

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN:
 ORGANIZATION:
 University of California (UCSC) Santa
 Cruz Campus
 , CA

DATE:07/12/2012
 FILING REF.: The preceding
 agreement was dated
 08/07/2006

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.	07/01/2011	06/30/2012	51.50	On-Campus	Org Res (1)
PRED.	07/01/2012	06/30/2013	52.00	On-Campus	Org Res (1)
PRED.	07/01/2013	06/30/2014	52.50	On-Campus	Org Res (1)
PRED.	07/01/2014	06/30/2015	53.00	On-Campus	Org Res (1)
PRED.	07/01/2015	06/30/2016	53.50	On-Campus	Org Res (1)
PRED.	07/01/2016	06/30/2017	54.00	On-Campus	Org Res (1)
PRED.	07/01/2011	06/30/2017	26.00	Off-Campus	Org Res (1)
PRED.	07/01/2011	06/30/2012	55.00	On-Campus	Instruction
PRED.	07/01/2012	06/30/2017	60.00	On-Campus	Instruction
PRED.	07/01/2011	06/30/2017	26.00	Off-Campus	Instruction
PRED.	07/01/2011	06/30/2012	28.60	On-Campus	Other Spons Act
PRED.	07/01/2012	06/30/2017	25.10	On-Campus	Other Spons Act
PRED.	07/01/2011	06/30/2012	15.10	Off-Campus	Other Spons Act
PRED.	07/01/2012	06/30/2017	13.70	Off-Campus	Other Spons Act
PRED.	07/01/2011	06/30/2017	17.80	NASA AMES	UARC (2)
PRED.	07/01/2011	06/30/2017	9.00	Off-Campus	IPA (3)

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2017	Until Amended		(4)	

*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) Organized Research
- (2) NASA University Affiliated Research Center
- (3) Intergovernmental Personnel Act
- (4) Use same rates and conditions as those cited for fiscal year ending June 30, 2017.

ORGANIZATION: University of California (UCSC) Santa Cruz Campus

AGREEMENT DATE: 07/12/2012

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.

OFF-CAMPUS DEFINITION:

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/PARTIALLY ON-CAMPUS OR OFF-CAMPUS:

Projects conducted entirely on-campus or entirely off-campus will be applied the on-campus or off-campus rate respectively.

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.

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.

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.

ORGANIZATION: University of California (UCSC) Santa Cruz Campus

AGREEMENT DATE: 07/12/2012

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 (UCSC) Santa Cruz Campus

(INSTITUTION)

(SIGNATURE)

Peter J. Taylor

(NAME)

Chief Financial Officer

(TITLE)

8.6.12

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

(SIGNATURE)

Arif Karim

(NAME)

Director, Western Field Office

(TITLE)

7/12/2012

(DATE) 0231

HHS REPRESENTATIVE:

Helen Fung

Telephone:

(415) 437-7820

UNIVERSITY OF CALIFORNIA, SANTA CRUZ
 FACILITIES AND ADMINISTRATIVE COST RATES
 FOR THE PERIOD JULY 1, 2012 THROUGH JUNE 30, 2017

	ORGANIZED RESEARCH			ORGANIZED RESEARCH			ORGANIZED RESEARCH		
	JULY 1, 2011 THROUGH JUNE 30, 2012			JULY 1, 2012 THROUGH JUNE 30, 2013			JULY 1, 2013 THROUGH JUNE 30, 2014		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING DEPRECIATION	4.9%			7.2%			7.3%		
EQUIPMENT DEPRECIATION	2.3%			2.0%			2.1%		
INTEREST	2.8%			6.2%			6.3%		
OPERATIONS & MAINTENANCE	13.9%			8.5%			8.6%		
LIBRARY	1.6%			2.1%			2.2%		
GENERAL ADMINISTRATION	7.5%			6.6%			6.6%		
DEPARTMENT ADMINISTRATION	13.5%			15.8%			15.8%		
SPONSORED PROJECT ADMINISTRATION	3.8%			2.4%			2.4%		
STUDENT SERVICE ADMINISTRATION	1.2%			1.2%			1.2%		
ADMINISTRATION COMPONENTS	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%
TOTAL	51.5%	26.0%		52.0%	26.0%		52.5%	26.0%	

	ORGANIZED RESEARCH			ORGANIZED RESEARCH			ORGANIZED RESEARCH		
	JULY 1, 2014 THROUGH JUNE 30, 2015			JULY 1, 2015 THROUGH JUNE 30, 2016			JULY 1, 2016 THROUGH JUNE 30, 2017		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING DEPRECIATION	7.4%			7.5%			7.6%		
EQUIPMENT DEPRECIATION	2.2%			2.3%			2.4%		
INTEREST	6.4%			6.5%			6.6%		
OPERATIONS & MAINTENANCE	8.7%			8.8%			8.9%		
LIBRARY	2.3%			2.4%			2.5%		
GENERAL ADMINISTRATION	6.6%			6.6%			6.6%		
DEPARTMENT ADMINISTRATION	15.8%			15.8%			15.8%		
SPONSORED PROJECT ADMINISTRATION	2.4%			2.4%			2.4%		
STUDENT SERVICE ADMINISTRATION	1.2%			1.2%			1.2%		
ADMINISTRATION COMPONENTS	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%
TOTAL	53.0%	26.0%		53.5%	26.0%		54.0%	26.0%	

	INSTRUCTION & DEPARTMENTAL RESEARCH			INSTRUCTION & DEPARTMENTAL RESEARCH		
	JULY 1, 2011 THROUGH JUNE 30, 2012			JULY 1, 2012 THROUGH JUNE 30, 2017		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING DEPRECIATION	2.5%			6.8%		
EQUIPMENT DEPRECIATION	1.0%			0.6%		
INTEREST	1.9%			4.9%		
OPERATIONS & MAINTENANCE	12.8%			9.0%		
LIBRARY	10.8%			12.7%		
GENERAL ADMINISTRATION	4.5%			2.7%		
DEPARTMENT ADMINISTRATION	12.0%			8.6%		
SPONSORED PROJECT ADMINISTRATION	3.9%			1.0%		
STUDENT SERVICE ADMINISTRATION	5.6%			13.7%		
ADMINISTRATION COMPONENTS	26.0%	26.0%	26.0%	26.0%	26.0%	26.0%
TOTAL	55.0%	26.0%		60.0%	26.0%	

ADMINISTRATIVE COMPONENTS ARE CAPPED AT 26.0% IN ACCORDANCE WITH OMB A-21, DATED JULY 28, 1993.

CONCUR:



(SIGNATURE)

Chief Financial Officer

TITLE

8.6.12

DATE

UNIVERSITY OF CALIFORNIA, SANTA CRUZ
 FACILITIES AND ADMINISTRATIVE COST RATES
 FOR THE PERIOD JULY 1, 2012 THROUGH JUNE 30, 2017

	OTHER SPONSORED ACTIVITIES			OTHER SPONSORED ACTIVITIES		
	JULY 1, 2011 THROUGH JUNE 30, 2012			JULY 1, 2012 THROUGH JUNE 30, 2017		
		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS
BUILDING DEPRECIATION		1.1%			1.8%	
EQUIPMENT DEPRECIATION		1.4%			0.2%	
INTEREST		0.2%			1.3%	
OPERATIONS & MAINTENANCE		5.3%			5.7%	
LIBRARY		5.5%			2.4%	
GENERAL ADMINISTRATION	5.9%			6.5%		
DEPARTMENT ADMINISTRATION	2.2%			2.2%		
SPONSORED PROJECT ADMINISTRATION	4.0%			3.1%		
STUDENT SERVICE ADMINISTRATION	2.0%			1.2%		
ADMINISTRATION COMPONENTS	15.1%	15.1%	15.1%	13.7%	13.7%	13.7%
TOTAL		28.6%	15.1%		25.1%	13.7%

	NASA UARC*			NASA UARC*			IPA		
	JULY 1, 2011 THROUGH JUNE 30, 2012			JULY 1, 2012 THROUGH JUNE 30, 2017			JULY 1, 2011 THROUGH JUNE 30, 2017		
		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS
GENERAL ADMINISTRATION	7.5%			7.9%			6.6%		
DEPARTMENT ADMINISTRATION	6.1%			6.8%			-		
SPONSORED PROJECT ADMINISTRATION	3.8%			3.1%			2.4%		
	0.4%			-			-		
ADMINISTRATION COMPONENTS	17.8%	17.8%	17.8%	17.8%	17.8%	17.8%	9.0%	9.0%	9.0%
TOTAL		17.8%	17.8%		17.8%	17.8%		9.0%	9.0%

* NASA University Affiliated Research Center (UARC) at NASA Ames Research Center

ADMINISTRATIVE COMPONENTS ARE CAPPED AT 26.0% IN ACCORDANCE WITH OMB A-21, DATED JULY 28, 1993.

CONCUR:



(SIGNATURE)

Chief Financial Officer

TITLE

8-6-12

DATE