

**APPENDIX D-3, EXHIBIT 10-K CERTIFICATION OF FINANCIAL MANAGEMENT  
SYSTEM AND CONTRACT COSTS**

**EXHIBIT 10-K CERTIFICATION OF FINANCIAL MANAGEMENT SYSTEM AND CONTRACT COSTS****Consultant Certification:**

Consultant Firm Name: \_\_\_\_\_

Cost Proposal Date: \_\_\_\_\_

Fiscal Period Covered (mm/dd/yyyy to mm/dd/yyyy): \_\_\_\_\_

I, the undersigned, certify that all costs in this proposal (prime consultants and all subconsultants) are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of title 48, Code of Federal Regulations (CFR), Part 31 and the indirect cost rate(s) have been prepared or audited in accordance with the following criteria and in the acceptable indirect cost rate schedule formats, and retained in the project files:

1. Generally Accepted Government Auditing Standards (GAGAS) issued by the United States Government Accountability Office, if applicable.
2. 23 Code of Federal Regulations (CFR), Chapter 1, Part 172 – Administration of Engineering and Design Related Service Contracts.
3. 48 CFR, Chapter 1, Part 31 – Contract Cost Principles
4. 48 CFR, Chapter 99, Cost Accounting Standards, Subpart 9900
5. All known material transactions or events that have occurred affecting the firm's ownership, organization, and indirect cost rates have been disclosed.

I, the undersigned, further certify that our financial management system meets the standards for financial reporting, accounting records, internal and budget control as set forth in the FAR of title 49, CFR, Part 18.20.

In addition, I the undersigned, certify that the approximate dollar amount of all A&E contracts awarded by Caltrans or a California local agency to this firm within the last three (3) calendar years for all State DOT and Local Agencies is \$ \_\_\_\_\_ and the number of States in which the firm does business is \_\_\_\_\_.

\*Consultant Certification Signature: \_\_\_\_\_

Consultant Certifying Name and Title (Print): \_\_\_\_\_

\_\_\_\_\_

Consultant Contact Information – Email and Phone number \_\_\_\_\_

Date of Consultant Certification (mm/dd/yyyy) \_\_\_\_\_

\*An Individual executive or financial officer of the contractor's organization at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the indirect cost rate proposal submitted in conjunction with the contract.