

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: DATE: 11/15/2011
 ORGANIZATION: FILING REF.: The preceding
 University of California (UCSB) Santa agreement was dated
 Barbara Campus 09/11/2006

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)
	<u>EFFECTIVE PERIOD</u>			
	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>
				<u>APPLICABLE TO</u>
PRED.	07/01/2010	06/30/2012	51.50	On-Campus
PRED.	07/01/2012	06/30/2014	53.00	On-Campus
PRED.	07/01/2014	06/30/2015	53.50	On-Campus
PRED.	07/01/2010	06/30/2015	26.00	Off-Campus
PRED.	07/01/2010	06/30/2012	61.70	On-Campus
PRED.	07/01/2012	06/30/2015	54.50	On-Campus
PRED.	07/01/2010	06/30/2015	26.00	Off-Campus
PRED.	07/01/2010	06/30/2012	45.90	On-Campus
PRED.	07/01/2012	06/30/2015	51.30	On-Campus
PRED.	07/01/2010	06/30/2012	14.00	Off-Campus
PRED.	07/01/2012	06/30/2015	9.40	Off-Campus
PRED.	07/01/2010	06/30/2012	32.50	All
PRED.	07/01/2012	06/30/2015	37.50	All
PRED.	07/01/2010	06/30/2012	10.40	Off-Campus
PRED.	07/01/2012	06/30/2015	8.40	Off-Campus
PRED.	07/01/2010	06/30/2012	43.20	On-Campus
PRED.	07/01/2012	06/30/2014	43.60	On-Campus
PRED.	07/01/2014	06/30/2015	44.10	On-Campus

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2015	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, 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, 2015.

ORGANIZATION: University of California (UCSB) Santa Barbara
Campus

AGREEMENT DATE: 11/15/2011

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

This organization charges the actual cost of each fringe benefit per employee direct to Federal projects for all employees whose salary and wages is charged direct to Federal projects. However, for the purpose of budgeting fringe benefit costs under project proposals, the organization uses an average fringe benefit rate which is applied to budgeted salaries and wages.

The organization's fringe benefits are:

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.

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

ORGANIZATION: University of California (UCSB) Santa Barbara Campus
AGREEMENT DATE: 11/15/2011

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 Office of Management and Budget Circular A-21 Circular, and should be applied to grants, contracts and other agreements covered by this Circular, 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)

Peter J. Taylor

(NAME)

Chief Financial Officer

(TITLE)

12/6/2011

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

(SIGNATURE)

Wallace Chan

(NAME)

Director, Western Field Office

(TITLE)

11/15/2011

(DATE) 0230

HHS REPRESENTATIVE: Cora Coleman

Telephone: (415) 437-7820

EXHIBIT A
PAGE 1 OF 3

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2010 THROUGH JUNE 30, 2012

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KIP	IPA's*	UARC**
	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS			
BUILDING DEPRECIATION									
INTEREST	6.4%		3.7%		4.4%		4.6%		6.4%
EQUIPMENT DEPRECIATION	5.4%		2.0%		3.4%		0.1%		5.4%
OPERATIONS & MAINTENANCE	3.4%		3.3%		2.4%		6.8%		3.4%
LIBRARY	8.7%		9.9%		17.7%		6.8%		8.7%
GENERAL ADMINISTRATION	1.6%		16.8%		4.0%				1.6%
DEPARTMENTAL ADMINISTRATION	5.7%		2.7%		4.3%		6.8%	6.8%	5.7%
SPONSORED PROJECTS ADMINISTRATION	16.7%		10.0%		4.8%		3.9%		8.4%
STUDENT SERVICES ADMINISTRATION	3.0%		1.5%		2.7%		3.5%	3.6%	3.0%
ADMINISTRATIVE COMPONENTS	0.6%		11.8%		2.2%				0.6%
	26.0%	26.0%	26.0%	26.0%	14.0%	14.0%	14.2%	10.4%	17.7%
Total	51.5%	26.0%	61.7%	26.0%	45.9%	14.0%	32.5%	10.4%	43.2%

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

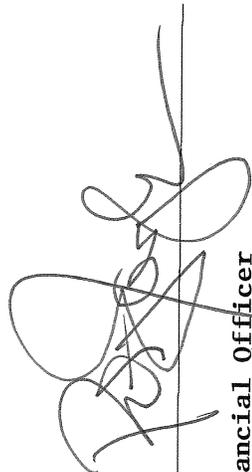
CONCUR:

SIGNATURE

Chief Financial Officer

TITLE

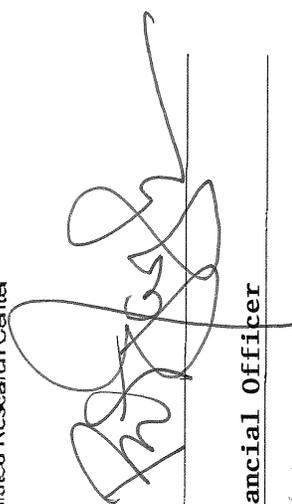
DATE


12/6/2011

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2012 THROUGH JUNE 30, 2014

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KTP	IPA's*	UARC**
	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS			
BUILDING DEPRECIATION									
INTEREST									
EQUIPMENT DEPRECIATION									
OPERATIONS & MAINTENANCE									
LIBRARY									
GENERAL ADMINISTRATION	4.5%		2.6%		3.8%		5.3%	4.5%	
DEPARTMENTAL ADMINISTRATION	18.8%		12.0%		1.7%		9.4%	9.4%	6.9%
SPONSORED PROJECTS ADMINISTRATION	2.5%		1.5%		3.1%		3.1%	2.5%	5.9%
STUDENT SERVICES ADMINISTRATION	0.2%		9.9%		0.8%			0.2%	3.5%
ADMINISTRATIVE COMPONENTS									9.6%
	26.0%	26.0%	26.0%	26.0%	9.4%	9.4%	17.8%	8.4%	1.1%
Total	53.0%	26.0%	54.5%	26.0%	51.3%	37.5%	8.4%	43.6%	

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

CONCUR: 
 SIGNATURE: _____
 TITLE: Chief Financial Officer
 DATE: 12/6/2011

Administrative Components Limited to 26.0% in accordance with OMB A-21, Dated July 26, 1993.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
FACILITIES AND ADMINISTRATIVE RATES FOR THE PERIOD
JULY 1, 2014 THROUGH JUNE 30, 2015

	ORGANIZED RESEARCH		INSTRUCTION		OTHER SPON ACTIVITIES		KITP	IPAS*	UARC**
	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS	ON-CAMPUS	OFF-CAMPUS			
BUILDING DEPRECIATION									
INTEREST	7.1%		4.5%		9.8%		7.9%		7.1%
EQUIPMENT DEPRECIATION	6.1%		3.4%		7.1%		4.1%		6.1%
OPERATIONS & MAINTENANCE	3.6%		1.3%		3.0%		0.1%		3.6%
LIBRARY	9.6%		7.0%		20.0%		7.6%		9.6%
GENERAL ADMINISTRATION	1.1%		12.3%		2.0%				1.1%
DEPARTMENTAL ADMINISTRATION	4.5%	2.6%			3.8%	5.3%		4.5%	
SPONSORED PROJECTS ADMINISTRATION	18.8%	12.0%			1.7%	9.4%		9.4%	
STUDENT SERVICES ADMINISTRATION	2.5%	1.5%			3.1%	3.1%		2.5%	
ADMINISTRATIVE COMPONENTS	0.2%	9.9%			0.8%			0.2%	
	26.0%	26.0%	26.0%	26.0%	9.4%	17.8%	19.7%	8.4%	16.6%
					9.4%				27.5%
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

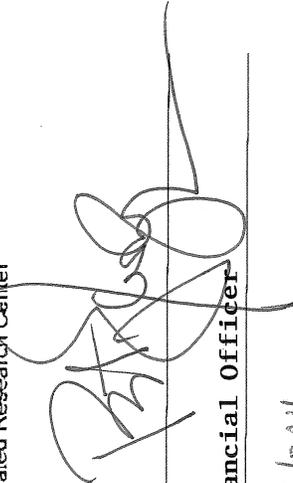
CONCUR:

SIGNATURE

Chief Financial Officer

TITLE

DATE



12/6/2011

Administrative Components Limited to 26.0% in accordance with OMB A-21, Dated July 26, 1993.