

**Procedure Manual**

**Prequalification of Noise Barrier Construction  
Companies**

**May 2017**

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## 1 Introduction

### 1.1 Overview

This procedure manual describes the process by the Queensland Department of Transport and Main Roads (herein referred to as 'the department') Prequalification of Noise Barrier Construction Companies (herein referred to as 'the Manual') in line with the manual's defined criteria. The purpose of prequalification is to ensure that companies have the technical and managerial capacity to efficiently deliver the construction of noise barriers, to minimise risks and promote best practice. The manual helps to ensure that robust, consistent, transparent and objective processes are used to determine the suitability of organisations which seek to undertake such work for the department.

Organisations permitted to undertake these assessments for the department (herein denoted 'Prequalified Company' or 'companies') are included on the register of Prequalified Noise Barrier Construction Companies (herein denoted 'the Register'). The Register accessible via the departmental website [www.tmr.qld.gov.au](http://www.tmr.qld.gov.au).

The registration of companies described in this procedure are developed by the Geospatial, Design and Capability Directorate (GDC) of Engineering and Technology Branch of the department.

The Manual defines the system for prequalification of noise barrier construction companies which has been prepared in accordance with the framework for establishing and maintaining registers of Registered Specialist Suppliers in Volume 3, Part B (Volume 3: Prequalification System) of the department's *Transport Infrastructure Project Delivery System* (TIPDS).

### 1.2 Scope

This system applies to contracts that include supply and construction of noise barriers. For this system, a company must be prequalified **before tendering on**, or becoming part of a tender for departmental contracts. It is intended that only those companies listed on the **Register of Prequalified Noise Barrier Construction Companies** be engaged on departmental projects, irrespective of the scale of the project. Assessment of tenders for departmental projects will not be held pending completion of applications for companies wishing to be prequalified.

The department is not precluded from adopting alternative forms of tendering (for example, open tenders or expression of interest) for specific contracts where prequalification may not be relevant or suitable.

For projects containing noise barrier construction, the following typically apply:

- a) A project containing greater than 55% of construction of noise barrier (supplying and construction, based on value) would be subject to open completion by prequalified noise barrier construction companies, with any non-noise barrier construction work being subcontracted to prequalified companies at the appropriate prequalification level.
- b) A project containing less than 45% of construction of noise barrier (supply and construction, based on value) would be subject to open completion by prequalified companies at the appropriate prequalification level, with any noise barrier construction work being subcontracted to prequalified noise barrier construction companies.

- c) For a project containing between 45% and 55% of noise barrier construction (supply and construction, based on value) the Principal's Representative will use their discretion in making the final decision in calling tenders from prequalified companies or prequalified noise barrier construction companies.

### **1.3 Management of prequalification**

The Deputy Chief Engineer (GDC) is responsible for management of the approval process and the Register. This includes removal of companies from the Register. The Director (Road Design) is a Delegated Authority of the Deputy Chief Engineer (GDC), and has the final authority to approve or withhold approval of any company applying, upgrading or renewing prequalification. All enquiries should be directed to:

Manager (Noise and Vibration)  
Geospatial, Design and Capability Directorate  
Engineering and Technology Branch  
Department of Transport and Main Roads  
GPO Box 1412  
Brisbane City QLD 4001

## **2 Prequalification requirements**

### **2.1 Requirements for companies**

Companies are required to demonstrate that they have in place and maintain:

- Staff members with appropriate delegation at all levels of the organisation to competently undertake the required work and make changes to processes / practices as necessary (that is, managers, supervisors and workers).
- Appropriately skilled and qualified staff in these positions.
- Equipment that is capable of performing the work in a safe and efficient manner.
- The capability to successfully undertake the noise barrier constructions to the specification(s) and standards and within any specific limitations specified by Transport and Main Roads in the terms and conditions of prequalification.
- A Management System to control the noise barrier constructions.
- Financial capacity to manage cash flow requirements of noise barrier constructions.
- Suitable third party certification or independently audited quality, occupational health and safety and environmental management systems to control, document and ensure traceability of noise barrier construction and / or delivery.
- A suitable inspection and test plan (which includes references to Transport and Main Roads' Technical Specifications) for the construction of noise barriers.
- Adequate records of testing data from actual products produced.
- A system to identify and isolate non-conforming products, and
- A system to identify, isolate and correct non-conforming processes.

Appendix A provides criteria for the documentation required to be submitted in the application for registration.

## **2.2 Specification and standards**

The manual shall be read in conjunction with the following documents when applicable:

- Transport and Main Roads Technical Specifications and Standard Drawings, in particular:
  - MRTS02 – *Provision for Traffic*
  - MRTS03 – *Drainage, Retaining Structures and Protective Treatments*
  - MRTS04 – *General Earthworks*
  - MRTS14 – *Road Furniture*
  - MRTS15 – *Noise Fences*
  - MRTS16 – *Landscape and Revegetation Works*
  - MRTS50 – *Specific Quality Systems Requirements*
  - MRTS83 – *Anti-Graffiti Protection*
  - MRTS88 – *Painting New Work*, and
  - Standard Drawings – Noise Fences.
- Australian Standards, and
- Third-Party registration rules.

Companies shall demonstrate compliance with requirements of these documents at all times.

## **2.3 Supply chain**

While a company may be undertaking its business in a professional manner, external influences can adversely affect its performance. It is the responsibility of a company to ensure that all companies in the supply chain (irrespective of whether the company is engaged directly by the department or by a head contractor) are providing goods to meet the performance requirements of the relevant current departmental Technical Specifications and Australian Standards; including the Australia and New Zealand quality, occupational health and safety and environmental management systems.

## **3 Prequalification levels**

The successful applicant may be registered as a Level NBC-P or Level NBC-1 or Level NBC-2 listed in Table 3. They relate to noise barrier construction works that could reasonably be satisfactorily completed by a noise barrier construction contractor with the relevant experience and background. If a company which has not previously undertaken departmental works applies and passes the assessment requirements, initial registration will be Level NBC-P. During the Provisional Level (NBC-P) period, companies must demonstrate their capability to effectively manage the construction process and produce consistently conforming products. Prequalification level of NBC-1 may also be applied to companies demoted from prequalification level of NBC-2 which is for existing and large volume companies. Companies seeking Prequalification level of NBC-2 must have third party certification of the management systems accredited by JAS-ANZ to the relevant standards.

**Table 3 – Transport and Main Roads Noise Barrier Construction Prequalification levels**

Prequalification Level	Applicable to	Type of Approval	Prequalification valid for
NBC-P  (Not listed on the publically available list due to entry conditions)	New companies without noise barrier construction experience	<ul style="list-style-type: none"> <li>For companies which have not previously undertaken noise barrier construction work on departmental projects and undertake work to prove their competency.</li> <li>Companies which have been listed a “conditionally approved” for any reason (for example, mediocre performance or undertaking work on one off project basis)</li> </ul>	Six to twelve months
NBC-1	New and low volume companies; and companies demoted from NBC-2	A company may remain at NBC-1 due to low volume of work (non-complex works where the construction is simple and straight forward) or process and system not mature enough to grant NBC-2 status.	Twelve months to three years
NBC-2	Existing and large volume companies	An experienced company has proven long-term performance of complex works meeting the department’s specifications and contract requirements.	Up to three years

A company will remain at prequalification level NBC-1 for a maximum of twelve months after which an additional assessment may be performed. A company may remain at prequalification level NBC-1 for an extended period due to low volume of work, or because its processes and system are not mature enough to grant prequalification level NBC-2 status. Where a company remains at prequalification level NBC-1 for an extended period, assessments would generally be required at twelve monthly intervals, if the company were constructing noise barriers for use in departmental projects during this period.

The listing of Approved Prequalified Companies on the Register at NBC-2 will generally remain for a term of up to three years, after which the company will be advised of the requirement to apply for renewal of their prequalification.

Shorter terms for listing of companies may be nominated by the Deputy Chief Engineer (GDC) in the following circumstances:

- companies who have not previously undertaken works on departmental projects, and
- companies who have been listed as "conditionally approved" for any reason (for example, mediocre performance).

#### **4 Removal and downgrading**

If the performance of a company is unsatisfactory, the company may be removed from the Registration List, or asked to undertake mandatory improvements followed by a reassessment.



That is:

- If level NBC-P companies' performance is unsatisfactory the company may have Provisional Level prequalification withdrawn or asked to undertake improvements and be reassessed.
- If level NBC-1 companies' performance is unsatisfactory, the company may be removed from the Registration List, or asked to undertake mandatory improvements followed by a reassessment.
- If level NBC-2 companies' performance is unsatisfactory, the company may be removed from the Registration List, downgraded to Level 1, or be asked to undertake mandatory improvements followed by a reassessment.

Reasons for removal from the Register include:

- Failure to behave in a relational way.
- Not putting the success of the project as the first priority.
- Delivery of a service in the knowledge that it does not comply with the Project Brief, Code of Practice, Manuals, Technical Specifications, Standard Drawings and procedures.
- Unsatisfactory performance.
- Failure to respond satisfactorily to a performance report within a reasonable time.
- Change in permanent office personnel not assessed as equivalent to original application and a failure to notify and have change in status approved.
- Failure to maintain functioning management systems in accordance with the latest edition of ISO or AS/NZS Quality Management Systems, Environmental Management System and Occupational Health and Safety Management System.
- Repeated, significant product non-conformances.
- Bankruptcy, insolvency, or significant unfavourable change in financial status.
- Failure to make adequate management response to improve systems when required or specifically requested by the Deputy Chief Engineer (GDC), or the Delegated Authority.
- Failure to address environmental and workplace, health and safety issues, and
- Fraudulent operation of systems, including:
  - falsifying test results
  - failing to inform the department, or its representative, of non-conforming product tests, and
  - delivery of a product in the knowledge that it does not comply with the Technical Specifications and / or drawings.

The Company shall be notified of their removal from the Register in writing by the Deputy Chief Engineer (GDC) together with the reasons for the decision.

## **5 Appeals**

Applicants not satisfied with the decision made by the department to reject their application, or accept their application subject to certain conditions or restrictions may appeal the decision to the Deputy Chief Engineer (GDC), a Delegated Authority of the Chief Engineer (Engineering and Technology).

Companies not satisfied with a decision to remove them from the Register or to make their continued registration subject to certain conditions or restrictions, may appeal in the same manner as described above.

Appeals must be:

- in writing
- received within twenty eight days of the date the company is notified of a decision
- be accompanied by arguments supporting the appeal, and
- be accompanied by information to support the appeal.

All appeals will be considered in an expeditious manner and the Appellant will be informed in writing of any decision within twenty eight days of receipt of the appeal.

The Notice of Appeal should be addressed to:

Deputy Chief Engineer (Geospatial, Design and Capability)  
Engineering and Technology Branch  
Department of Transport and Main Roads  
GPO Box 1412  
Brisbane Qld 4001

## **6 Prequalification process**

### **6.1 Application**

To become a prequalified noise barrier construction company (including renewal or upgrading), an application form with supporting information that addresses all specified criteria must be submitted. The application form can be obtained from the Manager (Noise and Vibration) or can be downloaded from the departmental website [www.tmr.qld.gov.au](http://www.tmr.qld.gov.au) via Technical Publications > Approved Products and Suppliers > Traffic Engineering, Traffic Management and Road Safety, or via <http://www.tmr.qld.gov.au/business-industry/Business-with-us/Approved-products-and-suppliers/Traffic-engineering-and-road-safety-approved-products>

An application for registration may lodged in writing, or electronically to the Manager (Noise and Vibration) via:

Manager (Noise and Vibration)  
Geospatial, Design and Capability Directorate  
Engineering and Technology Branch  
Department of Transport and Main Roads  
GPO Box 1412  
Brisbane City QLD 4001

### **6.2 Assessment for prequalification**

Companies seeking prequalification will be assessed, on receipt of:

- a new application for prequalification, or
- an application for renewal or upgrade of prequalification.

Assessment will generally comprise both a technical and a system review against the nominated guidelines. Companies applying for prequalification must successfully meet the requirements of assessment if they are to be considered for prequalification.

Assessment of application will be based on the following:

- a) information contained in the completed application and attached supporting documentation
- b) referee reports
- c) information and / or evidence held by the department regarding the company's previous performance, and
- d) information obtained as part of a site assessment.

Transport and Main Roads may consider any information in the assessment as it deems necessary.

The outcomes of the technical and system reviews are reviewed by the Deputy Chief Engineer (GDC) or delegate who then allocates the approval levels as appropriate. Companies will be notified of the results of the assessment within six weeks of their application (providing all relevant information was included), unless significant issues arise during consideration of the application which require further information to be submitted.

A prequalified company must apply for a renewal of its prequalification before the expiry by completing and submitting a new Application Form.

A prequalified company may apply for an upgrade of its prequalification at any time by completing and submitting a new application. However, the request for an upgrade must be accompanied with sufficient details supporting its performance and capability since the last prequalification application was assessed.

### **6.2.1 Technical review**

The technical review includes:

- review of experience in construction of noise barrier with integrated design
- review of the personnel and resources
- review of the Company's noise barrier supply and construction processes and procedures, and use of materials meeting the department's specifications and contract requirements, and
- review of ability to liaise with project stakeholders and all other relevant disciplines.

### **6.2.2 System review**

A system review will be undertaken upon receipt of an application by a new company.

The system review includes:

- Review of the company's management systems in areas of quality, occupational health and safety and the environment by either:
  - reviewing written confirmation from an independent auditor that the quality, environment and occupational health and safety management systems are based on the relevant International Standard Organisations (ISO) standards and have been implemented within the organisation, or

- reviewing third party certification of the company's quality, environment and occupational health and safety management systems undertaken by a conformity assessment body accredited by the Joint Accreditation System for Australia and New Zealand (JAS-ANZ) to the relevant standards.
- Review of the company's work site traffic management procedures.
- Verifying information of new and existing companies applying for prequalification such as:
  - details of insurance policies (for example, work compensation, public liability)
  - company information (business check, ABN, and so on)
  - financial capacity, and
  - previous experience (for example, experience of personnel, qualifications, and so on), and
- Measuring the company's management systems against the latest editions of either:
  - ISO 9001 – *Quality Management Systems*, ISO 14001 – *Environmental Management Systems* and ISO 4801 – *Occupational Health and Safety Management Systems*, or
  - AS/NZS 9001 – *Quality Management Systems*, AS/NZS 14001 – *Environmental Management Systems* and AS/NZS 4801 – *Occupational Health and Safety Management Systems*.

### **6.2.3 Approval**

The Deputy Chief Engineer (GDC) is responsible for the prequalification. After both the Technical and System reviews are evaluated, an appropriate prequalification level is assigned by the Delegated Authority, Director (Road Design), for any company wishing to undertake noise barrier construction in departmental projects. Any such approval is subject to the outcomes of an assessment and is required for all noise barrier construction irrespective of whether they are (or are not) prequalified. Where registration has been granted, the level of prequalification for noise barrier construction will be advised.

The Manager (Noise and Vibration) is responsible for administering and maintaining (including technical and system assessments) their part of the prequalification list.

## **7 Terms and conditions**

Companies are required to comply with the following terms and conditions and associated procedures described in Appendix A – Criteria for Applicants of this Manual.

- The company must ensure that all particulars in the Application are true and correct in every detail.
- The company has obligation to advise the department of any pertinent changes that may adversely affect the performance of the company or changes to any management details that may be material to their registration status.
- Prequalification is not to be construed as a guarantee of work. Prequalification only determines a company's eligibility to tender, or be involved in tenders for noise barrier construction.
- The company must comply with all relevant local, state and federal legislation and requirements, including the Queensland Procurement Policy.

- Information on the Register pertaining to the approval status and performance of the Company may be made available to other parties with an interest in noise barrier construction including:
  - The Principal
  - The Superintendent
  - Principal Contractors (including those tendering for departmental projects)
  - Other Government Agencies
  - Local Governments, and
  - Transport and Main Roads officers.
- Lists of Prequalified Companies are made publicly available by the department on its website. Details may include:
  - name and address
  - prequalification level, and
  - date of expiry.
- The company must get written consent from the department to use any information relating to its prequalification level or contract performance in its advertising or promotional material or to publish such information in any form.

## **Appendix A - Criteria for applicants**

### **A-1 Introduction**

Organisations applying for prequalification are required to provide evidence of their experience, expertise, qualifications and capability for constructing noise barriers which addresses the various criteria defined below. This includes management of their own functions in cooperation with other organisations engaged on the same projects.

### **A-2 Expertise**

#### **A-2.1 General requirements**

Companies must have appropriately qualified and experienced staff and resources for the construction of noise barriers to the specified specifications and standards. The criteria for the various levels of staff are defined below. These criteria are generally minimum requirements. Of prime importance is the combined experience of the applicant's team of managerial and operational staff. Individual members of the applicant's staff who do not have the nominated minimum experience on activities and / or works of the relevant type, scale or complexity may be accepted provided that:

- the total experience of the overall management team satisfies the intent of the various requirements
- critical requirements (e.g. those for workers) are satisfied, and
- the applicant has adequate measures in place, including training and supervision, to compensate for any shortcomings with respect to these criteria on the part of any members of its staff.

#### **A-2.2 Applicant organisation's experience**

The applicant organisation must be able to demonstrate sound experience over the past ten years on construction of noise barriers and / or specific road structures on a similar scale and complexity to those for which listing on the Register of Prequalified Noise Barrier Construction Companies is currently being sought. Applicant organisations that do not satisfy this requirement must have managerial and operational staff that will satisfy all of the requirements defined below.

#### **A-2.3 Managerial staff**

Company level managerial staff of the applicant should have:

- at least 10 years' experience on projects of the type which is the subject of the application
- extensive knowledge of relevant construction processes
- experience in working with other experts (civil, geotechnical and structural engineers) and multi-disciplinary teams, and
- proven capability in planning and supervision of construction processes relevant to the products.

It is desirable that an applicant's managerial staff includes at least one qualified engineer with knowledge of and understanding of the civil works in Transport and Main Roads projects of which the product being constructed is a component.

Alternatively, the applicant is required to demonstrate how it will ensure that relevant technical criteria are competently assessed and complied with. Where a company uses a consulting engineer to

provide engineering expertise, the company should include a letter setting out the duties and responsibilities of the consulting engineer. This letter must be signed by the same consulting engineer.

#### **A-2.4 Supervisory staff**

Supervisory staff of the applicant should have:

- at least 10 years' experience as a Supervisor/s of construction of the type which is the subject of the application
- detailed knowledge of relevant construction plant capabilities and capacities
- detailed knowledge of Transport and Main Roads Technical Specifications and Standard Drawings, and
- detailed knowledge of relevant testing requirements.

#### **A-2.5 Plant operators and labourers**

Construction plant has the potential to be dangerous. Plant operators and labourers (whether permanent, temporary or casual) must:

- receive training to ensure that they can perform their work safely, and they do not endanger the safety of others
- have the required skills to produce their products to specified standards
- have the required qualifications and licences to operate the various items of plant and equipment.

As a minimum, workers must receive the following types of training:

- induction training for the business
- workplace health and safety training for each phase of the work
- evacuation procedures were necessary
- safe methods of operation of tools and equipment, especially for gun driven nails, drilling, etc.
- environmental training as it relates to their job
- a base level of understanding of how products function, and
- detailed instructions on safe operating loads for plant such as cranes, and similar equipment.

#### **A-2.6 Suitability of plant**

Applicant organisations must supply relevant details of their plant. This will be specific to the product or construction of noise barriers.

#### **A-3 Proven capability**

Applicants are required to supply details of recent projects undertaken for the construction of noise barriers. These details are to include the names and phone numbers of persons who can be contacted in order to obtain verification of satisfactory construction of noise barriers.

#### **A-4 Management systems**

Applicant organisations are required to provide evidence of their management systems in accordance with the following:

##### **A-4.1 Financial capacity**

Applicant must demonstrate strong business viability over both the short and long term. Applicant must demonstrate sufficient financial capacity and become eligible to tender for advertised contracts.

##### **A-4.2 Quality Management Systems**

Applicant Quality Management Systems shall be certified in one of the following ways:

- certified against the requirements of the latest edition of AS/NZS ISO 9001 - *Quality Management Systems – Requirements* (by 3rd party certifying body), or
- certified against the requirements of a construction industry based scheme which is recognised by the Department of Transport and Main Roads.

If an applicant organisation does not have any of the above certifications for its Quality Management Systems, it may request Transport and Main Roads to initiate the 2nd party certification process by indicating this in its application.

##### **A-4.3 Occupational Health & Safety Management Systems**

Applicant Occupational Health and Safety Management Systems shall be certified in accordance with the latest edition of AS/NZS ISO 4801 - *Occupational Health and Safety Management Systems – Specification with Guidance for use*.

Applicants are expected to supply summary information that enables assessment of their Occupational Health and Safety Management Systems for meeting their obligations under the *Workplace Health & Safety Act* and Regulations (2011) and subsequent amendments and regulations. This information must include:

- a summary of the site management plan formats utilised by the applicant, and / or
- a summary reference to the applicant's documented Safety Management Systems, and
- a list of recent relevant projects on which the above have been utilised.

The Company is required by law to comply with the Australian Government Building and Construction *Workplace Health and Safety Act* and Regulations. As Transport and Main Roads staff may be present during high risk activities such as lifting and transporting by crane, etc. safety is vitally important to Transport and Main Roads.

##### **A-4.4 Environmental Management Systems**

The Applicant's Environmental Management Systems shall be certified along the lines of latest edition of AS/NZS ISO 14001 - *Environmental Management Systems – Requirements with guideline for use* and in accordance with all requirements and obligations defined in the *Environmental Protection Act* (1994) or subsequent versions thereof.

##### **A-4.5 Traffic management**

The Applicant's worksite traffic management policies and procedures should be in accordance with the Queensland Department of Transport and Main Roads requirements.



#### **A-4.6 Evidence of satisfactory use of management systems**

Applicant organisations are required to supply evidence of effective use of their management systems on projects relevant to their application. The following types of evidence are listed as a guide to applicants:

- process management plans which have been updated during projects and which include evidence of use
- inspection and test plans which incorporate compliance records
- site specific safety plans which have been updated during projects and which include evidence of use
- risk and hazard identification procedures and plans for safety and environmental issues, including evidence of processes for monitoring and review of performance
- records of site inductions
- non-conformance reports including evidence of corrective actions, and
- up to date calibration records of all test equipment.

#### **A-5 Apprentices and trainees scheme**

Applicants are required to comply with *Queensland Government Building and Construction Training Policy* (Training Policy).

## **Appendix B - Minimum requirements for second party system**

### ***B-1 Purchasing***

All purchasing records for Transport and Main Roads projects will be identified and maintained. Records would include approved suppliers, test certificates for products supplied and galvanizing etc.

### ***B-2 Project records***

Job records will be identified and maintained for each Transport and Main Roads project. These should include the entire project including drawings, materials, inspection and test records, personnel involved and any document associated with the project.

### ***B-3 Training***

All Training records will be maintained covering skills, training received etc. in accordance with the requirements of the *Queensland Government Building and Construction Training Policy* (Training Policy).

### ***B-4 Inspection and testing***

Inspection and test records covering evidence of conformity materials test results, procedure etc.

### ***B-5 Non-conformances***

Records of all Transport and Main Roads project non-conformance and actions taken will be maintained on the project file.

### ***B-6 Project audits / technical inspections***

The frequency and duration of the audits / inspections will depend upon the issues involved and the risk the Department is exposed to.

### ***B-7 Miscellaneous items to consider***

- Yard / Workshop to be registered as a Yard / Workshop.
- Yard / Workshop to comply with all provisions of the *Workplace Health and Safety Act* and Regulations.
- Project inspection by Transport and Main Roads Inspector / Superintendent.
- The past performance record of the Company.

## **Appendix C - Use of sub-contractors for construction**

On occasions, a company constructing for Transport and Main Roads will employ contractors to undertake some or all of the construction of a particular job. This can be divided among sub-contractors providing additional services.

Part of the prequalification of companies requires Transport and Main Roads to undertake Technical and System assessments of all applications. The purpose of these is to enable Transport and Main Roads to evaluate the capability of each applicant to construct noise barriers for use on Transport and Main Roads' projects.

It is also necessary to assess any sub-contractor who may be employed by the prequalified company to provide construction services.

The general requirements for sub-contractors supplying a service are that they must:

- conform to the same management system requirements as prequalified companies
- undergo a Technical Assessment to the same requirements as prequalified companies
- conform to all relevant Specifications and Standards; and
- maintain records of all construction, test results and certificates relating to the sub-contractors' work
- have an experienced construction Supervisor.

Sub-contractors must be able to demonstrate that they have suitable qualifications for the work they are performing. Documentary evidence must be available to demonstrate that the construction processes and personnel used conform to the appropriate standards.

