

NPrfDC Association of Universities for Research in Astronomy, Inc. (AURA) 86-0138043 01/26/2015! 0107

NON-PROFIT RATE AGREEMENT

EIN #: 86-0138043

NSF INS CODE: 4003110000

ORGANIZATION:

Association of Universities for Research in Astronomy, Inc. (AURA)
1212 New York Avenue, NW – Suite 450
Washington, DC 20005

DATE: January 26, 2015

FILING REF: The preceding rate agreement was dated November 25, 2013

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 II.

SECTION I: INDIRECT COST RATES

AURA Corporate G&A Rates

FY 2013 - FINAL

<u>Center</u>	<u>Effective Period</u>	<u>Rate</u>	<u>Base</u>
NOAO	10/01/12 – 09/30/13	2.83%	(a)
NSO (includes NSO-DKIST)	10/01/12 – 09/30/13	1.76%	(a)
Gemini	10/01/12 – 09/30/13	2.82%	(a)
LSST	10/01/12 – 09/30/13	3.87%	(a)
STScI	10/01/12 – 09/30/13	1.49%	(b)

FY 2014 - PROVISIONAL

<u>Center</u>	<u>Effective Period</u>	<u>Rate</u>	<u>Base</u>
NOAO	10/01/13 – 09/30/14	4.27%	(a)
NSO	10/01/13 – 09/30/14	0.57%	(a)
NSO-DKIST	10/01/13 – 09/30/14	2.02%	(a)
Gemini	10/01/13 – 09/30/14	2.49%	(a)
LSST	10/01/13 – 09/30/14	2.99%	(a)
STScI	10/01/13 – 09/30/14	1.00%	(b)

Rate Application Bases

- (a) Total project costs, excluding flow-through programs. For the purpose of this rate, total project costs include indirect costs recovered by AURA-CAS and AURA-HR rates, but exclude the AURA Management Fee.
- (b) Total project costs, excluding flow-through programs.

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FINAL rates are applicable to a specified past period and are based on the actual costs of the period. A final rate is not subject to adjustment.

PROVISIONAL rates are temporary rates applicable to a specified current or future period which is used for funding, interim reimbursement, and reporting indirect costs on awards pending the establishment of a final rate for the period. A provisional rate is subject to adjustment for the period it is issued, through the issuance of a final rate, after the actual expenses for the period are known.

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AURA Corporate G&A Rates, cont'd

FY 2015 - PROVISIONAL

<u>Center</u>	<u>Effective Period</u>	<u>Rate</u>	<u>Base</u>
NOAO	10/01/14 – 09/30/15	2.42%	(a)
NSO	10/01/14 – 09/30/15	1.64%	(a)
NSO-DKIST	10/01/14 – 09/30/15	1.78%	(a)
Gemini	10/01/14 – 09/30/15	2.25%	(a)
LSST	10/01/14 – 09/30/15	2.15%	(a)
STScI	10/01/14 – 09/30/15	1.57%	(b)

Rate Application Bases

- (a) Total project costs, excluding flow-through programs. For the purpose of this rate, total project costs include indirect costs recovered by AURA-CAS and AURA-HR rates, but exclude the AURA Management Fee.
- (b) Total project costs, excluding flow-through programs.

FINAL rates are applicable to a specified past period and are based on the actual costs of the period. A final rate is not subject to adjustment.

PROVISIONAL rates are temporary rates applicable to a specified current or future period which is used for funding, interim reimbursement, and reporting indirect costs on awards pending the establishment of a final rate for the period. A provisional rate is subject to adjustment for the period it is issued, through the issuance of a final rate, after the actual expenses for the period are known.

SECTION II: GENERAL TERMS

- A. **LIMITATIONS:** Use of the rates contained in this agreement is subject to any applicable contractual or grant limitations. Acceptance of these rates agreed to herein is predicated upon the conditions: (1) that no costs other than those incurred by the contractor or grantee were included in its indirect cost proposal and that such costs are legal obligations of the contractor or grantee, (2) that the same costs that have been treated as indirect costs have not been claimed as direct costs, and (3) that similar types of costs have been accorded consistent treatment.
- B. **AUDIT:** All costs, direct and indirect, Federal and non-Federal are subject to audit. Adjustments to amounts resulting from audit of cost allocation plan or indirect rate proposal upon which the negotiation of this agreement was based will be compensated for in subsequent negotiation.
- C. **ACCOUNTING CHANGES:** The rates contained in this agreement are based on the accounting system in effect at the time the proposal was prepared and the rates were negotiated. Changes to the method of accounting which effect the amount of reimbursement resulting from the use of these rates require the prior approval of this office. Failure to obtain such approval may result in subsequent cost disallowances.
- D. **PROVISIONAL RATES:** If a provisional rate is in this Agreement, it is a temporary rate established for the organization to permit funding and reporting of indirect costs pending establishment of a final rate (the rate determined at the end of an accounting period using "actual" direct and indirect cost data). The provisional rates contained in this agreement are subject to unilateral amendment by the Government or bilateral amendments by the contracting parties at any time.
- E. **NOTIFICATION TO FEDERAL AGENCIES:** Copies of this document may be provided to other Federal offices as a means of notifying them of the rates agreed to herein.

BY THE ORGANIZATION:

Association of Universities for Research in
Astronomy, Inc. (AURA)

(Organization)

Deborah Narcisso

(Signature)

Deborah Narcisso

(Name)

VP Administration

(Title)

2/18/15

(Date)

ON BEHALF OF THE FEDERAL GOVERNMENT:

National Science Foundation

(Agency)

Charles D. Zeigler

(Signature)

Charles D. Zeigler

(Name)

Team Lead, Cost Analysis and Indirect
Cost, CAAR/DIAS/BFA

(Title)

2/24/2015

(Date)

NSF Negotiator: Meghan A. Benson
Telephone: (703) 292-4884