

**INDOT DISADVANTAGED BUSINESS ENTERPRISE (DBE)
REIMBURSEMENT FOR FINANCIAL AUDIT FOR PREQUALIFICATION AS INDOT
CONTRACTOR**

WHEREAS A Contractor must be prequalified by Indiana Department of Transportation (“INDOT”) before doing any part of a state or local project that is “the construction, improvement, alteration, repair, or maintenance of a highway, street, or road (as defined by IC 8-23-1-23) or alley.” Pursuant to Indiana Code Contractors who wish to become: 1) Prime Contractors who are able to bid on INDOT projects; 2) Prime Contractors who wish to bid on LPA projects; and/or 3) Subcontractors with more than \$300,000.00 in total INDOT work under Contract;

WHEREAS prequalification requirements are contained in Administrative Rules 105 IAC et. Seq.;

WHEREAS one requirement of prequalification is a financial statement (“financial statement”) prepared and attested as audited by an independent: 1) certified public accountant registered and in good standing in any state; or 2) public accountant registered and in good standing in Indiana; and

WHEREAS INDOT recognizes that the requirement for a financial statement can be cost prohibitive; and

WHEREAS INDOT seeks to encourage INDOT certified DBE (companies? Contractors?) to become a prequalified INDOT Contractor.

THEREFORE, INDOT has created this policy for INDOT certified DBEs to obtain reimbursement for financial audit for prequalification as INDOT contractors.

- I. This policy is created to assist DBE construction and consulting heavy highway firms to compete and perform on federally funded heavy highway construction projects by providing reimbursements for the cost of items
- II. Eligibility.
 - a. DBE must be certified in good standing by INDOT as a DBE and remain certified until a prequalification determination is made.
 - b. DBE must be geographically located in and have its jurisdiction of original DBE certification in Indiana
 - c. DBE must utilize the services of an independent 1) certified public accountant registered and in good standing in any state; or 2) public accountant registered and in good to provide a financial statement per the requirements of 105 IAC 11-1-1 et. Seq.
 - d. DBE must submit a completed application to the Prequalification Division and finish prequalification process
- III. Reimbursable Expense. INDOT will reimburse the cost of the party listed in paragraph II(b), above up to \$10,000 for the cost of preparation of a financial statement in order to satisfy the INDOT pre-qualification requirements.

- IV. Process for Request of Reimbursement.
 - a. Fill out DBE Prequalification Reimbursement Interest form with the Equity Initiative Services Division of INDOT
 - b. If DBE is a vendor, the owner will fill a claim voucher form. Save the form as a pdf. Email pdf form to centralofficeinvoices@indot.in.gov with copies of the bill owner is seeking reimbursement for and proof of payment. All documents should be sent as a single PDF.
 - c. If the DBE is not already a vendor with the State of Indiana, it will first need to complete the W-9 and Automated Direct Deposit Authorization Agreement forms. Once these forms are complete, they need to be emailed to vendors@indot.in.gov. INDOT will submit them to the State Comptroller for the vendor account to be created. Reimbursement would then be the same as outlined above.
 - d. Reimbursement is determined on a first come first serve basis based on receipt of all information in items II and IV
- V. Approval/Denial of Request for Reimbursement.
 - a. Request will be approved if all steps are met and funds are available
 - b. Denials will be issued at INDOT's discretion