

Consultant & Contractor Prequalification

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Section I: Consultant Prequalification

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Consultant Definition

- A consultant is a vendor that provides part of the *services* for an INDOT public works project
- INDOT public works projects include all jobs related to **"the construction, improvement, alteration, repair, or maintenance of a highway, street, or road (as defined by IC 8-23-1-23) or alley"**
 - Includes contracts for services ("consultant contracts") like design, archaeological review
 - Includes contracts for construction ("contractor contracts") like grading, paving

Common Application Issues

- Aging Example Projects
- Incomplete Project Information
- Outdated Certifications



Aging Example Projects

- 20 Prequalification Work Types have project age limits
 - Most between 2 years and 5 years, one is 10 years
 - Primarily traffic, bridge inspection and environmental work types
- Seeing many applications with outdated projects
 - Currently accepting prequalification with a 90-day grace period for updates.
 - Want to be good partners with consulting community
- No Grace Period after December 31, 2022
 - Creates additional work for PQ staff
 - Qualified Persons should be aware of their work type requirements.

Incomplete Project Information

- All work types require project details
- Paragraph G for most work types in the Consultant Services Manual

G. Submittal Requirements

- 1.** A list of projects must be entered in the “Projects” section of the qualifying person’s information in the PSCS. All projects should include a brief description of the project, who it was for, year of completion, and a detailed description of the individual’s responsibilities on the project as they relate to the work type experience requirements.
- 2.** INDOT may require that the consultant provide additional supporting documents upon request.

Incomplete Project Information

- Common issues:
 - Missing project completion dates
 - Too many project details that are irrelevant to the work type.
 - Not enough personnel details to meet the description of the work type
 - Avoid statements like “ABC Company completed the design”
- Used to allow resumés as primary source for these details
 - Not permanent, can be changed and deleted from application to application
 - Use as supporting documents only
- Use the Project Lists in PSCS for primary information

Complete Project Information

- 6.1 – Topographic Survey Data Collection

SR XX over Some Creek Bridge Replacement DES # XXXXXXX, Some County, 2017.
Mr. Smith researched deeds, plats, surveys, and existing right-of-way plans;
performed topographic survey in the field; set and referenced control; he also
performed level loops; and drafted the Location Control Route Survey plat for this
0.75 mile project.

Complete Project Information

- 8.2 – Complex Roadway Design

SR XXX – Some City Bypass, Some County, Indiana: Mr. Smith was responsible for the design and plan development of the southern portion of SR XXX, which includes: three miles of mainline SR XXX, a four-lane divided highway. He designed the new horizontal and vertical alignments; two interchanges; and the construction and/or reconstruction of several local roads and associated interchanges. Mr. Smith utilized a ground modeling software to create a 3-D surface of the proposed project which was used to create a visualization of the project for public information. He coordinated the project development with state and local agencies, the public, and within INDOT. He developed the final plans and contract documents for letting and ensured all applicable permits were received by the project letting date for Phase 1 of construction. Design and plans finalized and complete in 2020.

Complete Project Information

- 9.2 – Complex Bridge Design

Mr. Smith was the project Engineer for this INDOT project on SR XXX over Wannabe Creek. Year Designed: 2021

Superstructure Type: Steel Plate Girders

Substructure Type: Hammerhead Piers (Tee Type); Semi-integral End Bent, & Expansion End Bent

Foundation Type: Multi-Row Piles

Specific Tasks: Mr. Smith designed Superstructure, Substructure, and Foundations.

Outdated Certifications

- Several work types require certifications/classes with expiration dates
 - Land Acq
 - Bridge Inspection
 - Environmental
- BIAS access for Bridge Inspection is the most common issue
 - For 14.4, need to be a team lead or team member in BIAS
 - Have been denying the work type if QP is not listed
 - BIAS access expires annually
 - Contact Sharon Street (ssstreet@indot.in.gov) for BIAS access

Section II: Contractor Prequalification

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Contractor Prequalification ("CPQ")

- A contractor is a vendor that performs part of the *construction work* for an INDOT public works project
- Contractor Prequalification ("CPQ") is the ITAP platform that contains the application for contractor prequalification
 - Fully integrated electronic platform
- CPQ launched before the 2021 construction season

CPQ Updates (Ready for Production in April 2022)

- Info from 2021 application carries over to 2022 application
- Info from denied applications will carry over to new application
- Designated upload box for compiled financial statements
- Added miscellaneous upload box in financial & technical tab

CPQ FAQ

- Primes and Subcontractors wishing to be prequalified should select "Other" as vendor type
 - If submit app as wrong vendor type, pull application back to "Draft" status in Past Applications menu
- Compiled financial statements will not be accepted if older than 6 months
- To change owner of company ITAP account, reassign the "Admin" role in ITAP under Business Maintenance menu
 - If this method does not work, email sctcrequest@indot.in.gov

Best ways to contact PQ Office

- Email to ALL PQ TEAM MEMBERS:
 - ChSerak@indot.in.gov (Director)
 - CMWeaver@indot.in.gov (PQ Engineer)
 - PGoralski@indot.in.gov (Performance & Tech Manager)
 - GChristoff@indot.in.gov (PQ Auditor)
 - AWagoner@indot.in.gov (PQ Specialist)
- Due to call volume & workload, phone calls are not a good way to contact contractor prequal between April and July

Contractor Performance Evaluation for Contractors

- New Contractor Performance Evaluation (CPE) launched October 2021.
- Major Changes
 - All questions can be updated/edited/deleted by PQ any time
 - PQ can add new questions any time
 - Revised language of all questions and added spec references
 - Deleted redundant questions
 - Contractors can comment in eval
 - Appeal process has not changed

Contractor Performance Evaluation for Contractors

- User manuals are available online
 - <https://erms12c.indot.in.gov/sitemanagermanuals/>
 - Also available in CPE if you click Help button on the header



Contractor Performance Evaluation for Contractors

- INDOT PE/S sets Responsible Person for Contractor
 - Make sure PE/S knows who that should be
- Company ITAP Administrator sets Contractor and Contractor II roles
 - Contractor role can view any snapshot for their business
 - Contractor II role is responsible for responding to snapshots if no other Responsible Person is selected


Contractor Performance Evaluation for Contractors

- Prime Contractors can see their own & their subs' evaluations
- Subcontractors can only see their own

Notifications 0 CPE

Contracts

Contract	Prime Contractor	Contract Amount	Contract Status	Work Start
B -37327	R L MCCOY INC	\$1,743,774.89	Complete	6/19/2017

Contractor	Sub Amount	Snapshot Status	Status Date
 SLUSSERS GREEN THUMB INC	\$21,113.62	Complete	03/08/2019

Contractor Performance Evaluation for Contractors

- Contractors can request snapshots

Home / Contract B -37127 - SLOTTERS GREEN THUMB INC

Contract Info Last Snapshot : 02222019 Current Status : Complete Contract Type : Local Bridge Project

Evaluation History Documents & Files

[Excel Export](#) [Request Snapshot](#) [Add Remark](#)

Entry	Date	Sections	Status	Score
Final Snapshot	03/08/2019	None	Complete	Score: +0/19/-0
Snapshot	12/21/2017	Erosion Control	Accepted	Score: +0/19/-0

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Contractor Performance Evaluation for Contractors

- PQ would like at least one snapshot every 6 months per contract
 - A significant reduction in the number of snapshots being completed
- Responsible Person can respond to, approve, or appeal a snapshot
 - 15 days for appeals
 - Automatic acceptance after 15 days

PQ Performance Regulation- Tools & Themes

Contractors

- Contractor Performance Evaluation (CPE)
- Doing Business with INDOT
- Safety/Performance Issues
- Cooperation/Partnering
- Project management

Consultants

- PSCS Performance Evaluation
- Submission Uniformity- INDOT Req
- Quality Control
- Communication

PQ Performance Regulation- Goals

- Contractor Goals:

- Foster cooperation on worksite & move projects forward
- Educate vendors- compliance/INDOT requirements
- ID performance weaknesses and facilitate improved project delivery
- Calibrate eligibility (PQ status) to set contractor up for success

- Consultant Goals:

- Reduce re-submission rate for standardized reports
- Increase quality of designs and related submissions
- Foster communication with INDOT owner offices (engineering teams)
- Rationalize work loads

Performance Regulation- Escalation Process

1st: Initial firm meeting with vendor- discuss issues and formulate roadmap (effective in producing results in +75% of matters)

2nd: Follow up- hold vendor accountable for action items/expectations

3rd: If initial efforts fail to bring results, attempt informal negotiation of eligibility reduction

4th: If vendor refuses informal eligibility reduction, or if eligibility reduction does not result in required improvements/risk mitigation, refer to Prequalification Committee

5th: Prequalification hearing- formal order regarding PQ status

Section III: Adding Value to Local Projects

Chris Serak, JD, INDOT Prequalification & Compliance Director

Local Public Works- Prequalification Requirements

- INDOT prequalification is required for local contracts over \$300,000 that are for “the construction, improvement, alteration, repair, or maintenance of a highway, street, or road (as defined by IC 8-23-1-23) or alley.”*
- Local public works contracts with a total value of \$300,000 or less do not require prequalification- applies to INDOT and IDOA prequal categories
- Local contracts for the following categories of work must be performed by companies prequalified by the Indiana Dept of Administration (IDOA):
 - (1) The process of altering, building, constructing, demolishing, improving, or repairing a public building or structure
 - (2) A public improvement to real property owned by, or leased in the name of, the state**

*Ind. Code 8-23-10-0.5(d)

**Ind. Code 4-13.6-1-13

INDOT Prequalification

- INDOT certifies that companies wishing to perform road construction public works projects:
 - Have adequate financial position to cover obligations
 - Have necessary experience & equipment to perform road work
 - Have satisfactory performance history on prior state jobs
 - Have all required certifications for requested work types
 - Are a business in good standing with the Indiana Secretary of State
 - Are not disbarred from competing for federally funded projects
 - Have acceptable safety record (OSHA 200)
 - Do not have outstanding tax or unemployment insurance liabilities with State of Ind.

INDOT Certificates of Qualification

- A certificate of qualification issued by INDOT includes the following:
 - Categories of construction work (work types) the company has been determined to be competent and properly equipped to complete
 - The aggregate amount of work (bidding capacity) the company has been determined to have the operating capacity to handle at one time
 - The valid and expiration dates for the company's eligibility
- A certificate of qualification is valid for a maximum of 16 months

Unearned Work & Available Capacity

- Unearned Work is the total amount of outstanding work a company has under contract at any one time
- A company's available contract capacity is the difference between its aggregate bidding capacity (listed on cert of qual) and current unearned work amount
 - Available capacity represents value of new contracts company is eligible for at that time
 - Figure reflects company's currently available operating capacity (crews, equip, etc.)

Locals – Using Unearned Work & Capacity

- Local units should ask bidders and subcontract proposers for their aggregate capacity and unearned work as part of the award process
 - INDOT PQ team can provide this info too
- Local units can request information from PQ team about INDOT's relative projection of a given company's available operating capacity at any time

PQ Work Types & Contract Pay Items

- INDOT has a list of PQ work types that represent the various construction pay items the Department contracts private vendors to deliver
 - All prime contracts are advertised under one or more PQ work types that represent the majority of pay items included in the project
 - Only companies prequalified under the advertised work types are eligible to bid
 - Bidder must have adequate available contracting capacity to cover FULL contract value
- Subcontracts must be approved by INDOT and must specifically identify the pay items that the subcontractor will deliver
 - Subcontracting company must have ALL work types corresponding to covered pay items
 - Subcontractor only approved if value of work is less than/equal to available capacity

How Local Units can Use INDOT Work Types

- Local Units can advertise contracts using INDOT PQ work types to define eligibility of bidders
 - Select work type(s) that best describe the bulk of work to be completed by bidder
 - Reject bids from contractors that do not have the required INDOT work type(s)
- Local Units can assign PQ work types to pay items utilized on road contracts
 - One PQ work type can cover a variety of pay items
 - Assign PQ work type based on the type of equipment/experience required for pay item

Performance Regulation

- INDOT closely tracks and documents performance of contractors
- INDOT PQ team engages with project staff to lead project specific interventions
- INDOT PQ team does Doing Business with INDOT training sessions
- Sometimes INDOT must bring vendors to the Prequalification Committee
- Local Units can request intervention of PQ team with regards to prequalified contractors/consultants- project level or more broadly

Summary- PQ Value for Local Units

- Local units can limit contract eligibility to INDOT prequalified vendors
- Local units can utilize prequalification work types in advertising work
- Local units can organize contract pay items by INDOT work type
- Local units can track a contractor's total unearned work to evaluate available operating capacity
- Local units can obtain info from INDOT PQ about a contractor's relative operating position, experience, competence, equipment, etc.
- Local units can request intervention of INDOT PQ team on project level
- INDOT PQ is here to assist with any and all of the above!
 - Email ChSerak@INDOT.IN.GOV for any admin related inquiries
 - Work type/performance issues email CMWeaver@INDOT.IN.GOV and Pgoralski@INDOT.IN.Gov

Questions?

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