formulation of appropriate action to be taken.</p> <p><b>Specialist areas:</b> Flora and Fauna, Contaminated Ground.</p>
QA Auditors	317	<p>Assessment of Contractors' or Consultants' quality system implementation.</p> <p><b>Work Specific Requirements:</b> Refer Note 9</p>
Safety Auditors (Site / Desktop)	334	<p><b>Site Safety Auditors</b> Conducting workplace safety audits of building, construction or refurbishment or civil projects. Completing detailed audit reports of the Project OHS Management Plan and Site-specific Safety Management Plan.</p> <p><b>Desktop Safety Auditors</b> Conduct desktop OHS audits of a firm's Safety Management System.</p> <p><b>Work Specific Requirements:</b> Refer Note 10</p>

Category	Work Type Code	<p align="center"><b>Summary Description</b></p> <p align="center"><b>For detailed description refer: Section 3.4 Work Specific Requirements</b></p>
Environmental Auditors (Site / Desktop)	385	<p><b>Site Environmental Auditors</b> Conducting workplace environmental audits of building, construction, refurbishment or civil projects. Completing detailed audit reports of the Project Environmental Management Plan.</p> <p><b>Desktop Environmental Auditors</b> Conduct desktop environmental audits of a firm's Environmental Management System.</p> <p><b>Work Specific Requirements:</b> Refer Note 11</p>
Dispute Managers	337	<p>Management of resolution of disputes arising from contracts between NSW government agencies and service providers under the NSW Government <i>Procurement System for Construction</i>.</p> <p><b>Work Specific Requirements.</b> Refer Notes 12</p>

\* Applicable to the latest current version / edition of the Guidelines

### 3.0 WORK SPECIFIC REQUIREMENTS

Consultants must possess qualifications, accreditation/certification, registration and experience as required for specific work types. The following requirement details are referred to from the Work Types and Categories listed above:

#### Note

1. **Project Director consultants** are to possess the following:

(1.1) Key Personnel Level – (for fee range **less than or equal to \$150,000**)

Recent demonstrated experience in coordinating consultants in key project planning activities such as:

- Value management studies
- Financial and Economic appraisals
- Specific planning and supporting studies eg heritage, traffic planning
- Project feasibility costing studies and options
- Environmental impact statement
- Communication and stakeholder consultation
- Change management planning
- Gateway Reviews
- Cross agency impact statement
- Risk management plan

(1.2) Key Personnel Level – (for fee range **greater than \$150,000**)

- 1) Capable of gaining certification to Level 5 of the Australian National Training Authority's National Competency Standards for Project Management (NCSPM) (First Approved Edition, 21 July 1996) eg certification as a Registered Project Manager under the Australian Institute of Project Management's Registered Project Manager Program or other similar certification/assessment process using NCSPM Level 5 or equivalent demonstrated experience.
- 2) Recent demonstrated experience in initiating and developing public sector capital works/infrastructure projects for the submission of the Business Case to the funding provider. This would include:
  - a) Working with the client agency and stakeholders to scope a capital works/ infrastructure project and preparing the Business Case in accordance with NSW Treasury (or other government agency) requirements, ensuring alignment of the project with:
    - Capital Investment Strategic Plan (CISP);
    - Strategic and Corporate plans including
      - Asset strategy
      - Asset Management Plans
      - Asset Maintenance Strategic Plan
      - Asset Disposal Strategic Plan
  - b) Identifying and directing all the activities required to complete this undertaking successfully. Such as:
    - Value management studies
    - Financial and Economic appraisals

- Specific planning and supporting studies eg heritage, traffic planning
  - Project feasibility costing studies and options
  - Environmental impact statement
  - Communication and stakeholder consultation
  - Change management planning
  - Gateway Reviews
  - Cross agency impact statement
  - Risk management plan
- c) Engaging and managing specialists consultants to undertake relevant activities including:
- Representing the client
  - Generating briefs
  - Preparing and keeping accurate records and correspondence
  - Assessing consultant payments
  - Preparing consultant performance reports
- d) Coordinating the outputs of specialist consultants and the client and stakeholder inputs to produce a complete submission to NSW Treasury (or other government agency) which includes:
- Business Case
  - Other requirements as nominated by the funding provider.

**2. Project Director Health consultants** are to possess the following:

(1.1) Key Personnel Level – (for fee range **less than or equal to \$500,000**)

Recent demonstrated experience in coordinating consultants in key project planning activities such as:

- Value management studies
- Financial and Economic appraisals
- Specific planning and supporting studies eg heritage, traffic planning
- Project feasibility costing studies and options
- Environmental impact statement
- Communication and stakeholder consultation
- Change management planning
- Gateway Reviews
- Cross agency impact statement
- Risk management plan

(1.2) Key Personnel Level – (for fee range **greater than \$500,000**)

- 1) Capable of gaining certification to Level 5 of the Australian National Training Authority's National Competency Standards for Project Management (NCSPM) (First Approved Edition, 21 July 1996) eg certification as a Registered Project Manager under the Australian Institute of Project Management's Registered Project Manager Program or other similar certification/assessment process using NCSPM Level 5 or equivalent demonstrated experience.
- 2) Recent demonstrated experience in initiating and developing public sector capital works/infrastructure projects for the submission of the Business Case to the funding provider. This would include:

- a) Working with the client agency and stakeholders to scope a capital works/ infrastructure project and preparing the Business Case in accordance with NSW Treasury (or other government agency) requirements, ensuring alignment of the project with:
  - Capital Investment Strategic Plan (CISP);
  - Strategic and Corporate plans including
    - Asset strategy
    - Asset Management Plans
    - Asset Maintenance Strategic Plan
    - Asset Disposal Strategic Plan
- b) Identifying and directing all the activities required to complete this undertaking successfully. Such as:
  - Value management studies
  - Financial and Economic appraisals
  - Specific planning and supporting studies eg heritage, traffic planning
  - Project feasibility costing studies and options
  - Environmental impact statement
  - Communication and stakeholder consultation
  - Change management planning
  - Gateway Reviews
  - Cross agency impact statement
  - Risk management plan
- c) Engaging and managing specialists consultants to undertake relevant activities including:
  - Representing the client
  - Generating briefs
  - Preparing and keeping accurate records and correspondence
  - Assessing consultant payments
  - Preparing consultant performance reports
- d) Coordinating the outputs of specialist consultants and the client and stakeholder inputs to produce a complete submission to NSW Treasury (or other government agency) which includes:
  - Business Case
  - Other requirements as nominated by the funding provider.

**3. Project Management consultants** are to possess the following:

Corporate Level

- a) In-house corporate Project Management System which addresses the 9 functions of Project Management including Integration, Scope Management, Time Management, Cost Management, Quality Management, Human Resources Management, Communications Management, Risk Management and Procurement Management.
- b) Comply with the requirements for Quality Systems: **Quality Management System** current certification to AS/NZS ISO 9001 is required.
- c) Comply with the OHS requirements for Design Consultants. **Design Consultants** are to be familiar with the current NSW Government *OHS Management Systems Guidelines, Occupational Health and Safety Act 2000 (NSW), Occupational Health & Safety Regulation 2001 (NSW)*. For further details refer to:

<http://www.nswprocurement.com.au/Procurement-System-for-Construction/Reference-material/Procurement-Guideline-Documents.aspx>

- d) Inhouse Corporate OHS Management System which enables project compliance with the current NSW Government *OHS Management Systems Guidelines*. The corporate OHS Management System is to be accredited with a NSW Government Construction Agency.
- e) Environmental Management System which enables project compliance with NSW Government *Environmental Management System Guidelines*. For further details refer to:  
<http://www.nswprocurement.com.au/Procurement-System-for-Construction/Reference-material/Procurement-Guideline-Documents.aspx>
- **Project Management of construction projects valued \$10M and over**  
 Inhouse corporate Environmental Management System which enables project compliance with NSW Government *Environmental Management System Guidelines*. The corporate Environmental Management System is to be accredited with a NSW Government Construction Agency.
  - **Project Management of construction projects valued under \$10M**  
 The provision of two or more examples of site specific Environmental Management Plans demonstrating compliance with NSW Government *Environmental Management System Guidelines*.
- f) Demonstrated ability to implement the NSW Government *Procurement System for Construction* or equivalent including Tendering System, Procedures and Processes, Commercial Contract Forms and Manuals, Prequalification Schemes, Performance Management Systems, Claims Resolution process.

#### Key Personnel Level

- g) Capable of gaining certification to Level 5 of the Australian National Training Authority's National Competency Standards for Project Management (NCSPM) (First Approved Edition, 21 July 1996) eg certification as a Registered Project Manager under the Australian Institute of Project Management's Registered Project Manager Program or other similar certification/assessment process using NCSPM Level 5 or equivalent demonstrated experience.
- h) Eligible for membership with the Australian Institute of Project Management.
- i) Training and demonstrated experience in relation based contracting including the C21 Construction Contract.
- j) Commitment to undertake training in the GC21 General Conditions of Contract.

Experience and ability to undertake the role of the Principal's representative.

#### **4. Economic Appraisal - Health** consultants including the firm and key personnel are to possess the following experience and knowledge:

- 1) conducting economic appraisal particularly in the healthcare sector
- 2) demonstrated ability to work within a structured services and capital planning framework within government or the private sector, preferably in a Health Infrastructure context.

- Refer to *Health Economic Appraisal Guidelines*;

*To obtain a copy, please contact: Elsie Choy, Health Infrastructure:*

[Elsie.Choy@hinfra.health.nsw.gov.au](mailto:Elsie.Choy@hinfra.health.nsw.gov.au)

- 3) preparing economic appraisal reports  
(1 sample report to be submitted with the application based on work completed within the last 3 years)
  - 4) sound understanding of government's requirement of economic appraisal in capital project evaluation
  - 5) developing and conducting research program to improve the measurement and valuation of health costs and benefits.
5. **Value Management** consultants including the firm and key personnel are to possess the following experience and knowledge:
- 1) conducting value management studies
  - 2) demonstrated ability to work within a structured services and planning framework within government or the private sector.
  - 3) preparing value management reports  
(1 sample report to be submitted with the application based on work completed within the last 3 years)
  - 4) sound understanding of government's requirement of value management in capital project evaluation
6. **Architects** are to possess the following:
- 1) architects must be registered with the Architects Registration Board of NSW
  - 2) architect firms or companies must have a Nominated Architect as required by the *Architects Act 2003* (NSW)
  - 3) architects engaged in a Project Management role must be accredited as per Project Managers (Refer to Work Specific requirement for Project Managers above)
  - 4) **Quality Management System:** current certification to AS/NZS ISO 9001 is required
  - 5) **Design Consultants:** are to be familiar with the current: NSW Government *OHS Management Systems Guidelines, Occupational Health and Safety Act 2000* (NSW), *Occupational Health & Safety Regulation 2001* (NSW)
7. **Engineers** are to possess the following:
- 1) engineers must be eligible for full membership with the Institute of Engineers Australia
  - 2) engineers engaged in a Project Management role must be accredited as per Project Managers (Refer to Work Specific requirement for Project Managers above).
  - 3) **Quality Management System:** current certification to AS/NZS ISO 9001 is required.
  - 4) **Design Consultants:** are to be familiar with the current: NSW Government *OHS Management Systems Guidelines, Occupational Health and Safety Act 2000* (NSW), *Occupational Health & Safety Regulation 2001* (NSW)
8. **Quantity Surveyors** are to possess the following :
- 1) qualifications suitable for eligibility for corporate membership of the Australian Institute of Quantity Surveyors (including continuing professional development).
9. **QA Auditors** are to possess the following:
- 1) registration as a Lead Assessor under the scheme administered by the Quality Society of Australasia under the Joint Accreditation System Australia and New

Zealand (JAS-ANZ)

- 2) the auditor is to have more than 12 months experience with appropriate knowledge of the design or construction process
- 3) to provide audit logs dated within three (3) years of the firm's application for prequalification to this category.

**10. Safety Auditors (Site/Desktop) are to:**

- 1) provide evidence of successful completion of a 5 day (40 hour) management system audit course
- 2) demonstrate ability to apply the scope and general content of "AS/NZS Australia/New Zealand 4804:2001, *Occupational Health and Safety Management Systems – General guidelines on principles, systems and supporting techniques*".
- 3) demonstrate ability to apply, or have a working knowledge of the content and requirements of, the NSW Government *OHS Management System Guidelines 4<sup>th</sup> Edition 2004*.
- 4) consist of:
  - a) Individuals or sole traders or private, registered companies; **or**
  - b) Individuals employed as full time staff of specialist organisations that are private, registered companies; **or**
  - c) Individuals employed as full time staff of specialist organisations that are public, registered companies; and;
- 5) complete separate applications. Note: Organisations seeking to prequalify multiple individuals are to submit a separate application for each individual.
- 6) **a) Site Safety Auditors** are to:
 

provide copies of three (3) comprehensive site safety audit reports and/or OHS Audit Logbooks dated within three (3) years of the application made by the individual for prequalification to this category.

**b) Desktop Safety Auditors:**

provide copies of three (3) comprehensive desktop safety audit reports dated within three (3) years of the firm's application made by the individual for prequalification to this category.
- 7) advise on the following CONFLICT OF INTEREST matter:
 

Site Safety Auditors who are offered an engagement will be asked, prior to the commencement of each engagement, to complete a brief Department form to declare the existence of any:

  - Conflict of interest or
  - Financial interest or
  - Ongoing engagements or pattern of engagements ; and
  - Involving themselves (and/or their current employer) and the company to be audited. Applicants are to advise whether they :
    - a) have any objection to this
    - b) the reason for the objection
- 8) **Site Safety auditors (only)** are to provide evidence of four (4) or more of the following areas of experience or qualifications

Key Personnel Level

- a) Minimum of 5 years of full time engagement on site(s) where building or construction work was being undertaken
- b) Employed on site during building or construction work for at least 3 years in a safety practitioner role whilst being a member of the full time staff of the then (or current) employing company
- c) Two or more years as a Workplace Safety Inspector for WorkCover (or

similar State Government agency). The activities of the Workplace Safety Inspector are to have been predominantly concerned with workplace health and safety matters regarding building or construction work

- d) Direct contribution to the development of documented, building industry safety strategies
- e) Three or more years experience conducting formal OHS and/or OHS Management System Audits on building or construction and/or mechanical construction projects including the preparation of OHS audit reports that have detailed descriptions of observations, supported by photographs
- f) Qualifications in Workplace Safety, or Safety Management or Occupational Health and Safety Management (*or similar*) following the completion of a recognised course of study
- g) Completion of an Industry trade or being fully conversant with building or construction industry trades and skills
- h) Certificate(s) of Competency to operate Plant or Equipment or undertake specific tasks (Eg Rigger, Scaffolder) issued by a recognised authority, ie WorkCover. Refer to [www.workcover.nsw.gov.au](http://www.workcover.nsw.gov.au)

**11. Environmental Auditors (Site/Desktop) are to:**

- 1) provide evidence of successful completion of a 5 day (40 hour) management system audit course
- 2) demonstrate ability to apply scope and general content of AS/NZS Australia/New Zealand 14001:2004, *Environmental Management Systems*
- 3) demonstrate ability to apply, or have, a working knowledge of the content and requirements of the NSW Government *Environmental Management System Guidelines 2<sup>nd</sup> Edition 2009*
- 4) consist of:
  - a) Individuals or sole traders or private, registered companies; **or**
  - b) Individuals employed as full time staff of specialist organisations that are private, registered companies; **or**
  - c) Individuals employed as full time staff of specialist organisations that are public, registered companies; and;
- 5) complete separate applications. Note: Organisations seeking to prequalify multiple individuals are to submit a separate application for each individual.
- 6) **a) Site Environmental Auditors** are to:
 

provide copies of three (3) comprehensive site environmental audit reports and or Environmental Audit Logbooks dated within three (3) years of application made by the individual for prequalification to this category.

**b) Desktop Environmental Auditors** are to:
 

provide copies of three (3) comprehensive desktop environmental audit reports dated within three (3) years of the application made by the individual for prequalification to this category.
- 7) advise on the following CONFLICT OF INTEREST matter:
 

Site Environmental Auditors who are offered an engagement will be asked, prior to the commencement of each engagement, to complete a brief Department form to declare the existence of any:

  - Conflict of interest or
  - Financial interest or
  - Ongoing engagements or pattern of engagements
  - Involving themselves (and/or their current employer) and the company to be audited. Applicants are to advise whether they :
    - a) have any objection to this
    - b) the reason for the objection

- 8) **Site Environmental auditors (only)** are to provide evidence of three (3) or more of the following areas of experience or qualifications:

Key Personnel Level

- a) Minimum of 5 years of engagement on site(s) where building or construction work was being undertaken.
- b) Employed on site during building or construction work for at least 3 years in an environmental practitioner role whilst being a member of the full time staff of the then (or current) employing company.
- c) Two or more years as an Environmental Inspector for a State Government agency. The activities of the Environmental Inspector to have been predominantly concerned with workplace environmental matters regarding building or construction work.
- d) Direct contribution to the development of documented, building industry environmental strategies.
- e) Three or more years experience conducting formal Environmental and/or Environmental Management System Audits on building or construction and/or mechanical construction projects including the preparation of Environmental audit reports that have detailed descriptions of observations.
- f) Qualifications in Environmental Management (*or similar*) following the completion of a recognised course of study.

## 12. Dispute Managers

Corporate Level

- 1) To consist of:
  - a) Individuals or sole traders or private, registered companies **or**
  - b) Individuals employed as full time staff of specialist organisations that are private, registered companies **or**
  - c) Individuals employed as full time staff of specialist organisations that are public, registered companies and
  - d) To complete separate applications for each individual to be prequalified.

Key Personnel Level

Each individual to be prequalified is to possess the following:

- 1) Tertiary qualifications in an engineering, architectural, building (including Quantity Surveying) or project management discipline
- 2) Qualifications in alternative dispute resolution
- 3) Demonstrated knowledge of the NSW Government Procurement Policy, the procurement framework and the NSW Government Procurement System for Construction
- 4) Working knowledge of contract law and familiarity with NSW Government Procurement System for Construction contracts
- 5) Extensive experience in contract management of building and infrastructure construction for NSW Government agencies
- 6) Extensive experience in resolution management of contractual claims, particularly through alternative dispute resolution processes
- 7) Demonstrated ability to prepare and document risk analysis of dispute issues, detailed written critical arguments for independent assessments and associated submissions
- 8) Demonstrated capability in working with NSW government procurement processes
- 9) Demonstrated capability in the management of consultants (lawyers, quantity

- surveyors, programmers, engineers, etc)
- 10) Knowledge of and ability to apply government probity standards and experience in the management of conflicts of interest, both actual and perceived
  - 11) Trained and experienced in relationship based contracting including the C21 and/or GC21 General Conditions of Contract

### **Supplementary Information: Dispute Managers**

The dispute resolution provisions of contracts used under the NSW Government Procurement System for Construction typically pursue Alternative Dispute Resolution as an alternative to Litigation. Protracted disputes arising in the course of a contract have the potential to distract the contract manager (eg Principal's Authorised Person) from its core contract management functions.

The Department historically fulfilled a dispute resolution role under NSW Government Agency contracts procured through the Department's procurement systems. With changes to the NSW Government's *Procurement Policy* for construction, this role has changed.

Except for contracts where the Minister for Finance and Services is nominated as Principal, or where resources are available and agencies choose to directly appoint the Department for dispute management service, dispute resolution management is now a contestable service.

Procurement Practice Guide *Contract Dispute Resolution* for the management of dispute resolution under the NSW Government *Procurement System for Construction* is available on the Internet at:

<http://www.nswprocurement.com.au/Procurement-System-for-Construction/Dispute-resolution.aspx>

Consistent with the Procurement Practice Guide, the Department is seeking to establish a panel of pre-qualified dispute management service providers. This is required in order to provide agencies with efficient access to quality dispute management professionals to manage the timely resolution of disputes and achieve the best results for agency projects. The objectives in establishing the panel include:

- Ready availability of specific industry professionals with extensive experience in areas of contract management and dispute resolution relating to construction contracts
- Astute resolution of disputes based upon documented consideration of evidence, liability and quantum
- Value for money in hourly rates and other fee structure proposals
- Satisfaction of probity requirements

Prequalified Dispute Managers may be engaged by agencies to provide dispute management services to achieve prompt resolution of disputes arising from construction contracts.

In accordance with NSW government competition policy guidelines, agencies may also choose to give NSW Public Works an opportunity to compete for dispute management services. In any such case, NSW Public Works will be added to a selected panel of prequalified dispute managers for competitive tendering.

Appointment of a Dispute Manager from the prequalified panel will be undertaken

## Note

through a selection process consistent with this “Consultant Prequalification Scheme 2008-2011”.

The Department may, by direct appointment, undertake dispute management for Agencies, but will not participate in competitive tendering with prequalified Dispute Managers.

In support of the NSW Government *Procurement System for Construction*, the Department will continue to provide a facilitation and monitoring role in respect of all disputes. As identified in the Procurement Practice Guide *Contract Dispute Resolution*, this role is distinct from a dispute management role.

The appointed consultant Dispute Manager will be required to deliver the services in conformance with the Procurement Practice Guide *Contract Dispute Resolution*. The services will be delivered in consultation with the Project Manager and under the direction of the Project Director assisted as and when appropriate by the Department.

The Dispute Manager will manage the dispute resolution process such that the resolution of disputes achieves the objectives of promptness, cost effectiveness and probity.

The work will typically include:

- Undertaking a detailed risk analysis of the dispute and preparation of a position paper to obtain the client agency’s approval (through the Project Director) for resolution actions
- Managing and, where appropriate, participating in the selected dispute resolution activities

A Dispute Manager may be engaged for a single dispute or multiple disputes arising from a contract or for the life of a contract/project.

The Dispute Manager’s role is distinct from the Expert who may be appointed to determine a dispute under the NSW Government *Procurement System for Construction* contracts.

The consultant Dispute Manager, prior to commencement of any particular dispute management engagement, must consider and declare any interests in, or linkages to, the project and/or contributors to the project elements.

## **4.0 FINANCIAL RANGES**

Applicants are to identify the financial ranges for which they are seeking prequalification based their demonstrated recent experience and capabilities. These values correspond to the size of individual contracts for which an applicant is seeking opportunities to tender from NSW government agencies. NSW government agencies may access firms prequalified under the following contract value financial ranges:

- \$30,000 and below
- between \$30,000 and \$150,000
- \$150,000 and above

## 5.0 PREQUALIFICATION ELEGIBILITY CHECKLIST

The Prequalification Eligibility Checklist (Table 1) should be completed by a firm before submitting an application for prequalification. The checklist provides an indication as to whether the firm may be eligible for consideration for prequalification. A positive outcome does not guarantee that the firm will be successful in its application for prequalification. A negative outcome in any criterion will provide an indication as to areas where a firm will be unable to meet prequalification requirements. Where the firm is not eligible for Prequalification, the firm may then implement actions to address eligibility before applying for prequalification.

Note that the Department may consider further additional information where relevant to minimise risk to NSW government and its clients. For example, the Department may consider additional information on financial capability based on contemporary, prudent, financial assessment advice including the consideration of current economic conditions and related risk.

**Table 1: Prequalification Eligibility Checklist**

	<b>Eligibility Criteria</b>	<b>Compliant: (Yes or No)</b>
1.	<p><b>Legal Entity</b> The firm constitutes an acceptable business entity to the Department including:</p> <ul style="list-style-type: none"> <li>• The firm must not be a Business name, Trust or an entity under External Administration.</li> <li>• The firm must be able to provide evidence of their legal entity: ie ASIC company registration papers or Statement signed by a practicing solicitor.</li> <li>• Note that the Prequalification sought would not extend to related, associated or subsidiary business entities owned or controlled by the contractor or joint ventures to which the contractor is a party. (Such business entities and joint ventures must apply for prequalification in their own right.)</li> <li>• Note that related, associated or subsidiary business entities will not be considered for prequalification for the same category of work and financial range unless the business relationships between the applicant entities and any already prequalified entity or entities satisfy the NSW Government Code of Practice for Procurement – Standards of Behaviour.</li> <li>• Note that a joint venture will not be considered for prequalification for the same category of work and financial range as any of the parties to the joint venture.</li> <li>• Ability to demonstrate that the firm has traded successfully for two (2) years prior to the date of the application.</li> </ul>	
2.	<p><b>Nominated Personnel</b> Applicants seeking prequalification in the following work categories are to advise of a nominated staff member(s) who meet the necessary professional requirements:</p> <ul style="list-style-type: none"> <li>• Nominated Architect as required by Architects Act 2003 where the firm is seeking prequalification for any Architectural Work Category</li> <li>• Name of Consultant(s) for work types <ul style="list-style-type: none"> <li>○ Quality Auditor (Cat 317)</li> <li>○ Safety Auditor (Cat 334)</li> <li>○ Environmental Auditor (Cat 385)</li> <li>○ Dispute Managers (Cat 337)</li> </ul> </li> </ul>	

	<b>Eligibility Criteria</b>	<b>Compliant: (Yes or No)</b>
3.	<b>Code of Practice for Procurement</b> The applicant agrees to comply with the requirements of the NSW Government Code of Practice for Procurement.	
4.	<b>Child Protection (Prohibited Employment) Act</b> The applicant agrees to the conduct of checks under the Child Protection (Prohibited Employment) Act 1998 (NSW) should this be required.	
5.	<b>Financial Capacity</b> The applicant agrees to provide recent financial statements should this be requested by the Department.	
6.	<b>Professional Indemnity Insurance</b> Applicants are to be insured for Professional Indemnity. The policy is for the minimum amount of \$1M or 10 times the Consultant Fee (taken to be 10% of the Contract Price or Contract Sum for a construction contract), whichever is greater.	
7.	<b>Public Liability Insurance</b> Applicants are to be insured for Public Liability and the insurance of employees. The Public Liability Insurance is to be in the joint names of the consultant and the Principal, and for an amount not less than \$5,000,000. Generally, an annual policy held by the consultant, which provides appropriate cover suitable for the engagement and which covers the Principal in general terms (not necessarily naming the Principal), is satisfactory.	
8.	<b>OHS Management System</b> Project Managers and Architects applying for prequalification under the Project Management Category are required to be either accredited with the Office of the Federal Safety Commissioner <b>or</b> have a current corporate OHS management system accredited by a NSW government construction agency as conforming to the NSW Government Occupational Health and Safety Management System Guidelines. (Note that certification to AS4801 is not acceptable for this application.)  Required for: <ul style="list-style-type: none"> <li>• Project Management (Cat 313)</li> <li>• Architects: only when engaged in a project management role (Cat 200 – 205)</li> </ul>	
9.	<b>Quality Management System</b> Where indicated in the Work Specific Requirements (refer to Section 3.4), applicants seeking prequalification on panels involving design work, or management or coordination of design work for engagements valued greater than \$50,000 are required to have a quality management system currently certified as conforming to AS/NZS ISO 9001.  Required for: <ul style="list-style-type: none"> <li>• Project Management (Cat 313)</li> <li>• Architecture (Cat 200 – 205)</li> <li>• Engineering Principal Design Consultant (Cat 132)</li> <li>• Electronic Security (Cat 120)</li> </ul>	
10.	<b>Environmental Management Systems</b> Applicants seeking prequalification on panels involving Project Managers, together with Architects applying for prequalification under the Project Management category are required to have their corporate Environmental Management System which enables project compliance with NSW Government Environmental Management Systems Guidelines.  Project Management of construction projects valued \$10M and over <ul style="list-style-type: none"> <li>• In-house corporate Environmental Management System which enables</li> </ul>	

	<b>Eligibility Criteria</b>	<b>Compliant: (Yes or No)</b>
	<p>project compliance with NSW Government Environmental Management System Guidelines. The Corporate Environmental Management System is to be accredited with the Department of Finance &amp; Services or a relevant NSW government construction agency.</p> <p>Project Management of construction projects valued under \$10M</p> <ul style="list-style-type: none"> <li>• The provision of two or more examples of site specific Environmental Management Plans demonstrating compliance with NSW Government Environmental Management System Guidelines.</li> </ul> <p>Required for:</p> <ul style="list-style-type: none"> <li>• Project Management (Cat 313)</li> <li>• Architects: only when engaged in a project management role (Cat 200 – 205).</li> </ul>	
11.	<p><b>Work Specific Requirements</b> The firm must be able to demonstrate meeting the Work Specific Experience defined for the Work Categories for which prequalification is sought.</p>	
12.	<p><b>Individual Prequalification of Personnel</b> Applicants seeking prequalification in the following work categories are to provide a separate application for each individual staff member nominated as capable of meeting the work specific requirements:</p> <ul style="list-style-type: none"> <li>• Value Management Facilitators</li> <li>• QA Auditors</li> <li>• Safety Auditors</li> <li>• Environmental Auditors</li> <li>• Dispute Managers</li> </ul>	
13.	<p><b>Experience</b> The firm must be able to provide a list of projects currently in progress, or completed within the previous two (2) years.</p>	
14.	<p><b>Performance</b> The firm must be able to provide Performance Reports demonstrating satisfactory or better performance, on contracts the firm has <b>completed</b> within the last three (3) years in the same work type and financial range for which the firm is seeking prequalification. These may be Client Referee Reports (based in the Department's standardised template – Refer Application Form) or a Performance Reports from the Client (which rates several key performance criteria) eg Consultant Performance Report, Project Manager Performance Report or Project Director Performance Report. The number of reports required are indicated as follows:</p> <ul style="list-style-type: none"> <li>• Where prequalification is sought in only one Financial Range then at least 3 Reports will be required</li> <li>• Where prequalification is sought in more than one Financial range then at least 4 Reports will be required of which 2 reports will be required from each of the highest financial ranges</li> </ul> <p>(Refer to table and example provided in the FAQs section at the end of this document for additional guidance)</p>	
15.	<p><b>Applicant Statement</b> Applicants must be willing to become a signatory to a statement regarding the truthfulness and accuracy of the information provided in the firm's application and the firm's agreement to comply with NSW government requirements. (Refer to Application Form).</p>	

## 6.0 THE APPLICATION PROCESS

The actions required by a firm seeking Prequalification are provided in Table 2: The Application Process, to assist the firm in progressing its application. The response by the Department is also indicated to enable the firm to understand the issues to be addressed.

**Table 2: The Application Process**

	Action by the firm	Response by the Department
1.	<p>The firm confirms its eligibility to be considered for Prequalification by completing the <b>Prequalification Eligibility Checklist</b> (Refer Table 1).</p> <p>Where not eligible, the firm takes the necessary actions required to become eligible.</p> <p>The firm submits an Application for Prequalification to the Department.</p>	<p><b>The Department</b> may request additional information provided that the quality of the firm's initial application indicates significant potential for meeting the requirements.</p>
2.	<p>The firm submits a response to the Department's request for additional information including taking action to meet prequalification requirements (where applicable).</p>	<p><b>The Department</b> assesses the response to any requests for additional information.</p> <p><b>The Department</b> determines whether the firm has met requirements.</p> <p><b>The Department</b> will advise the firm in writing as to the outcome of its application, including whether the firm has either:</p> <ul style="list-style-type: none"> <li>• <b>achieved</b> Prequalification.</li> <li>• <b>not yet achieved</b> Prequalification (reasons will also be provided and actions suggested for any future application by the firm).</li> </ul>

## 6.0 FREQUENTLY ASKED QUESTIONS

- (1) **My firm is prequalified under the previous Scheme. Do we have to complete a whole new application for this new Scheme?**

This will not be required. Most firms will have their Prequalification automatically rolled over onto the new Scheme provided they are able to meet the new Scheme requirements. Firms will be requested to provide an update of some information and will be contacted to advise of the information required.

- (2) **My firm only undertakes work in a specific field eg building condition assessment, town planning, fire consultants, electrical design, structural engineering, mechanical design, building energy performance etc. How can I become prequalified?**

The Scheme covers only the key categories of work sought by NSW government agencies under the NSW Government Procurement System for Construction. The Scheme is not intended to provide general coverage over all construction related consultancy needs, particularly when those needs are infrequently sought.

- (3) **What type of OHS Management System do I need for prequalification?**

Project Managers and Architects applying for prequalification under the Project Management Category are required to be either accredited with the Office of the Federal Safety Commissioner or have a current corporate OHS management system accredited by a NSW government construction agency as conforming to the NSW Government Occupational Health and Safety Management System Guidelines.

- (4) **Do I need a Quality Management System to become prequalified?**

Project Managers, Architects, Engineering Principal Design Consultants and Electronic Security Consultants seeking prequalification on panels involving design work, or management or coordination of design work for engagements valued greater than \$50,000 are required to have a quality management system currently certified as conforming to AS/NZS ISO 9001.

- (5) **Do I need an Environmental Management System?**

Project Managers and Architects engaged in a Project Management role are required to have a corporate Environmental Management System which enables project compliance with NSW Government Environmental Management Systems Guidelines.

Project Management of construction projects valued \$10M and over are to have an in-house corporate Environmental Management System which enables project compliance with NSW Government Environmental Management System Guidelines. The Corporate Environmental Management System is to be accredited with the Department of Finance & Services or a relevant NSW government construction agency.

Project Management of construction projects valued under \$10M are to be able to provide two or more examples of site specific Environmental Management Plans demonstrating compliance with NSW Government Environmental Management System Guidelines.

**(6) Is certification of my OHS or EMS system satisfactory for accreditation?**

The firm will need to meet specific accreditation requirements as outlined in FAQ 3 and 5 respectively. Note that other certifications such as ISO or Australian Standards will not provide the coverage sought and will not be recognised as meeting the requirements for prequalification

**(7) What type and how many referee reports do I need?**

Two (2) per category of work for each financial range for which the firm seeks to submit an application. The referee reports must be for projects completed within the last three (3) years. The reports must be based on the standardised templates included in the application form and is to include the client's letterhead and must be signed. The table below specifies further detail.

The firm is to provide a set number of reports which will be based on work categories and fee ranges for which prequalification is sought. For prequalification sought in any one specific work category:

- Where prequalification is sought in only one fee range then at least 3 Reports will be required
- Where prequalification is sought in more than one fee range then at least 4 Reports will be required of which 2 reports will be required from each of the highest fee ranges

Fee Ranges sought for Prequal	Fin Range	Value of Fee Ranges	NUMBER OF REPORTS required for each work category based on the Fee Ranges sought for prequalification
A	A	=< \$30K	3
AB	A	=< \$30K	2
	B	> \$30K =< \$150K	2
ABC	A	=< \$30K	n/a
	B	> \$30K =< \$150K	2
	C	> \$150K	2
BC	B	> \$30K =< \$150K	2
	C	> \$150K	2
C	C	> \$150K	3

**EXAMPLE 1**

*A consultant is seeking prequalification in the following areas:*

- *Architectural-Education Tertiary in Fee Range C*

*The number of external Performance Reports that will be required includes:*

- 3 reports for Architectural-Education Tertiary projects:  
*3 reports for projects within Fee Range C*

*(Total of 3 reports)*

### **EXAMPLE 2**

*A consultant is seeking prequalification in the following areas:*

- *Project Director in Fee Range BC*
- *Project Management in Fee Range BC.*
- *Value Management Facilitator in Fee Range A*

*The number of external Performance Reports that will be required includes:*

- *4 reports for Project Director projects:  
2 reports for projects within Fee Range B and  
2 reports for projects within Fee Range C*
- *4 reports for Project Management projects:  
2 reports for projects within Fee Range B and  
2 reports for projects within Fee Range C*
- *3 reports for Value Management Facilitator:  
3 reports for projects within Fee Range A*

*(Total of 11 reports)*

- (8) Can I use referee reports for partially completed jobs in my application?**  
Only referee reports for completed works are acceptable
- (9) Can I use referee reports for work that was completed when I was working in or managing another firm?**  
Only referee reports for the current business are acceptable
- (10) Once I am prequalified – am I guaranteed work?**  
The firm is eligible to be considered for government work as it arises, based on agency needs. There is no guarantee of work.
- (11) Is the Department the Client on work that is offered?**  
The Client is usually another NSW government agency rather than the Department. The Department only rarely initiates construction consultancy work for its own limited needs. The Department does have a role to operate the Scheme to support the project delivery needs of NSW government agencies.
- (12) To what value of work can I become prequalified?**  
To begin with, a firm may consider seeking prequalification to a level that is reflected by the value of its largest contracts completed within the last 3 years. The firm will need to substantiate this with Performance Reports from a government agency (eg Consultant Performance Reports, Project Manager Performance Reports, Project Director Performance Reports), or with Client Referee Reports based on the Department's standardised template. There are requirements described in the GUIDELINES FOR APPLICANTS and SCHEME CONDITIONS including the need for a number of management systems.
- (13) What do I need to do to remain prequalified?**  
The firm will need to continue to meet the requirements of the Scheme on an ongoing basis including retaining certifications and accreditations of Management Systems as well as meeting performance score benchmarks on Performance Reports. The firm will need to monitor continually its ability to

remain prequalified and contact the Department should any significant aspect of its capability change.

- (14) **How can our firm become eligible for larger valued works?**  
Firms that are currently prequalified must demonstrate relevant recent experience in work to the value sought. The firm is to submit an application for an increase to the specific work type of interest. The firm will also need to provide Performance Reports from a government agency or provide Client Referee reports for contracts completed within the last three (3) years at or above the value of the prequalification sought for each work type for the upgrade. Client Referee Reports from private sector clients are acceptable.

**END OF DOCUMENT**