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Worksite Traffic Management

Pre-qualification Guidelines

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1 Introduction

VicRoads is extending / widening the application of its pre-qualification scheme for Worksite Traffic Management to now require all traffic management conducted at all worksites on any freeway or arterial road in Victoria to be undertaken by VicRoads pre-qualified traffic management companies.

The objectives of this expanded VicRoads pre-qualification scheme are to:

- improve the safety of road users and road workers at worksites on Victoria's roads;
- provide safe, consistent and credible traffic management practices by traffic management companies that comply with the Victorian *Code of Practice for Worksite Safety – Traffic Management* (Victoria Government Gazette No S 351 Tuesday 31 August 2010); and
- ensure the engagement of appropriately trained and qualified persons to plan for and carry out traffic management works on roads or direct traffic.

From January 2013 it will be mandatory that all traffic management on Victoria's freeways and arterial roads is undertaken by companies pre-qualified by VicRoads for worksite traffic management.

Note: An exemption applies for the following works as described in the Victorian *Code of Practice for Worksite Safety - Traffic Management* (2010):

- Short Term Low Impact Works (Part 3, Division 2 refers)
- Mobile Works (Part 3, Division 3 refers).

2 Overview

Pre-qualification of companies undertaking traffic management is a risk mitigation strategy which does not simply consist of a one-off assessment, but is a continuous process of review comprising:

- an initial assessment of a traffic management company's capabilities at the time of lodgement of an application (including its operational management systems);
- financial and/or technical checks during the assessment process, before a contract is awarded (applicable to VicRoads contracts only); and
- assessment of a traffic management company's ongoing performance, including during and at the completion of works, and at other times when a review may be warranted.

Pre-qualification will remain valid for a minimum period of two (2) years or as otherwise specified by VicRoads, subject to satisfactory performance.

VicRoads will maintain a register of pre-qualified contractors, consultants and companies (the Register) that have demonstrated they possess the necessary expertise, management systems and financial capacity to undertake particular categories of works and services.

Existing VicRoads traffic management pre-qualified contractors will retain pre-qualification status until their current pre-qualification validity period expires, at which time application under this expanded scheme must be made.

Existing pre-qualified companies within relevant VicRoads Pre-qualification Scheme Groups (eg. Road and Bridge Construction, Maintenance and General Works, Pavement and Geotechnical Engineering) that undertake their own traffic management (as opposed to sub-contracting such work to others) must also be pre-qualified for Worksite Traffic Management (to the appropriate level(s) as set out in section 3 of these guidelines) in order to undertake traffic management activities at worksites on any freeway or arterial road in Victoria.

These guidelines set out the terms and conditions of pre-qualification and the process that will be undertaken by VicRoads to assess and review pre-qualification applications.

From **1 January 2013**, all companies undertaking worksite traffic management on Victoria's freeways and arterial roads **must** be pre-qualified under this expanded Worksite Traffic Management Pre-Qualification Scheme.

Note: An exemption applies for the following works as described in the Victorian *Code of Practice for Worksite Safety - Traffic Management* (2010):

- Short Term Low Impact Works (Part 3, Division 2 refers)
- Mobile Works (Part 3, Division 3 refers).

3 Worksite Traffic Management pre-qualification levels

Companies applying for pre-qualification must be incorporated.

Applications for Worksite Traffic Management pre-qualification may be submitted at any time.

Applicants that consider they have appropriate experience and suitably skilled personnel must provide sufficient supporting documentation to demonstrate compliance with the nominated eligibility criteria for pre-qualification. Applications for pre-qualification can be for either or both of the following levels of pre-qualification:

- **Traffic Guidance Scheme (TGS) implementation**
 - (i) to set out, implement and monitor a Traffic Guidance Scheme as required by a traffic management plan.
 - (ii) to act as a traffic controller.
- **Traffic Management Plan (TMP) preparation**
 - to prepare, approve, review and/or make modifications to a traffic management plan (including the worksite hazard assessment).

The Applicant should allow at least eight (8) weeks from the date of VicRoads receipt of all required information for VicRoads to review the application.

Note: Pre-qualification does not necessarily mean that a traffic management company will receive offers of work from either VicRoads or other industry contractors.

4 Submission of pre-qualification application

Applicants are invited to apply for Pre-qualification by completing and submitting both Part A and Part B of the application form.

Part A seeks details of the company. Part B requests details of the status of the company's management systems, the worksite traffic management experience of the company and the related experience and expertise of individuals working for the company.

5 VicRoads conditions of pre-qualification

Applicants for pre-qualification and pre-qualified companies are required to comply with the terms and conditions as included throughout these guidelines.

Applicants should note that VicRoads may undertake searches and inquiries to ensure that the applicant is a bona-fide company or business and for identification of the expertise of individuals and of previous work performed. By completing Part A of the application form, the Applicant is providing the necessary authority to enable relevant searches and inquiries to be carried out.

6 Pre-qualification requirements

Applicants for pre-qualification are required to meet eligibility criteria, and to demonstrate sufficient achievement across the assessment criteria against which applications will be assessed.

6.1 Eligibility criteria

Companies

Traffic management companies that possess relevant worksite traffic management experience are eligible to apply for pre-qualification.

Civil engineering companies involved in the construction and/or maintenance of roads and bridge structures that possess relevant worksite traffic management experience are eligible to apply for pre-qualification.

Newly formed companies

It is acknowledged that newly formed companies will not be in a position to provide details of any significant past experience or financial capacity. As such, the suitability for pre-qualification of newly formed companies will be assessed by VicRoads on a case-by-case basis, taking the entity's status into account, and any resultant pre-qualification may be conditional on satisfactory performance over a specified period or number of projects.

Related and subsidiary companies

Pre-qualification of a company does not extend to related or subsidiary companies owned or controlled by the company. Any such company must apply to register for pre-qualification in its own right.

6.2 Assessment criteria

Company management systems

All companies seeking pre-qualification must have established management systems in Quality, Occupational Health and Safety (OH&S) and Industrial Relations (IR).

Appropriate supporting documentation from approval organisations in the format of **certificates** and/or **declarations** must be submitted with the application.

Quality management system	OHS management system ⁽ⁱ⁾	Industrial Relations ⁽ⁱⁱ⁾
Independently audited with signed declaration or A third party certified Integrated Management System (CCF or equivalent) or Full 3rd party ISO 9001-2008 certification	Independently audited with signed declaration or A third party certified Integrated Management System (CCF or equivalent) or Full 3rd party AS/ NZS 4801-2001 certification or ISO 18001	Industrial Relations self assessment and declaration as included in Part B of the Application.

Notes

- (i) Accreditation under the Australian Government's Building and Construction OH&S Accreditation Scheme is deemed to satisfy the OHS requirement for pre-qualification at all levels.
- (ii) For new applicants, the VicRoads *Industrial Relations Self Assessment Checklist and Declaration* as included in Part B of the application form must be completed and included as part of an application for pre-qualification.

The independent auditor that assesses the Applicant's management systems and certifies the Management System must be:

- a conformity assessment body accredited by the Joint Accreditation System for Australia and New Zealand (JAS-ANZ) to the relevant standard; or
- registered by RAB-QSA (or equivalent) as a Lead Auditor, with experience in the civil construction industry.

The company must also be able to demonstrate that it:

- is registered as an employer for the purposes of the *Accident Compensation Act 1985* and has a current Victorian or equivalent WorkCover Insurance policy;
- has appropriate levels of insurance (minimum \$20 million Public Liability Insurance); and
- has as a minimum \$3 million of Professional Indemnity insurance cover if applying for the Traffic Management Plan (TMP) Preparation level.

Note: Individual VicRoads contracts may require higher levels of insurance than those specified above.

Company experience

The Applicant's experience will be assessed to determine suitability for pre-qualification.

The Applicant must be able to demonstrate suitable worksite traffic management experience through involvement with past and/or current projects, including third party referees (minimum of three). The referees must be from a local government authority, VicRoads, or other road authority.

Where an applicant is only able to provide evidence of experience in limited conditions/situations then VicRoads may, at its absolute discretion, place conditions on the Applicant's pre-qualification to limit it to conducting only similar type works.

Technical capacity

Applicants and pre-qualified companies must demonstrate that they have the technical capacity to undertake worksite traffic management works in the nominated pre-qualification levels, as further detailed in these guidelines and in the application form.

In particular, applicants and pre-qualified contractors must comply with the eligibility criteria for each level as follows:

- (a) **Traffic Guidance Scheme (TGS) implementation**
This level of pre-qualification requires competencies to set out, implement and monitor a Traffic Guidance Scheme as required by a traffic management plan and to act as a traffic controller.

To be eligible for pre-qualification, a company must demonstrate that:

- it employs personnel appropriately trained, qualified and experienced in the implementation of Traffic Guidance Schemes and Traffic Control;
- it has, at its management / supervisory level, personnel with appropriate knowledge of, and/or experience in, worksite traffic management;
- it has demonstrated previous relevant industry experience and satisfactory performance in the implementation of Traffic Guidance Schemes (that comply with the *Code of Practice for Worksite Safety – Traffic Management*) and the provision of traffic control at worksites;
- it has established Quality, OH&S and Industrial Relations management systems in accordance with section 6.2 of these guidelines, together with appropriately documented procedures for:
 - Traffic Control.
 - Traffic Guidance Scheme Implementation (that complies with the *Code of Practice for Worksite Safety – Traffic Management*);
- it has a demonstrated established records management system for the recording of all records associated with worksite traffic management conducted by the company;
- traffic control – as a minimum requirement, all field employees designated as a Traffic Controller must have undertaken a course in traffic control (eg. VBQU506 - 'Use stop/slow bat to control traffic', RIIOHS205A – 'Control Traffic with a stop/slow bat' or equivalent), or an appropriate refresher course (within the last three (3) years), from a Registered Training Organisation accredited under the Australian Qualifications Framework; and
- Traffic Guidance Schemes – as a minimum requirement, all employees responsible for setting out, implementing and/or monitoring a TGS (as required by a traffic management plan) must have undertaken a course in TGS implementation (eg. VBQU507 - 'Implement and monitor operational traffic management plans', RIIOHS302A – 'Implement traffic management plan' or equivalent), or an appropriate refresher course (within the last three (3) years), from a Registered Training Organisation accredited under the Australian Qualifications Framework.

(b) Traffic Management Plan (TMP) preparation

This level of pre-qualification requires competencies to prepare, approve, review and/or make modifications to a traffic management plan (including the worksite hazard assessment).

To be eligible for pre-qualification, a company must demonstrate that:

- it employs personnel appropriately trained, qualified and experienced in the preparation of Traffic Management Plans;
- it has, at its management / supervisory level, personnel with appropriate knowledge of, and /or experience in, worksite traffic management.
- it has demonstrated previous relevant industry experience and satisfactory performance in preparing, approving, reviewing and/or making modifications to Traffic Management Plans that comply with the *Code of Practice for Worksite Safety – Traffic Management*;
- it has established Quality, OH&S and Industrial Relations management systems in accordance with section 6.2 of these guidelines, together with appropriately documented procedures for the preparation of Traffic Management Plans (including the worksite hazard assessment);
- it has a demonstrated established records management system for the recording of all records associated with worksite traffic management conducted by the company; and
- Traffic Management Plans - as a minimum requirement, all employees responsible for preparing, approving, reviewing and/or making modifications to a TMP (including the worksite hazard assessment) must have undertaken a course in TMP preparation (eg. RIICWD503A - 'Prepare work zone traffic management plan', or equivalent), or an appropriate refresher course (within the last three (3) years), from a Registered Training Organisation accredited under the Australian Qualifications Framework or have at least two (2) years experience in preparing TMPs.

7 Assessment process

7.1 Assessment of applications

Applications for pre-qualification will be assessed by VicRoads to determine whether or not the Applicant meets the requirements of the specific pre-qualification level or levels. A mixture of internal and external assessors may be used.

VicRoads, at its absolute discretion, may place conditions on a company's pre-qualification.

Assessment of applications will be based on the following:

- information contained in the completed application form (Parts A and B) and attached supporting documentation;
- referee reports;
- documented evidence held by VicRoads regarding the Applicant's previous performance; and
- information obtained by other road authorities or government agencies regarding the Applicant's previous performance.

VicRoads may consider any information in the assessment as is deemed necessary.

By submitting an application for pre-qualification, companies are deemed to authorise VicRoads to seek verification of the information supplied.

7.2 Notification

Applicants will generally be notified in writing regarding which, if any, pre-qualification level(s) they have achieved within eight (8) weeks of lodgement of their application form (providing all relevant information was included), unless significant issues arise during consideration of an application in which case further information may be sought. Such notifications will include, where warranted, any specific limitations or conditions applicable to the allocated pre-qualification level.

A determination by VicRoads of any application for pre-qualification, or for reclassification, suspension or rescission, is at VicRoads absolute discretion.

VicRoads will not be liable for any costs or damages incurred in the exercise of such discretion.

Applicants that are not satisfied with the outcome of the assessment may lodge a request for a review or appeal, as detailed in section 8.4 of these guidelines.

7.3 Upgrading pre-qualification status

A pre-qualified company may apply for an upgrade of its pre-qualification status at any time by completing and submitting a new application form.

In submitting an application for an upgrade in a pre-qualification level, a company must be able to demonstrate that its circumstances have changed sufficiently since its last pre-qualification application was assessed. As such, it may not be necessary for the Applicant to complete the entire application form. However, sufficient details supporting the request for an upgrade must be provided.

8 Maintenance of pre-qualification status

8.1 Provision of updated information

In order for a pre-qualified company to maintain its pre-qualification status, the company must notify VicRoads of any significant change to its financial or technical capacity, address, ownership or holding.

8.2 Performance assessment

VicRoads will monitor and assess the ongoing performance of each pre-qualified company through the conduct of regular reviews with the company against the eligibility criteria for pre-qualification (refer section 6.2 of these guidelines).

In addition, VicRoads may conduct unscheduled audits on the site performance of each pre-qualified company against the checklist entitled '*Traffic Management Implementation Audit Checklist*' (available on VicRoads website), to ensure that the company adheres to the standards required of it under the *Code of Practice for Worksite Safety - Traffic Management*.

Each company's pre-qualification status will depend on the information obtained during the regular reviews and on the company maintaining a good level of performance in the delivery of its worksite traffic management.

8.3 Review of a company's pre-qualification status

Subject to satisfactory performance, a company's pre-qualification will remain valid for a minimum period of two (2) years.

VicRoads may, however, review a company's pre-qualification status at any time. A review may be initiated, amongst other reasons, for any one of the following:

- where conditional pre-qualification has been granted subject to compliance with specified conditions or achievement of a satisfactory initial performance review;
- where a company's performance is considered unsatisfactory – refer to the Schedule to these guidelines for details of the worksite traffic management matters against which the company's performance will be assessed;
- following changes to a company's organisational structure, or technical or management capacity which, in the opinion of VicRoads, may have an adverse effect on the company's performance;
- where restrictions on a licence/registration to practise are imposed, or third party certification of a management system is withdrawn or has expired; and
- for failure to comply with the terms and conditions of pre-qualification as contained throughout these guidelines (including, but not only, section 2).

The company must provide any details required for a review upon request. Failure to comply with any request for such information may result in suspension of pre-qualification.

As a result of a review, VicRoads may, at its discretion, cancel, downgrade or suspend a company's pre-qualification status. If any such action is proposed, the company will first be given the opportunity to show cause why its pre-qualification status should not be adjusted.

This shall be undertaken via a formal Show Cause Notice to the company. The Show Cause Notice shall:

- state that it is a notice under the VicRoads Pre-qualification Scheme terms and conditions as contained throughout these guidelines (including, but not only, section 2);
- specify the alleged breach;
- require the company to show cause in writing why VicRoads should not exercise the right to cancel, suspend or downgrade the company's pre-qualification status; and
- specify the time and date (not more than 10 business days) by which the company must show cause.

VicRoads may make further enquiries to verify the company's responses.

If by the time specified in a Show Cause Notice the company fails to respond or to show reasonable cause why VicRoads should not adjust the pre-qualification status, VicRoads may cancel, suspend or downgrade the pre-qualification status without further notice to the company.

The company may elect to appeal the imposition of the sanction in accordance with the process outlined in section 8.4 of these guidelines.

Where pre-qualification is suspended, the company will be entitled to make application for reinstatement within a nominated period. Such applications will be required to demonstrate that any matters that lead to suspension have been rectified. If pre-qualification is not reinstated within the nominated suspension period, it will be rescinded and removed from the Register.

8.4 Reviews and appeals

If a company is not satisfied with any decision made by VicRoads in relation to pre-qualification decisions or sanctions, the company may either request a review of the original decision, or lodge an appeal against the decision, as set out below.

A company may request a review of, or appeal against, a decision by VicRoads, providing sufficient additional information is submitted to warrant a review or appeal. Any request for a review or appeal must be lodged with VicRoads within 20 business days of the date of the letter advising of the pre-qualification decision. Requests should be submitted in writing to:

Director – Procurement & Contract Management
VicRoads, 60 Denmark Street, Kew Victoria 3101.

The request for a review or appeal will be heard by a specially convened Appeals Panel (appointed by VicRoads) comprising:

- a member of the VicRoads Corporate Management Group (as Chairperson) as nominated by the Chief Executive;
- an independent probity auditor; and
- one other person nominated by a relevant industry representative.

The review or appeal process will be conducted as follows:

- The Appeals Panel will be convened within ten (10) business days of lodgement of the request for review or appeal
- The Appeals Panel will review the original decision, and may also consider new / additional information
- The Appeals Panel will provide written reasons for its decision within 20 business days of the hearing.

The Appeals Panel's consideration of the matter will be limited to whether, in making the decision, VicRoads followed the procedures set out in these guidelines, and whether VicRoads gave the company an adequate opportunity to present material in support of its application.

The Appeals Panel decision will be final and binding on both VicRoads and the appellant.

9 Publication of pre-qualification status

Access to the pre-qualification status of VicRoads pre-qualified 'Worksite Traffic Management' companies is considered necessary to enable all infrastructure managers and works managers responsible for works on Victoria's freeways and arterial roads to engage appropriately skilled and experienced traffic management companies to 'ensure that the works ... are conducted in a manner that is safe for road users and persons engaged in carrying out the works' (section 99A, *Road Safety Act 1986*).

Accordingly, VicRoads intends to publish the names of pre-qualified companies and their pre-qualification status (as included in its Register) on the VicRoads website.

Therefore, as part of this pre-qualification application, the Applicant is required to give its consent to the publication of its name and pre-qualification status on the VicRoads website and to the wider publication of its pre-qualification status with the Department of Transport. No responsibility is accepted by VicRoads for any consequences arising from publication of any such information.

No information relating to pre-qualification may be used by the company in advertising or for any promotional purpose or be published in any other form without the written consent of VicRoads.

10 Submission of applications for pre-qualification

Only one copy of the submission for pre-qualification shall be sealed in an envelope which shall be endorsed confidential and marked:

Application for pre-qualification
Worksite Traffic Management

The envelope shall be addressed to:

Director – Procurement & Contract Management
VicRoads, 60 Denmark Street, Kew Victoria 3101.

All information received as part of a submission for pre-qualification application will be treated in the strictest confidence and will not be disclosed to any other party except where necessary for the assessment of the application.

Companies may designate commercial information as confidential in their applications or in any review. VicRoads will require that individuals dealing with such information to enter into confidentiality agreements.

11 Further information

Companies wishing to obtain further information should contact VicRoads Pre-qualification & Systems Officer by phone on 03 9854 2427.

12 Schedule to the guidelines

Worksite Traffic Management performance assessment

Traffic Guidance Scheme implementation

1. A copy of the Traffic Management Plan (including the Traffic Guidance Scheme) is maintained at the worksite at all times when workers are present.
2. All traffic control devices are installed and maintained in accordance with the Traffic Guidance Scheme (as required by a traffic management plan).
3. The necessary written authorisations (i.e. a Memorandum of Authorisation) have been obtained for the erection, display, removal or alteration of all traffic control devices as included in a Traffic Guidance Scheme (as required by a traffic management plan) in accordance with the requirements of the *Road Safety (Traffic Management) Regulations 2009* unless an exemption applies.
4. Appropriately trained and qualified persons (in accordance with section 6.2 of the guidelines) are engaged at the worksite to carry out the traffic management works or direct traffic.
5. Appropriate directions have been given to the persons engaged in carrying out the traffic management works or directing traffic.
6. All persons engaged in carrying out the traffic management works or directing traffic are wearing high visibility clothing in accordance with the requirements of the *Victorian Code of Practice for Worksite Safety – Traffic Management ('the Code' - Victoria Government Gazette No S 351 Tuesday 31 August 2010)*.
7. All traffic controllers are operating in accordance with the *VicRoads Guidelines for Traffic Controllers*.

To assist in assessing a company's satisfactory performance against the worksite traffic management matters identified above, VicRoads will use a checklist entitled '*Traffic Management Implementation Audit Checklist*' (available on VicRoads website).

Traffic Management Plan preparation

1. The Traffic Management Plan complies with the *Victorian Code of Practice for Worksite Safety – Traffic Management ('the Code' - Victoria Government Gazette No S 351 Tuesday 31 August 2010)*.
2. The Traffic Management Plan includes evidence of a risk assessment having been undertaken in accordance with the Code.
3. Appropriately trained and qualified persons (in accordance with section 6.2 of the guidelines) are engaged in the preparation of the Traffic Management Plan.
4. All traffic control devices as included in the traffic guidance scheme (as required by a traffic management plan) are appropriately located (and spaced) in accordance with the Code and *VicRoads Traffic Management Note No. 33 – Worksite Traffic Management: Sign Spacing and Taper Lengths Guide*.
5. The Traffic Management Plan includes provision for traffic management arrangements at the worksite outside normal working hours when workers are not present (after-care).
6. The Traffic Management Plan includes provision for the safe passage of pedestrians, cyclists and people with disabilities.

To assist in assessing a company's satisfactory performance against the worksite traffic management matters identified above, VicRoads will use a checklist entitled '*Traffic Management Plan Checklist*' (available on VicRoads website).

For further information please phone **13 11 71**
or visit **vicroads.vic.gov.au**

