

**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN: DATE:06/21/2016  
 ORGANIZATION: FILING REF.: The preceding  
 University of California (UCD) agreement was dated  
 Davis Campus 07/23/2015

Davis, CA

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

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**SECTION I: INDIRECT COST RATES**

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RATE TYPES:      FIXED                  FINAL                  PROV. (PROVISIONAL)      PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2013	06/30/2014	54.50	On-Campus	Organized Res.
PRED.	07/01/2014	06/30/2015	55.50	On-Campus	Organized Res.
PRED.	07/01/2015	06/30/2016	56.50	On-Campus	Organized Res.
PRED.	07/01/2016	06/30/2018	57.00	On-Campus	Organized Res.
PRED.	07/01/2013	06/30/2018	26.00	Off-Campus	Organized Res.
PRED.	07/01/2013	06/30/2014	37.00	On-Campus	Other Spons Act
PRED.	07/01/2013	06/30/2014	24.00	Off-Campus	Other Spons Act
PRED.	07/01/2014	06/30/2015	38.00	On-Campus	Other Spons Act
PRED.	07/01/2014	06/30/2015	24.50	Off-Campus	Other Spons Act
PRED.	07/01/2015	06/30/2016	38.50	On-Campus	Other Spons Act
PRED.	07/01/2015	06/30/2016	24.50	Off-Campus	Other Spons Act
PRED.	07/01/2016	06/30/2018	39.00	On-Campus	Other Spons Act
PRED.	07/01/2016	06/30/2018	25.00	Off-Campus	Other Spons Act
PRED.	07/01/2013	06/30/2018	50.00	On-Campus	Instruction
PRED.	07/01/2013	06/30/2018	26.00	Off-Campus	Instruction
PRED.	07/01/2013	06/30/2018	22.70	Primate Ctr	Core Grant (1)
PRED.	07/01/2013	06/30/2018	54.40	Primate Ctr	Non-Core Fed(1)
PRED.	07/01/2013	06/30/2018	8.00	Off-Campus	IPA (2)

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ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

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<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2018	Until Amended		(3)	

\*BASE

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

- (1) Primate Center - see Section II: Special Remarks.
- (2) Intergovernmental Personnel Act Agreements.
- (3) Use the same rates and conditions as those cited for fiscal year ending June 30, 2018.

ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

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**SECTION I: FRINGE BENEFIT RATES\*\***

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<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FIXED	7/1/2016	6/30/2017	19.50	(1)	UCD (A)
FIXED	7/1/2016	6/30/2017	30.90	(1)	UCD (B)
FIXED	7/1/2016	6/30/2017	38.10	(1)	UCD (C)
FIXED	7/1/2016	6/30/2017	51.30	(1)	UCD (D)
FIXED	7/1/2016	6/30/2017	62.20	(1)	UCD (E)
FIXED	7/1/2016	6/30/2017	17.30	(1)	UCD (F)
FIXED	7/1/2016	6/30/2017	1.30	(1)	UCD (G)
FIXED	7/1/2016	6/30/2017	9.10	(1)	UCD (H)
FIXED	7/1/2016	6/30/2017	3.60	(1)	UCD (I)
FIXED	7/1/2016	6/30/2017	41.40	(2)	ANR (A)
FIXED	7/1/2016	6/30/2017	53.30	(2)	ANR (B)
FIXED	7/1/2016	6/30/2017	62.50	(2)	ANR (C)

ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

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FIXED            7/1/2016            6/30/2017            5.90 (2)            ANR (D)

**\*\* DESCRIPTION OF FRINGE BENEFITS RATE BASE:**

Salaries and Wages.

- (1) All UC Davis locations except for UC Davis Medical Center.
- (2) UC Division of Agriculture and Natural Resources (ANR) activities at UC Davis locations.

UCD (A) Healthcomp Faculty and Physicians with salaries over 200K.

UCD (B) Healthcomp Faculty, Physicians, Physician Assistants, Nurses, and Faculty of the Law School and Graduate School of Management. Faculty summer salary is NOT included in this rate.

UCD (C) Non-Healthcomp Faculty, Research Allied Professionals, Other Academic Appointments, Management and Senior Personnel Appointments, Fire and Police. Faculty summer salary is NOT included in this rate.

UCD (D) All Other Employees.

UCD (E) Service Professionals.

UCD (F) Postdoctoral Employees and all Faculty summer salary.

UCD (G) Graduate and Undergraduate Students.

UCD (H) Non-Retirement Research Allied Professionals, Clerical, Research Support Service and Technical.

UCD (I) All other non-retirement eligible employees.

ANR (A) Cooperative Extension Advisors, Academic Coordinators, Academic Administrators, Management Service Officers, Management and Senior Personnel and Cooperative Extension Specialists.

ANR (B) Research Support, Other Staff and Support Professionals, and Technical Unit.

ANR (C) Program Representatives, Community Health Program Representatives, Clerical and Allied Professionals, Skilled Crafts and Service Units.

ANR (D) All limited term employees.

ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

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**SECTION II: SPECIAL REMARKS**

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TREATMENT OF FRINGE BENEFITS:

The fringe benefits are charged using the rate(s) listed in the Fringe Benefits Section of this Agreement. The following fringe benefits are included in the fringe benefit rate(s):

OASDI, MEDICARE, WORKERS COMPENSATION, MEDICAL/DENTAL/LIFE INS, UNEMPLOYMENT INS, DISABILITY INS, EMPLOYEE SUPPORT SERVICES, BENEFIT ADMINISTRATION, OTHER POST-EMPLOYMENT BENEFITS, AND RETIREMENT.

The following fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are: TUITION/FEE REMISSION OF CERTAIN STUDENT EMPLOYEES.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay & other paid absences are included in salaries & wages and are claimed on grants, contracts and other agreements as part of the normal costs for salaries & wages. Separate claims for the costs of these paid absences are not made.

DEFINITION OF EQUIPMENT: Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition costs of \$5,000 or more per unit.

DEFINITION OF ON-CAMPUS, OFF-CAMPUS AND SPECIAL RATES

DEFINITION OF OFF-CAMPUS RATE: The off-campus rate is applicable to those projects conducted at facilities not owned or leased by the University. However, if the project is conducted in leased space and lease costs are directly charged to the project, then the off-campus rate must be used.

PROJECTS CONDUCTED ENTIRELY ON-CAMPUS OR ENTIRELY OFF-CAMPUS: Projects conducted entirely on-campus or entirely off-campus will be applied the on-campus or off-campus rate respectively.

PROJECTS CONDUCTED PARTIALLY OFF-CAMPUS AND PARTIALLY ON-CAMPUS: If the project involves work at both on-campus and off-campus sites, either the on-campus or off-campus rate generally should be applied, consistent with where the majority of the work is to be performed. Salary cost is generally accepted as a measure of work performed in terms of the total project.

ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

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USE OF BOTH ON-CAMPUS AND OFF-CAMPUS RATES: The use of both on-campus and off-campus rates for a given project may be justified if both of the respective rates can clearly be identified with a significant portion of salaries and wages of the project. For purposes of this provision, significant is defined as approximately 25% or more of the total costs and a project's total salary and wage costs exceed \$250,000.

OTHER SPECIAL RATES: These rates apply only to the facility or program to which they are identified. If any additional special rates become necessary the establishment of such rates should be coordinated through the cognizant negotiation agency.

PRIMATE CENTER RATES: The California National Primate Research Center (CNPRC) Non-Core Federal rate (54.4%) is applied only to the direct research costs of Federally sponsored awards excluding the National Center for Research Resources (NCRR) Core Grant. All recoveries from application of this rate represent University F&A expenditures allocated to the CNPRC (22.7%) and CNPRC-specific F&A expenditures (31.7%).

Additionally, the university has developed a Non-Federal CNPRC rate (89.0%) which is applied only to non-Federal research expenditures.

The Non-Core Federal and Non-Federal rates are considered additive to the Core Grant rate.

This agreement updates fringe benefits only.

NEXT PROPOSAL DUE DATE

A fringe benefit rate proposal based on actual costs for fiscal year ending 6/30/16, will be due no later than 12/31/16.

ORGANIZATION: University of California (UCD) Davis Campus

AGREEMENT DATE: 6/21/2016

**SECTION III: GENERAL**

**A. LIMITATIONS:**

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

**B. ACCOUNTING CHANGES:**

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

**C. FIXED RATES:**

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

**D. USE BY OTHER FEDERAL AGENCIES:**

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

**E. OTHER:**

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

University of California (UCD) Davis Campus

(INSTITUTION)

(SIGNATURE)

Nathan Brostrom

(NAME)

EVC - Chief Financial Officer

(TITLE)

(DATE)

7/14/2016

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Arif M. Karim -A

(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

6/21/2016

(DATE) 0233

Digitally signed by Arif M. Karim -A  
DN: cn=U.S. Government, ou=HHS,  
ou=PSC, ou=People, cn=Arif M. Karim -A,  
0.9.2342.19200300.100.1.1=2000212895  
Date: 2016.06.23 09:18:11 -0500

HHS REPRESENTATIVE:

Ernest Willard

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