

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN:	DATE:10/24/2019
ORGANIZATION:	FILING REF.: The preceding
University of California (UCB)	agreement was dated
Berkeley Campus	12/06/2018
Office of President	
111 Franklin St., 10th Floor	
Oakland, CA 94607-5200	

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>
FINAL	07/01/2016	06/30/2019	57.00	On-Campus	Org Res (1)
PRED.	07/01/2019	06/30/2020	57.00	On-Campus	Org Res (1)
PRED.	07/01/2020	06/30/2021	59.00	On-Campus	Org Res (1)
PRED.	07/01/2021	06/30/2022	60.50	On-Campus	Org Res (1)
PRED.	07/01/2016	06/30/2022	26.00	Off-Campus	Org Res (1)
FINAL	07/01/2016	06/30/2019	50.50	On-Campus	Instruction
PRED.	07/01/2019	06/30/2022	48.00	On-Campus	Instruction
PRED.	07/01/2016	06/30/2022	26.00	Off-Campus	Instruction
FINAL	07/01/2016	06/30/2019	40.00	On-Campus	Other Spons Act
PRED.	07/01/2019	06/30/2022	40.00	On-Campus	Other Spons Act
PRED.	07/01/2016	06/30/2022	16.50	Off-Campus	Other Spons Act
FINAL	07/01/2016	06/30/2019	40.00	On-Campus	SSL (2)
PRED.	07/01/2019	06/30/2022	34.00	On-Campus	SSL (2)
FINAL	07/01/2016	06/30/2019	24.50	Off-Campus	SSL (2)
PRED.	07/01/2019	06/30/2022	24.00	Off-Campus	SSL (2)
PRED.	07/01/2016	06/30/2022	8.00	Off-Campus	IPAA (3)

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2022	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2022.

*BASE

Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials, supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). 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, participant support costs and the portion of each subaward in excess of \$25,000.

- (1) Organized Research
- (2) Space Sciences Laboratory (Research)
- (3) Intergovernmental Personnel Act Agreement

ORGANIZATION: University of California (UCB) Berkeley Campus

AGREEMENT DATE: 10/24/2019

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	7/1/2019	6/30/2020	36.50	All	Academic
FIXED	7/1/2019	6/30/2020	17.40	All	Limited Benefits
FIXED	7/1/2019	6/30/2020	5.60	All	No Eligibility
FIXED	7/1/2019	6/30/2020	45.50	All	Staff
FIXED	7/1/2019	6/30/2020	2.40	All	Student
PROV.	7/1/2020	6/30/2021			Use same rates and conditions as those cited for fiscal year ending June 30, 2020.

** DESCRIPTION OF FRINGE BENEFITS RATE BASE:

Salaries and wages excluding vacation and catastrophic leave.

ORGANIZATION: University of California (UCB) Berkeley Campus

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SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

Beginning 07/01/19, fringe benefits based on the UC Path methodology are charged using the rate(s) listed in the Fringe Benefits Section of this Agreement. The fringe benefits included in the rate(s) are:

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

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

Prior to 07/01/19, fringe benefits based on the UC Berkeley campus methodology were charged using the rate(s) listed in the Fringe Benefits Section of the prior Agreements. The fringe benefits included in the rate(s) are:

FICA, DISABILITY, LIFE INSURANCE, HEALTH INSURANCE, RETIREMENT, UNEMPLOYMENT AND WORKERS COMPENSATION.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences 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 are not made for the cost of these paid absences.

ORGANIZATION: University of California (UCB) Berkeley Campus

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DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property (including information technology systems) having a useful life of more than one year and an acquisition cost 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.

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.

NEXT PROPOSAL DUE DATE

Your next F&A proposal based on actual costs for the fiscal year ending 6/30/21 is due in our office by 12/31/21. Your next fringe benefit rate proposal based on actual costs for the fiscal year ending 6/30/19 is due in our office by 12/31/19.

ORGANIZATION: University of California (UCB) Berkeley Campus

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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 (UCB) Berkeley Campus

(INSTITUTION)

Peggy Arrivas
(SIGNATURE)

Peggy Arrivas

(NAME)

Associate Vice President, Systemwide Controller

(TITLE)

11/8/19
(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Arif M. Karim -S
(SIGNATURE)
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,
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Date: 2019.10.26 16:32:55 -05'00'

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

10/24/2019

(DATE) 7005

HHS REPRESENTATIVE: Patrick Smith

Telephone: (415) 437-7820

University of California - Berkeley

EXHIBIT A

**INDIRECT COST RATES FOR THE PERIOD
JULY 1, 2016 THROUGH JUNE 30, 2022:**

	ORGANIZED RESEARCH 7/1/16 to 6/30/19			INSTRUCTION 7/1/16 to 6/30/19			OTHER SPONSORED ACTIVITIES 7/1/16 to 6/30/19			SPACE SCIENCE LAB 7/1/16 to 6/30/19		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING	9.0			3.0			5.0			2.9		
EQUIPMENT	2.0			0.3			0.3			0.3		
O&M	12.1			8.0			12.0			6.0		
INTEREST	5.1			1.2			2.2			3.3		
LIBRARY	2.8			12.0			4.0			3.0		
STUDENT SVS.	0.2			11.0			0.6			0.0		
GEN. ADMIN.	6.1			4.0			6.2			6.3		
DEPT. ADMIN.	17.0			9.0			6.5			14.7		
SPON PROJ ADMIN	2.7			2.0			3.2			3.5		
ADMIN COMPONENTS	26.0	26.0	26.0	26.0	26.0	26.0	16.5	16.5	16.5	24.5	24.5	24.5
TOTAL		57.0	26.0		50.5	26.0		40.0	16.5		40.0	24.5

	ORGANIZED RESEARCH 7/1/19 to 6/30/20			ORGANIZED RESEARCH 7/1/20 to 6/30/21			ORGANIZED RESEARCH 7/1/21 to 6/30/22			SPACE SCIENCE LAB 7/1/19 to 6/30/22		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING	8.5			9.0			9.5			1.7		
EQUIPMENT	3.0			3.0			3.0			0.2		
O&M	12.2			13.0			14.0			4.3		
INTEREST	5.1			5.5			5.5			1.2		
LIBRARY	2.2			2.5			2.5			2.6		
STUDENT SVS.	0.1			0.1			0.1			0.1		
GEN. ADMIN.	6.0			6.0			6.0			8.5		
DEPT. ADMIN.	11.7			11.7			11.7			5.5		
SPON PROJ ADMIN	8.2			8.2			8.2			9.9		
ADMIN COMPONENTS	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0	24.0	24.0	24.0
TOTAL		57.0	26.0		59.0	26.0		60.5	26.0		34.0	24.0

	INSTRUCTION 7/1/19 to 6/30/22			OTHER SPONSORED ACTIVITIES 7/1/19 to 6/30/22			INTERGOVT. PERSONNEL ACT 7/1/16 to 6/30/22		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING	4.5			5.0					
EQUIPMENT	0.3			0.3					
O&M	6.5			9.0					
INTEREST	1.7			2.2					
LIBRARY	9.0			7.0					
STUDENT SVS.	12.0			0.2					
GEN. ADMIN.	3.0			5.3			5.0		
DEPT. ADMIN.	6.0			3.5					
SPON PROJ ADMIN	5.0			7.5			3.0		
ADMIN COMPONENTS	26.0	26.0	26.0	16.5	16.5	16.5	8.0	8.0	8.0
TOTAL		48.0	26.0		40.0	16.5		8.0	8.0

CONCUR:

Peggy Arrivas
SIGNATURE

Associate Vice President, Systemwide Controller
TITLE

11/8/19
DATE