

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 95-6006145

DATE:11/05/2018

ORGANIZATION:

FILING REF.: The preceding
agreement was dated
09/01/2017

University of California (UCSB)
Santa Barbara Campus

Santa Barbara, 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.

SECTION I: INDIRECT COST RATES

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.	07/01/2015	06/30/2017	53.50	On-Campus	Organized Research
PRED.	07/01/2017	06/30/2018	54.00	On-Campus	Organized Research
PRED.	07/01/2018	06/30/2020	55.00	On-Campus	Organized Research
PRED.	07/01/2020	06/30/2021	55.50	On-Campus	Organized Research
PRED.	07/01/2015	06/30/2021	26.00	Off-Campus	Organized Research
PRED.	07/01/2015	06/30/2017	54.50	On-Campus	Instruction
PRED.	07/01/2017	06/30/2021	52.70	On-Campus	Instruction
PRED.	07/01/2015	06/30/2021	26.00	Off-Campus	Instruction
PRED.	07/01/2015	06/30/2021	51.30	On-Campus	Other Spon Act.
PRED.	07/01/2015	06/30/2021	9.40	Off-Campus	Other Spon Act.
PRED.	07/01/2015	06/30/2021	37.50	All	KITP
PRED.	07/01/2015	06/30/2017	8.40	Off-Campus	IPA's (A)
PRED.	07/01/2017	06/30/2021	9.40	Off-Campus	IPA's (A)
PRED.	07/01/2015	06/30/2017	44.10	On-Campus	UARC (B)
PRED.	07/01/2017	06/30/2018	44.00	On-Campus	UARC (B)

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2018	06/30/2020	45.00	On-Campus	UARC (B)
PRED.	07/01/2020	06/30/2021	45.50	On-Campus	UARC (B)
PROV.	07/01/2021	Until Amended		(C)	

*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, participant support costs, 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.

(A) Intergovernmental/Personnel Act Agreement

(B) University Affiliated Research Center

(C) Use same rates and conditions as those cited for fiscal year ending June 30, 2021.

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

SECTION I: FRINGE BENEFIT RATES**

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FIXED	10/1/2018	6/30/2019	35.20	All	Faculty
FIXED	10/1/2018	6/30/2019	9.90	All	Faculty Summer Salary
FIXED	10/1/2018	6/30/2019	4.30	All	No Eligibillity
FIXED	10/1/2018	6/30/2019	41.50	All	Other Academic
FIXED	10/1/2018	6/30/2019	12.30	All	Partial Benefit Eligibility
FIXED	10/1/2018	6/30/2019	33.10	All	Police & Fire
FIXED	10/1/2018	6/30/2019	22.80	All	Post Doc
FIXED	10/1/2018	6/30/2019	44.90	All	Staff Exempt
FIXED	10/1/2018	6/30/2019	58.10	All	Staff Non- Exempt
FIXED	10/1/2018	6/30/2019	1.90	All	Student
FIXED	7/1/2019	6/30/2020	35.90	All	Faculty
FIXED	7/1/2019	6/30/2020	10.00	All	Faculty Summer Salary
FIXED	7/1/2019	6/30/2020	4.30	All	No Eligibility
FIXED	7/1/2019	6/30/2020	42.40	All	Other Academic
FIXED	7/1/2019	6/30/2020	12.60	All	Partial Benefit Eligibility
FIXED	7/1/2019	6/30/2020	33.80	All	Police & Fire
FIXED	7/1/2019	6/30/2020	23.60	All	Post Doc
FIXED	7/1/2019	6/30/2020	45.80	All	Staff Exempt
FIXED	7/1/2019	6/30/2020	59.50	All	Staff Non- Exempt
FIXED	7/1/2019	6/30/2020	1.90	All	Student

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

PROV.	7/1/2020	6/30/2021	Use same rates and conditions as those cited for fiscal year ending June 30, 2020.
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** DESCRIPTION OF FRINGE BENEFITS RATE BASE:

Salaries and wages excluding vacation and catastrophic leave.

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

Effective 10/01/2018, the fringe benefits (other than Student Tuition Remission and Graduate Student Health Insurance) are charged using the rate (s) listed in the Fringe Benefits section of this Agreement. The fringe benefit(s) included in the rate(s) are listed below.

Effective 10/01/2018, the following fringe benefits are included in the fringe benefit rate(s):

BENEFITS ADMINISTRATION; MEDICAL, DENTAL, DISABILITY, LIFE, UNEMPLOYMENT, VISION, AND WORKERS' COMPENSATION INSURANCE; EMPLOYEE SUPPORT PROGRAMS; FICA AND MEDICARE TAXES; INCENTIVE AWARD PROGRAMS; RETIREE HEALTH BENEFITS; AND RETIREMENT BENEFITS.

This organization charges the actual costs of Student Tuition Remission and Graduate Student Health Insurance per employee direct to Federal projects for all Student employees whose salary and wages is charged direct to Federal projects.

Prior to 10/01/2018, this organization charged the actual costs of each fringe benefit per employee direct to Federal projects for all employees whose salary and wages is charged direct to Federal projects. Prior to 10/01/2018, the directly claimed fringe benefits are listed below.

OASDI, FICA, RETIREMENT PLAN, HEALTH/DENTAL/OPTICAL INSURANCE, WORKERS COMPENSATION, UNEMPLOYMENT INSURANCE, NON-INDUSTRIAL DISABILITY INSURANCE, LIFE INSURANCE, ANNUITANT HEALTH AND DENTAL INSURANCE, INCENTIVE AWARD PROGRAMS, EMPLOYEE SUPPORT PROGRAM, AND TUITION/FEE REMISSION OF CERTAIN STUDENT EMPLOYEES.

TREATMENT OF PAID ABSENCES

Vacation leave costs are charged on the accrual basis of accounting as an assessment to payroll. All other leave costs, including sick, holiday, and other leave costs (e.g., jury duty) are charged on the cash basis of accounting. Leave costs other than vacation are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims for the costs of these paid absences are not made. Leave costs are allocated to direct and/or indirect objectives on a prorated basis consistent with the allocation of the employee's salary and wages. Sabbatical leave costs are not charged to sponsored agreements.

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

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.

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.

DEFINITION OF EQUIPMENT

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.

NEXT PROPOSAL DUE DATE

A fringe benefits proposal based on actual costs for fiscal year ending 06/30/19, will be due no later than 12/31/19. An F&A proposal based on actual costs for fiscal year ending 06/30/20, will be due no later than 12/31/20.

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/5/2018

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 (UCSB) Santa Barbara Campus

(INSTITUTION)

(SIGNATURE)

Nathan Brostrom

(NAME)

EVP - Chief Financial Officer

(TITLE)

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Arif M. Karim -S

Digitally signed by Arif M. Karim -S
DN: c=US, o=U.S. Government, ou=HHS,
ou=PSC, ou=People, cn=Arif M. Karim -S,
0.9.2342.19200300.100.1.1=2000212895
Date: 2018.11.07 21:49:49 -06'00'

(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

11/5/2018

(DATE) 7012

HHS REPRESENTATIVE: Janet Turner

Telephone: (415) 437-7820

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2015 THROUGH JUNE 30, 2017

EXHIBIT A
PAGE 1 OF 4

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KITP	IPA'S*	UARC**
	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS			
BUILDING DEPRECIATION	7.1%		4.5%		9.8%	7.9%			7.1%
INTEREST	6.1%		3.4%		7.1%	4.1%			6.1%
EQUIPMENT DEPRECIATION	3.8%		1.3%		3.0%	0.1%			3.6%
OPERATIONS & MAINTENANCE	9.6%		7.0%		20.0%	7.6%			9.6%
LIBRARY	1.1%		12.3%		2.0%				1.1%
GENERAL ADMINISTRATION	4.5%		2.6%		3.8%		5.3%		4.5%
DEPARTMENTAL ADMINISTRATION	18.8%		12.0%		1.7%		9.4%		9.4%
SPONSORED PROJECTS ADMINISTRATION	2.5%		1.5%		3.1%		3.1%		2.5%
STUDENT SERVICES ADMINISTRATION	0.2%		9.9%		0.8%				0.2%
ADMINISTRATIVE COMPONENTS	26.0%	26.0%	26.0%	26.0%	9.4%	9.4%	17.8%	8.4%	16.6%
Total	53.5%	26.0%	54.5%	26.0%	51.3%	37.5%		8.4%	44.1%

* IPAs are agreements made under the Intergovernmental Personnel Act (IPA) Mobility Program.
** UARC University Affiliated Research Center

CONCUR:

SIGNATURE

EVP - Chief Financial Officer

TITLE

10/4/2017

DATE

* Reflects provisions of Appendix III to Part 200 of Uniform Guidance—Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHES),
C.F. dated December 26, 2013.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2017 THROUGH JUNE 30, 2018

EXHIBIT A
PAGE 2 OF 4

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KTP	IPA's*	UARC**
	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS			
BUILDING DEPRECIATION	7.4%		4.9%		9.8%		7.3%		7.4%
INTEREST	6.0%		3.6%		7.1%		2.4%		6.0%
EQUIPMENT DEPRECIATION	2.3%		0.9%		3.0%		0.1%		2.3%
OPERATIONS & MAINTENANCE	10.5%		6.7%		20.0%		9.9%		10.5%
UTILITY COST ADJUSTMENT	0.7%								
LIBRARY	1.1%		10.6%		2.0%				1.1%
GENERAL ADMINISTRATION	3.9%		2.9%		3.6%		5.3%	5.1%	3.9%
DEPARTMENTAL ADMINISTRATION	18.7%		11.6%		0.6%		9.4%		9.4%
SPONSORED PROJECTS ADMINISTRATION	3.3%		2.4%		4.3%		3.1%	4.3%	3.3%
STUDENT SERVICES ADMINISTRATION	0.1%		9.1%		0.9%				0.1%
ADMINISTRATIVE COMPONENTS	26.0%	26.0%	26.0%	26.0%	9.4%	9.4%	17.8%	9.4%	16.7%
Total	54.0%	26.0%	52.7%	26.0%	51.3%	9.4%	37.5%	9.4%	44.0%

* IPAs are agreements made under the Intergovernmental Personnel Act (IPA) Mobility Program.

** UARC: University Affiliated Research Center

CONCUR:

SIGNATURE

EVP - Chief Financial Officer

TITLE

DATE

Mark Zych

10/4/2017

* Reflects provisions of Appendix III to Part 200 of Uniform Guidance—Indirect (FSA) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs),
C.F.R. dated December 26, 2013.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2018 THROUGH JUNE 30, 2020

EXHIBIT A
PAGE 3 OF 4

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KITP	IPA's*	UARC**
	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS			
BUILDING DEPRECIATION	7.9%		4.9%		9.8%		7.3%		7.9%
INTEREST	6.0%		3.6%		7.1%		2.4%		6.0%
EQUIPMENT DEPRECIATION	2.3%		0.9%		3.0%		0.1%		2.3%
OPERATIONS & MAINTENANCE	11.0%		6.7%		20.0%		9.9%		11.0%
UTILITY COST ADJUSTMENT	0.7%								
LIBRARY	1.1%		10.6%		2.0%				1.1%
GENERAL ADMINISTRATION	3.9%		2.9%		3.6%		5.3%	5.1%	3.9%
DEPARTMENTAL ADMINISTRATION	18.7%		11.6%		0.6%		9.4%		9.4%
SPONSORED PROJECTS ADMINISTRATION	3.3%		2.4%		4.3%		3.1%	4.3%	3.3%
STUDENT SERVICES ADMINISTRATION	0.1%		9.1%		0.9%				0.1%
ADMINISTRATIVE COMPONENTS	26.0%	26.0%	26.0%	26.0%	9.4%	9.4%	17.8%	9.4%	16.7%
Total	55.0%	26.0%	52.7%	26.0%	51.3%	9.4%	37.5%	9.4%	45.0%

* IPAs are agreements made under the Intergovernmental Personnel Act (IPA) Mobility Program.
** UARC University Affiliated Research Center

CONCUR:

SIGNATURE Mark Zisk
EVP - Chief Financial Officer
TITLE
DATE 10/4/2017

* Reflects provisions of Appendix III to Part 200 of Uniform Guidance—Indirect (FAA) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (DHEx),
C.A. dated December 26, 2013.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2020 THROUGH JUNE 30, 2021

EXHIBIT A
PAGE 4 OF 4

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KITP	IPA's*	UARC**
	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS	ON- CAMPUS	OFF- CAMPUS			
BUILDING DEPRECIATION	8.0%		4.9%		9.8%		7.3%		8.0%
INTEREST	6.0%		3.6%		7.1%		2.4%		6.0%
EQUIPMENT DEPRECIATION	2.4%		0.9%		3.0%		0.1%		2.4%
OPERATIONS & MAINTENANCE	11.2%		6.7%		20.0%		9.9%		11.2%
UTILITY COST ADJUSTMENT	0.7%								
LIBRARY	1.2%		10.6%		2.0%				1.2%
GENERAL ADMINISTRATION	3.9%		2.9%		3.6%		5.3%	5.1%	3.9%
DEPARTMENTAL ADMINISTRATION	18.7%		11.5%		0.6%		9.4%		9.4%
SPONSORED PROJECTS ADMINISTRATION	3.3%		2.4%		4.3%		3.1%	4.3%	3.3%
STUDENT SERVICES ADMINISTRATION	0.1%		9.1%		0.9%				0.1%
ADMINISTRATIVE COMPONENTS									
	26.0%	26.0%	26.0%	26.0%	9.4%	9.4%	17.8%	9.4%	16.7%
Total	55.5%	26.0%	52.7%	26.0%	51.3%	9.4%	37.5%	9.4%	45.5%

* IPAs are agreements made under the Intergovernmental Personnel Act (IPA) Mobility Program.
 ** UARC University Affiliated Research Center

CONCUR:

SIGNATURE

EVP - Chief Financial Officer

TITLE

DATE

W. L. Gosh

10/4/2017

* Reflects provisions of Appendix III to Part 200 of Uniform Guidance—Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs),
 C.F. dated December 25, 2013.