USER GUIDE FOR CONTRACTOR PREQUALIFICATION APPLICATION (CPQ)

REVISION DATE: May 11, 2023

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Getting started in INDOT Technical Application Pathway (ITAP)

To access the CPQ application, applicant firms and individual users must first enroll in ITAP. Please see the user guide for ITAP here: https://itap.indot.in.gov/ITAPv.3.0QuickStartGuide.pdf

Note: It may take up to 48 hours for a new business enrollment to be approved in ITAP.

Once logged in to ITAP, find and click on "Contractor Prequalification", circled in green.
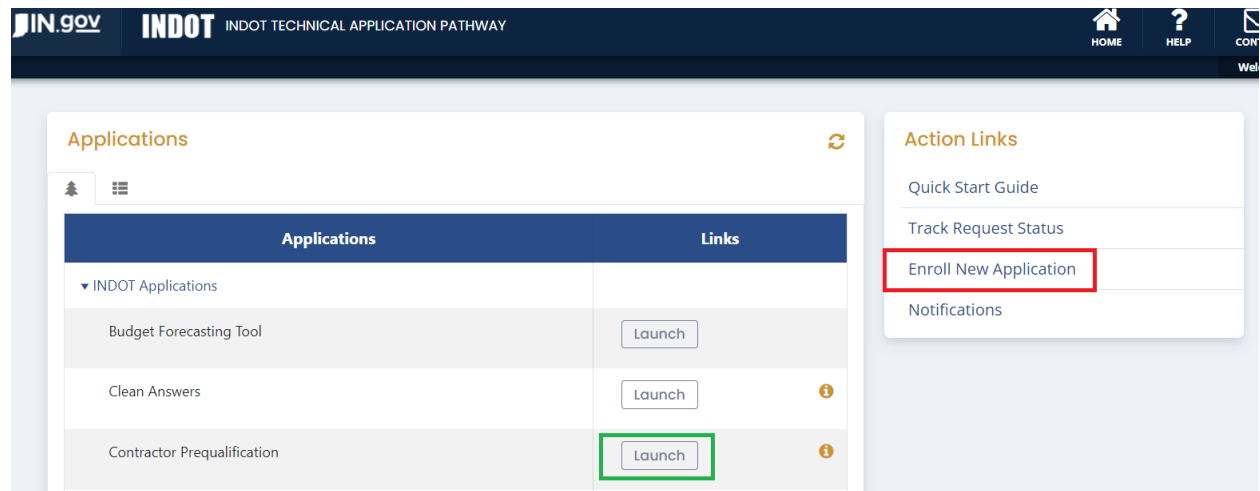
If you do not see "Contractor Prequalification", click on Enroll New Application, circled in red. A list of available applications will appear. Navigate down the list to find Contractor Prequalification and request it.

The Contractor Prequalification Dashboard

The dashboard will open after the Launch button is clicked. From here, an application can be started.
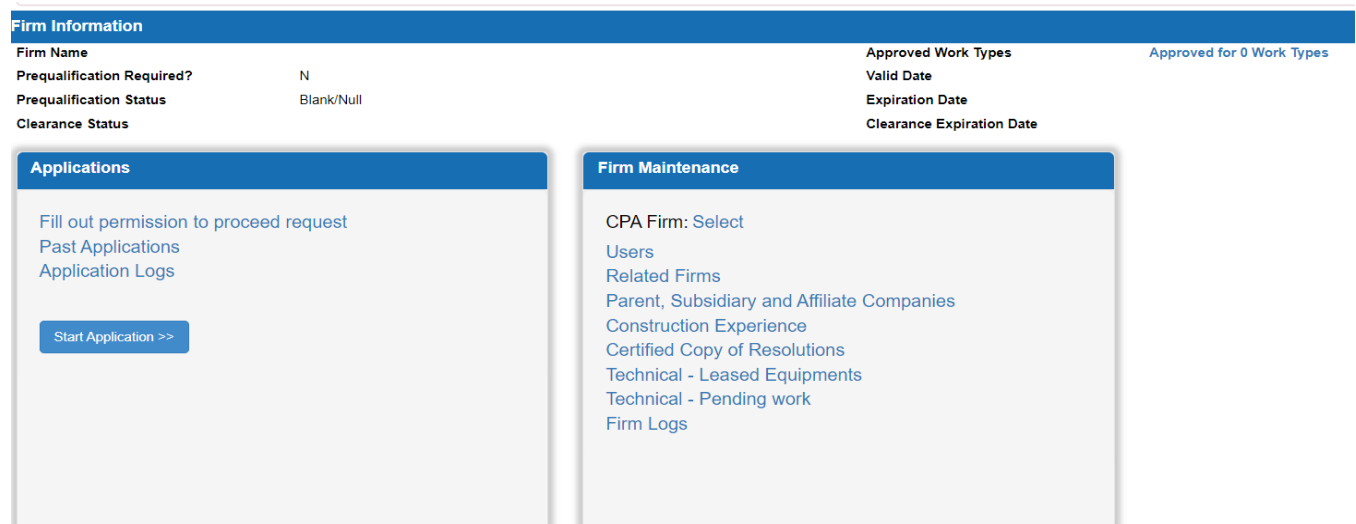
The header for the Dashboard provides basic Prequalification information at a glance. It includes the Firm name, Prequalification Status, Clearance Status, Number of Approved Work Types, the current certificate Valid Date, the current certificate Expiration Date, and the Clearance Expiration Date.

The Permission to Proceed request is covered in detail on Page 11.

Past Applications shows all of the applications a company has filled out in CPQ.

From here, a company can access their current certificates and worksheets by selecting the button that looks like a sheet of paper. The status on the right hand side tells the company where the application is in the review process.

The Application Logs show all of the steps and comments made on each application.

If an application is placed on hold or denied, comments from the Prequalification Division will be found in the application log. The log can also be downloaded into Excel using the green button below the words "Application Logs" in the upper left side.

CPQ – APPLICATION INSTRUCTIONS – Creating an Application

The Contractor's Statement of Experience and Financial Condition has been converted to an online application to access the application. INDOT Prequalification consolidated their information collection into CPQ. The first step in submitting an application is choosing the correct vendor type:

- **■** Vendor Type Selection
  - o Over-height Vehicle Escort – Applicant wants to only provide over-height vehicle escort on INDOT facilities per the Indiana Department of Revenue regulations.
  - o Subcontractor below $300k – Application wants to subcontract on INDOT projects and cannot enter into INDOT contracts exceeding a total of $300k at any given time.
  - o Hauler – Applicant is hauler and will only be hauling on INDOT contracts. Haulers are not affected by the $300,000 limit.
  - o All others – Applicant wants to be a prime contractor or subcontract for totals exceeding $300k at any given time on INDOT contracts. These contractors will complete the full Contractor's Statement of Experience and Financial Condition.

For instructions on Over Height Escorts, see **Page 5.**
For instructions on Subs below $300k, see **Page 7.**
For instructions on Haulers, see **Page 9.**
For instructions on All Others, see Page 11.

CPQ – APPLICATION INSTRUCTIONS – Over Height Escort

From the CPQ dashboard, select "Start Application".

Firm Information

Firm Name	
Prequalification Required?	N
Prequalification Status	Blank/Null
Clearance Status	

Approved Work Types	Approved for 0 Work Types
Valid Date	
Expiration Date	
Clearance Expiration Date	

Applications

Fill out permission to proceed request
Past Applications
Application Logs

Start Application >>

Firm Maintenance

CPA Firm: Select
Users
Related Firms
Parent, Subsidiary and Affiliate Companies
Construction Experience
Certified Copy of Resolutions
Technical - Leased Equipments
Technical - Pending work
Firm Logs

The new application will open. Any orange-colored fields are required and will need to be filled out. Enter the firm information in Firm Information line.

For over height escorts, current IMSA Certifications, an up-to-date W-9, and current Indiana Secretary of State Registration are required. These can be uploaded on the Document line by clicking on the Select files button.

General

* Fields with this color background are required

✓ Save   ⊘ Exit without Saving   ◀◀ Previous Section   ▶▶ Next Section

Firm Information

Documents

Refresh Uploading documents

IMSA Level II Certification

Select files...

Proof of Registration with the Indiana Secretary of State Secretary of State

Select files...

W-9 IRS Website

Select files...

Other

Select files...

* Fields with this color background are required

✓ Save   ⊘ Exit without Saving   ◀◀ Previous Section   ▶▶ Next Section

Once the application is complete, select the Submit button in the upper right corner of the screen. The applicant can monitor the progress of the application from their dashboard, and an automated email will be sent out when the application review is complete.

CPQ – APPLICATION INSTRUCTIONS – Subcontractors Below $300k

From the CPQ dashboard, select "Start Application".

The new application will open. Any orange-colored fields are required and will need to be filled out. Enter the firm information in Firm Information line.

For Subcontractors Below $300k, an up-to-date W-9 and current Indiana Secretary of State Registration are required. These can be uploaded on the Document line by clicking on the Select files button.

Once the application is complete, select the Submit button in the upper right corner of the screen. The applicant can monitor the progress of the application from their dashboard, and an automated email will be sent out when the application review is complete.

CPQ – APPLICATION INSTRUCTIONS – HAULERS

From the CPQ dashboard, select "Start Application".

The new application will open. Any orange-colored fields are required and will need to be filled out. Enter the firm information in Firm Information line.

For Haulers, an up-to-date W-9 and current Indiana Secretary of State Registration are required. These can be uploaded on the Document line by clicking on the Select files button.

Once the application is complete, select the Submit button in the upper right corner of the screen. The applicant can monitor the progress of the application from their dashboard, and an automated email will be sent out when the application review is complete.

Sign & Submit

To sign, click the "I affirm" statement checkbox when all information is completed

☑ I affirm the information submitted is true to the best of my knowledge

✔ Submit

CPQ – APPLICATION INSTRUCTIONS – ALL OTHERS (Prime contractors and Subs above $300k)

<mark>A "Permission to Proceed Request" is required before an application can be started.</mark> This process takes 24 to 48 hours to complete, and the applicant will receive an automated email when the Permission to Proceed has cleared. CPQ will show an error if the applicant starts an application before the Permission to Proceed request has been completed.

From the CPQ dashboard, **select "Permission to Proceed Request."**

Once the Permission to Proceed request has been received, select "Start Application" on from the CPQ dashboard.

When the application is started, another question will appear.

Your Financial Statement Date that we currently have on record is xx/xx/xxxx Has your Financial Statement Date changed?

○ Yes (Renewal)   ○ No (Amendment)

To start a new application for a new financial year, select Yes.
To modify the current application for the current financial year, select No. This will be an amendment application.
Changing your financial statement date refers to the year of the financial data, not the actual date the company's fiscal year ends.

CERTIFIED PUBLIC ACCOUNTANTS

The only dashboard visible will be a list of applications available for editing. If you do not see an application for your client ensure: ▪ Your client has selected you from the dropdown list at location shown above

Your client has opened a draft application

If you are having issues accessing CPQ, reach out directly to PQ. The firm user dashboard is currently unavailable for CPAs. INDOT PQ staff will have to ensure you have the proper roles.

General Tab – General firm information

- o Safety and Health Compliance – Please use the provided template/form where applicable. The information is not for prequalification purposes but compiled by INDOT to monitor overall industry trends and develop best practices.

- o Certified Copy of Resolutions – Be sure to include all authorized signers that can enter into contracts on behalf of the company.

- o Documents
    - ▪ XBE Certifications – Only applicable if applicant wants to be shown as a DBE/MBE/WBE/etc. in our database. The Prequalification database is for information only. For XBE certification verification please direction contact the certifying agency.
    - ▪ IMSA Level II Certification – Only applicable if applicant requests work types E(a) Traffic Signal Installation, 0213 – Over Height Escort, or 0377 – Traffic Signal Maintenance.
    - ▪ Proof of Registration with Indiana Secretary of State
        - • Sole Proprietorship and General Partnerships – Letter from applicant confirming your business organization as an informal association per Indiana SOS.
        - • All others – Per 105 IAC 11-2-2(m), proof of registration or letter stating that, should it become the successful bidder on a department contract, authorization will be secured within fifteen (15) days after the bid opening.

- W-9 – Executed W-9. Use the FEIN of the company. Do not submit SSNs to INDOT.
- Other – Placeholder for additional information files. Applicant may submit additional information that does not fit elsewhere in the application such as: resumes, schedules, reports, licenses, & certifications.

Financial Tab – Financial Statements, Reports, and Schedules

- o Financial Questions and Comments – Key information such as financial statement date and type is input here.
    - Audited Statements are eligible for certificates valid for up to 16 months after the statement date.
    - Reviewed Statements are eligible for certificates valid for up to 16 months after the statement date, may not be submitted later than 6 months from the statement date, and have a maximum allowable bidding capacity of $2,500,000.
    - Compiled Statements are eligible for certificates valid for up to 12 months after the statement date, may not be submitted later than 6 months from the statement date, and have a maximum allowable bidding capacity of $1,000,000.
    - Audited and Reviewed Statements must be accompanied by the complete report and notes. Additional schedules, if too large to import via the templates may be uploaded on the Documents line under Other Financial.
    - The signature page in the Audit/Review Report and the CPA License/Certification Number is all that is needed from the CPA. Do not upload the Certificate pages from previous Prequalification Applications.

    - Balance Sheet – Financial data in these fields are populated from the subsequent line item sections. The line item sections must be filled out to the best of your ability and the program's capability. Depreciable asset spreadsheets & files can be added on line 12 – Construction Equipment Book Value by selecting the button labeled "Select Files".

   - Just uploading PDFs into the application will result in denial.

- o General Information Applicable to all Line Item Sections
    - Manually enter information or use templates where applicable or more efficient. The intent is to have as much information input into the section.
    - Insufficient detail on assets may lead to the asset being deducted resulting in a lower calculated capacity.
    - Template Troubleshooting
        - The program can accept templates with no more than 2000 lines.
        - If your information exceeds that limit, consolidate, and upload the information in a logical manner. **The detailed schedule must still be uploaded in the application**. Financial tab > Documents Section > Other Financial.
        - The program validation works best if you copy data into the templates. For example, if there is an extra space in a column name it will cause an error.
        - No blank lines or totals in the template.

- Data Input

| | Manual entry into a single line |

| | Import a completed template into the section |

| | Export a blank template. After uploading, save completed templates externally on your computer. |

| | Outputs an excel spreadsheet that is not compatible with the upload template. |
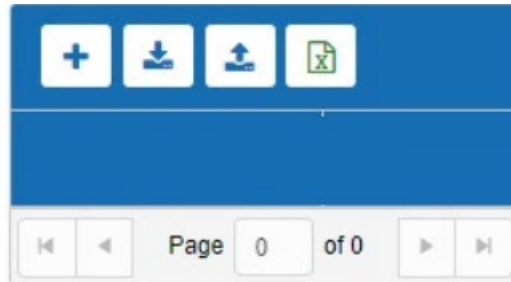
Technical Tab – Project Experience Work Types

- o Work Type Classifications – Request work types and view Department decisions
  - This section must be completed before the "Record of Past Experience."
  - Request work types that the applicant has self-performed in the recent past.
  - Note the requirements and parent-child relationships that pop up for certain work types.
  - Supporting documentation can be provided at Technical tab > Documents > Other Technical.
  - Revisit the comments on each work type in previous applications to see why work types were approved or denied.

- o Technical & Pending Work
  - **Information listed here is essential, especially when applicant**
    - **Is a new Contractor**
    - **Has limited experience with INDOT**
    - **Is requesting new work types.**

- o Record of Past Experience – Supports Work Type requests with Completed Work
  - This section will be prepopulated with the work types shown in the Work Type Classifications

Submitting the Application – Affirm and Submit a Draft Application

- o An application is in "Draft" status while being completed. Drafts will remain in CPQ for 24 months before being deleted.
- o A firm can only have one draft application open at a time.
- o Application can be recalled and edited if status is "Submitted". Once it is "Received" the review has started. You will be contacted if additional information is needed.
- o Review Statuses
    - Submitted > Received > Specialist Review > Specialist Approved > Auditor Review > Auditor Approved > Analyst Review > Analyst Approved > Engineer Review > Engineer Approved > Approved
- o Contact person on the Firm Information ribbon within the General Tab will receive notice by email when application is placed on hold or denied.
    - On hold applications have 10 days to respond with required information.
    - **The application will need to be submitted to end the hold.**
- o On the dashboard, click on Past Applications or Application Logs to check status of submitted application.
- o Once approved you will receive email notice with your firm's new certificate.
    - Application cannot be printed until certificate has been issued.

Denied Applications

- o If an application is denied, the Contractor will have the choice to recreate the existing application or start a blank one. The window below will appear.

- o If the application was denied due to negative net working capital, the contractor will need to wait 90 days to reapply per state statute
- o If the application was denied due to no response from the Contractor within the 10 day hold period, the Contractor can start a new application at any time.
- o The rest of the application will be completed like any other.

Amendment Applications

- o Applications can be amended for financial or technical reasons.
- o The window below will appear. Select "No (Amendment)" to start the amendment application.

Your Financial Statement Date that we currently have on record is xx/xx/xxxx Has your Financial Statement Date changed?

◯ Yes (Renewal)   ◯ No (Amendment)

- o **Notice to Proceed Request will be required.**
- o An amendment application can only edit the Financial Tab or the Technical Tab. The General Tab will be locked.