

ONR SUBMISSION REQUIREMENTS FOR SHORT FORM F&A PROPOSALS

CHECKLIST

1. **Transmittal Letter:** State the type of rate requested (e.g. predetermined, fixed, etc.) and the fiscal years proposed to be covered by the rates.
2. **Format Documentation:** Institutions submitting an F&A rate proposal in accordance with 2 CFR Part 200, Appendix III, Section D, Simplified Method, this is considered a “Short Form F&A Rate Proposal.” Short Form F&A Rate proposals are not subject to a standard format. ONR recommends using DHHS’s guidance for submitting Short Form F&A rate proposal using the Simplified Method, which may be downloaded at <https://rates.psc.gov/fms/dca/shortform%20example.pdf>
3. **Memoranda of Understanding:** Identification of any Memoranda of Understanding or advance agreements upon which the proposed rates are based.
4. **OIA, O&M and Depreciation/Use Allowance Adjustments:** Identify and/or explain method(s) used to exclude O&M and depreciation/use allowance costs related to other institutional activities.
5. **Prior Year Carry-forwards:** A summary of unliquidated prior year carry-forward amounts (if applicable).
6. **Certifications:**
 - a. Certificate Indirect Cost. Completed certificate of indirect costs as required by 2 CFR Part 200, Appendix III, Section F.2. See example in Attachment (1) to this checklist.
 - b. Certificate of Indirect (F&A) Costs. Completed certificate of indirect costs as required by FAR 52.242-4. See example in Attachment (2) to this checklist.
 - c. Additional Certifications and Assurances. Completed additional certifications as required by 2 CFR Part 200. See example in Attachment (3) to this checklist.
7. **Funding Profile:** Provide a list of the federal agencies that provide more than 10% of your annual research funding.
8. **Single Audit:** Providing a copy of your Single Audit for your base year is optional.
9. **Significant Variances:** Actual cost data supporting the proposed rates, to include identification of significant variations from the previous years’ actual indirect costs or allocation bases that may have a bearing on the reasonableness of the proposed rates.

10. **Unusual Factors:** Any explanation of new or unusual factors which affect the proposed rates.
11. **Trend Data:** A five-year history of negotiated rates with an explanation for any significant variances.
12. **Future Year Cost Projections** – Your F&A rate proposal may include estimated cost impacts to facility components for anticipated changes in research facilities. Cost estimates must be well documented and separately identified from the F&A base year data. Cost estimates for multiple changes (i.e. 2 new research buildings) must be separately estimated. Cost estimates should consider all potential aspects of expanding and contracting research related facilities (i.e. changes to space, changes to MTDC base dollars, etc.).

Certificate of Indirect (F&A) Costs

(In Accordance with 2 CFR Part 200, Appendix III, Paragraph F*.)

This is to certify that to the best of my knowledge and belief:

(1) I have reviewed the indirect (F&A) cost proposal submitted herewith;

(2) All costs included in this proposal **[identify date]** to establish billing or final indirect (F&A) costs rate for **[identify period covered by rate]** are allowable in accordance with the requirements of the Federal agreement(s) to which they apply and with the cost principles applicable to those agreements.

(3) This proposal does not include any costs which are unallowable under applicable cost principles such as (without limitation): public relations costs, contributions and donations, entertainment costs, fines and penalties, lobbying costs, and defense of fraud proceedings; and

(4) All costs included in this proposal are properly allocable to Federal agreements on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements.

I declare that the foregoing is true and correct.

Institution of Higher Education: _____

Signature: _____

Name of Official: _____

Title:* _____

Date of Execution: _____

***The certificate must be signed on behalf of the institution by the chief financial officer or an individual designated by an individual at a level no lower than vice president or chief financial officer. (Ref 2CFR200, Appendix III, Paragraph F.2.b).**

(Institution Name)
Certificate of Final Indirect Costs (January 1997)
(FAR 52.242-4)

Certificate of Final Indirect Costs (in accordance with FAR 52.242-4)

This is to certify that I have reviewed this proposal to establish final indirect cost rates and to the best of my knowledge and belief:

1. All costs included in this proposal **(identify proposal and date)** to establish final indirect cost rates for **(identify period covered by rate)** are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) and its supplements applicable to the contracts to which the final indirect cost rates will apply; and
2. This proposal does not include any costs which are expressly unallowable under applicable cost principles of the FAR or its supplements.

Firm: _____

Signature: _____

Name of Certifying Official: _____

Title: _____

Date of Execution: _____

Attachment (2)

(Institution Name)

Additional Certifications and Assurances

This is to certify that I have reviewed the **(insert Organization name)** Indirect Cost Rate Proposal dated **(insert date of proposal)** to establish indirect cost rate(s) for the period **(insert month/day/year)** through **(insert month/day/year)** and attest to the following:

Certificate of Lobbying (2 CFR 200, Subpart E, paragraph 200.450(c)(2)(vi)). To the best of my knowledge and belief, the subject proposal complies with the requirements and standards of 2 CFR 200, Subpart E, paragraph 200.450(c)(2)(vi) Lobbying, in that any organizational costs associated with activities defined as lobbying have been treated as other unallowable activity as required by this section.

Statement of Assurance re: Charges for Depreciation or Use Allowance (2 CFR 200, Subpart E, paragraph 200.436(e)). To the best of my knowledge and belief, the use allowance and depreciation included in the subject proposal is supported by adequate property records and physical inventories taken at least once every two years to ensure that the assets exist and are usable, used, and needed.

Statement of Assurance re: Executive Compensation limitations

To the best of my knowledge and belief, the **(insert Organization name)** is in compliance with any applicable limitations on individual compensation charged to federal awards.

Institution: _____

Name of Official: _____

Title: _____

Signature: _____

Date: _____