

Dear Recipient:

In order for the MnDOT Office of Audit to perform a Pre-Award, we need the following items:

1. Pre-Award Questionnaire – A brief set of questions regarding the most current company information.
2. Sample of an Employee Timesheet.
3. Sample of an Employee Expense Report.
4. Fee Schedule and/or a Billing Rate Schedule, if applicable.
5. Most recent fiscal years overhead rate acceptance letter. If you do not have a MnDOT overhead rate acceptance letter submit the following items based on how your overhead rate was prepared:
 - a. CPA Prepared Overhead Rate
 - i. Statement of Overhead
 - ii. Internal Control Questionnaire
 - iii. Financial Statements
 - iv. Certification of Final Indirect Costs
 - v. Approval Letters from Other State if Available
 - b. Cognizant Audit from your Home State
 - i. Statement of Overhead
 - ii. Internal Control Questionnaire
 - iii. Financial Statements
 - iv. Cognizant Letter
 - v. Certification of Final Indirect Costs
 - c. In-House Prepared Overhead Rate
 - i. Overhead Rate Calculation and Supporting Work papers
 - ii. National Compensation Matrix
 - iii. MnDOT Overhead Rate Questionnaire
 - iv. Financial Statements
 1. Profit and Loss Statement
 2. Balance Sheet
 - v. Certification of Final Indirect Costs
 - vi. Approval Letters from Other State if Available

Please see the [Office of Audit's website](#) for additional information regarding overhead rates.

If this Pre-Award is in response to an RFP, the following information will need to be submitted:

1. A Cost Proposal. Please submit this in the Microsoft Excel format.

A Pre-Award is required for all sub-consultants listed in your cost proposal, if their costs are \$10,000.00 or more; **it is the Prime Consultant's responsibility to coordinate their submittals.**

The Pre-Award cannot be completed without all the information listed above. Missing information can delay the Pre-Award process therefore, it is important to provide all information for the Pre-Award at the time of submittal, including the sub-consultants information, if applicable.

If you have any questions regarding the Pre-Awards, please call Greg Hlivka at 651-366-4142.

Pre-Award Questionnaire

Contact Information

1. Name of Firm:
2. Company's Primary Contact for Accounting Information:

Name:

Title:

Phone Number:

Email Address:

Mailing Address:

Accounting Information:

3. What is the Company's Fiscal Year End?

Accounting System(s)

4. What type of accounting software does the Company use?
 - A. Commercial System
 - a. Name of Vendor:
 - B. Internally-developed System
 - a. If internally developed, please explain:
5. What basis of accounting does the Company use to prepare the general purpose financial statements?
☐ Cash ☐ Accrual ☐ Hybrid. *Please explain 'Hybrid'*
6. Does the Company have a job-cost accounting system? Yes No
If "no" please explain what type of system is used to determine project costs:
7. Does the general ledger contain separate direct and indirect accounts for the following:

Labor Costs	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Non-labor Expenses	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If 'no', please explain:

Direct Expenses

8. Are direct expenses identifiable to a specific project? ☐ Yes ☐ No
Are they included in the overhead rate? ☐ Yes ☐ No
Segregated into direct expense accounts and not included in the overhead rate? ☐ Yes ☐ No

Ownership

9. Please list the stockholders, partners, or other owners with greater than five percent ownership of the Company and their respective percentages of ownership.

Name	Title	Ownership Percentage
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%

Contracts

10. Please provide MnDOT with a Fee Schedule and/or a Billing Rate Schedule for reimbursable expenses and/or labor.

Overhead Rate

11. Provide MnDOT with the most recent fiscal year Overhead Rate Development workpapers. Accounts and amounts listed for the development of the overhead rate should conform to the general ledger accounts and tie into the financial statements.

12. Who prepared the Overhead Rate?

☐ CPA Firm

☐ In-House

13. Has another State DOT issued a cognizant letter or acceptance letter regarding this overhead rate?

☐ Yes

☐ No

If 'Yes', please attach a copy of the Cognizant letter and/or acceptance letter that was provided by another State DOT.

Raw Labor Rates:

14. List the current actual hourly rate for all employees by classification that will be working on this contract. Raw Labor Rates do not include overhead or profit.

If you have any questions regarding this questionnaire or any pre-awards in general, please call Greg Hlivka at 651-366-4142 or by email at Greg.hlivka@state.mn.us.

I certify that to the best of my knowledge and belief this Pre-Award Questionnaire is a complete and accurate representation of the above-named Company's cost accounting and billing practices.

Type Printed Name: _____

Signature: _____

Title: _____

Date Completed: _____