



**INDIRECT COST RATE ACCEPTANCE
CHECKLIST FOR SAFE HARBOR INDIRECT COST RATE
SUBMISSION**

The following checklist will assist firms in submitting the required documents needed for a complete submittal for their safe harbor indirect cost rate review.

Please do not leave any boxes blank. Once a complete submittal is received, we will begin the review.

#	Include	List of Documents Required for a Complete Submission
1		Email sent to the ACO mailbox requesting use of safe harbor rates.
2		Financial statements, to include balance sheet and income statement, for the most recent fiscal year.
	a	If financial statements were audited, provide Independent Auditor's Report on financial statements and accompanying management letter. State 'N/A', if not applicable.
	b	If financial statements were reviewed or compiled, provide said documents. State 'N/A', if not applicable.
	c	If an indirect cost rate schedule has been prepared, provide said document. State 'N/A', if not applicable.
3		Contractor Cost Certification ("CCC") reflecting VDOT Safe Harbor Indirect Cost Rate(s). The Contractor Cost Certification form can be downloaded from the Assurance and Compliance Office website located under Forms and Guides at http://www.virginiadot.org/business/indirect_cost_rate_audit_home_page.asp
4		A completed 'Internal Control Questionnaire for Safe Harbor Submission' form located under Forms and Guides at the Assurance and Compliance Office website http://www.virginiadot.org/business/indirect_cost_rate_audit_home_page.asp
5		Certification of Accounting System – Page 2 of this form.
6		A listing of all contracts, with dollar value of work, which the consulting firm currently has with VDOT, as a prime consultant or a sub consultant. <i>[List contract number and value of contract work]</i>

Firm Name: _____

Certification of Completeness of Submission

I, the undersigned, certify that all of the required documents listed above are included in the FAR submission to the VDOT ACO mailbox ACO@VDOT.Virginia.gov

Signature of Certifying Official _____ Date _____

Title of Certifying Official (Print) _____



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VDOT CERTIFICATION OF ACCOUNTING SYSTEM

I, the undersigned, certify that the _____ accounting system in
Company
Name

place meets the standard for financial accounting and reporting, internal and budgetary control as set forth in 48 CFR parts 31 and 16.301-3, and 23CFR Part 172. The company accounting system is adequate to accumulate and track allowable, allocable and reasonable direct labor and other direct costs by contract; is able to segregate indirect costs and remove unallowable costs.

Certifying Official*

Name _____

Title _____

Signature _____

Date certified _____

Email _____

Phone Number _____

*An executive or financial officer who has authority to represent the financial information of the contractor's organization.