

# INDOT Prequalification for NEVI

Crystal Weaver, P.E.  
Chris Serak, J.D./MPA

# What is Prequalification?

---

- To complete work or service on public works project firm must be prequalified
- Eligibility based on organization, financial position, experience
- Two Categories of Prequalification (“PQ”)
  - Consultant- Professional Services (Proposers- Requests for Proposal “RFP”)
  - Contractor- Construction Work (Bidders- Construction Lettings)
- All firms wishing to contract as a consultant must be prequalified
  - ALL prime and subconsultants must be prequalified
- All firms wishing to *bid* construction contracts must be prequalified as contractor
  - Firms can complete up to \$300K in INDOT subcontracts without contractor prequal
  - Firms subcontracting more than \$300K must be prequalified as contractor

# Prequalification for NEVI

---

- NEVI will be advertised through Request For Proposals
  - Interested firms (“proposers”) will submit Letter of Interest (LOI)
  - **Consultant Prequalification required for all proposers**
  - New firms must apply no later than thirty (30) days prior to NEVI RFP close date
  - LOIs considered so long as application submitted timely and pending at RFP close
- Eligible firms must have at least one (1) consultant work type
  - Currently prequalified firms with any work type
  - New applicants may simply obtain Consultant Work Type 15.1- Specialty Not Listed
- Specific experiential and certification requirements for NEVI project will be defined by RFP
  - Experience and technical ability will not be determined by prequalification status
  - Proposer firms must evidence satisfaction of requirements through LOI

# First Steps: INDOT Consultant Prequalification

---

- Create Access Indiana Account
  - [www.in.gov/access](http://www.in.gov/access)
- Create ITAP account
  - <https://itap.indot.in.gov>
  - User Guide available here: <https://itap.indot.in.gov/ITAPv.3.0QuickStartGuide.pdf>
- Need access to PSCS Portal
  - First time applicants will set up Administrator in ITAP – primary contact.
  - New users at established firms will request access from Administrator
- Consultant Prequalification Manual:
  - <https://www.in.gov/indot/doing-business-with-indot/files/CPQ-Manual.pdf>

# Applying for INDOT Consultant Prequalification

---

- New companies will need to submit Initial Business Request
  - INDOT will review
  - Automatically set at Limited Services Level (\$150,000 cap)
- After Initial Business Request, apply for full prequalification:
  - General/Technical (Gen/Tech) application
  - Financial Application
- Gen/Tech reviewed by INDOT Prequalification
  - Completed every 24 months
- Financial reviewed by INDOT External Audit
  - Completed every 12 months

# General Section of Application

---

- Requires basic company information:
  - Current W-9
  - Indiana Secretary of State registration
  - DBE/MBE/WBE Certification if applicable
  - Address, company principals, years of operation, etc.
- Required every two years
- Done in conjunction with Technical Section

# Technical Section of Application

---

- How you apply for actual work types
- Require at least 1 Qualifying Person (QP) per work type
  - Some require minimum of 2
  - Must be full time employee of company
  - Can only be a QP for one company at a time
- Prequalify the firm, but use the QP to determine capability

# Technical Application- Slide 2

---

- Select Appropriate work types
  - Refer to Consultant PQ Manual for specific on each work type
- If a license is required for the work type, must be an Indiana License
- Experience must be listed in the Projects section
  - Attachments not sufficient, are overwritten from application to application



# Technical Section- Work Types

---

- List of available work types in Consultant PQ Manual
- If none are applicable, use 15.1 Specialty Not Listed
  - Can have Specialty Work Types or 15.1, but not both at same time
  - Ideal for unusual work (Landscape architecture, electric vehicle charging stations, etc)
- NEVI RFP will require that proposers are prequalified in at least one (1) Consultant Work Type
  - 15.1 Specialty Not Listed will be accepted & is recommended for NEVI proposers that are new to INDOT and do not intend to compete for other agency contracts

# Financial Application Section

---

- Financial section requires applicants to provide certain financial information documenting the firm's financial position
- Financial application section is completed every 12 months with information from the preceding fiscal year
- Financial section checklist and directions can be found here:  
<https://www.in.gov/indot/doing-business-with-indot/consultants/consultants-prequalification/audit-information/>
- Four financial levels available for consultant prequalification
  - Different scope of financial information required for each
  - Larger contracting capacity requires more extensive information
  - Specific levels outlined on following slides

# Financial Application- Lowest Financial Levels

---

## (1) Limited Services/Unit Price Services

- Requires evidence of total wages and salaries paid by firm during most recent fiscal year
- Capacity is lesser of two times (2x) allowable wages & salaries OR \$150,000 (\$150K)
- Eligible for contracts with lump sum, negotiated labor rate, and unit price basis payment

## (2) Self-Certified Financial Level

- Requires financial statement certified by officer of company
- Capacity is lesser of two times (2x) allowable wages & salaries or \$250,000 (\$250K)
- Minimum capacity is \$150,000 (\$150K)
- Eligible for contracts with lump sum, negotiated labor rate, and unit price basis payment
- Only available for firms with revenue of less than \$5,000,000 (\$5M)

*\*Consultants prequalified at these levels are only eligible for contracts using specified payment methods, which are only used for contracts under certain work types like Geotech & R/W Services*

# Financial Application- Highest Financial Levels

---

## (3) CPA Audited

- Requires a full financial audit completed by an independent CPA
- Capacity is *greater* of two times (2x) allowable wages & salaries or \$150,000 (\$150K)
- Eligible for contracts using all payment types
- Reviewed by external audit

## (4) Cognizant Audit

- Requires a full financial audit completed by another state or governmental agency
- Capacity is *greater* of two times (2x) allowable wages & salaries or \$150,000 (\$150K)
- Eligible for contracts using all payment types
- Reviewed by external audit

*\*NEVI RFP will likely require proposers to obtain CPA or Cognizant Audit Financial Level*

# Other Prequal Information:

---

- DBE Certificate is separate from Prequalification
  - Contact [ESInquiry@indot.in.gov](mailto:ESInquiry@indot.in.gov)
- INDOT Consultant Prequalification Website:
  - <https://www.in.gov/indot/doing-business-with-indot/consultants/consultants-prequalification/>

# Prequal Contact Information:

---

- Crystal Weaver, PE: INDOT Prequalification Engineer
  - [cmweaver@indot.in.gov](mailto:cmweaver@indot.in.gov)
- Chris Serak, JD/MPA: INDOT Prequalification Director
  - [chserak@indot.in.gov](mailto:chserak@indot.in.gov)