

**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN: 1146013200K4

DATE:01/08/2018

ORGANIZATION:

FILING REF.: The preceding agreement was dated 02/23/2015

RFSUNY-SUNY Polytechnic Institute  
(Formerly: RFSUNY-SUNY Institute of Technology At Utica/Rome)

35 State Street  
Albany, NY 12207-

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.	07/01/2017	06/30/2022	58.00	On-Campus	Utica Campus (1)
PRED.	07/01/2017	06/30/2022	23.00	Off-Campus	Utica Campus (1) (2)
PRED.	07/01/2017	06/30/2022	53.50	On-Campus	CNSE Research
PRED.	07/01/2017	06/30/2022	23.00	Off-Campus	CNSE Research (2)
PRED.	07/01/2017	06/30/2022	56.00	On-Campus	CNSE Instruction
PRED.	07/01/2017	06/30/2022	26.00	Off-Campus	CNSE Instruction (2)
PROV.	07/01/2022	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2022.

\*BASE

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Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and 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, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

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AGREEMENT DATE: 1/8/2018

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**SECTION I: FRINGE BENEFIT RATES\*\***

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<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FIXED	7/1/2017	6/30/2018	40.00	All	Regular Employees
FIXED	7/1/2017	6/30/2018	14.00	All	Summer Employees
FIXED	7/1/2017	6/30/2018	14.00	All	Graduate Students
FIXED	7/1/2017	6/30/2018	5.00	All	Undergraduate Student
PROV.	7/1/2018	6/30/2020	41.00	All	Regular Employees
PROV.	7/1/2018	6/30/2020	14.00	All	Summer Employees
PROV.	7/1/2018	6/30/2020	14.00	All	Graduate Students
PROV.	7/1/2018	6/30/2020	5.00	All	Undergraduate Student

\*\* DESCRIPTION OF FRINGE BENEFITS RATE BASE:

Salaries and wages.

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**SECTION II: SPECIAL REMARKS**

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TREATMENT OF FRINGE BENEFITS:

The fringe benefits are charged using the rate(s) listed in the Fringe Benefits Section of this Agreement. The fringe benefits included in the rate(s) are listed below.

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1. These Facilities and Administrative cost rates apply when grants or contracts are awarded jointly to Research Foundation of SUNY and SUNY Polytechnic Institute.

2. For all activities performed in facilities not owned or leased by the institution or to which rent is directly allocated to the project(s), the off-campus rate will apply. Grants or contracts will not be subject to more than one Facilities and Administrative cost rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.

3. The fringe benefit costs listed below are reimbursed to the grantee through the direct fringe benefit rate applicable to Research Foundation employees:

- |                               |                           |
|-------------------------------|---------------------------|
| A. Retiree Health Insurance   | G. Group Life Insurance   |
| B. Retirement Expense         | H. Long Term Dis. Ins.    |
| C. Social Security            | I. Workers' Compensation  |
| D. NYS Unemployment Insurance | J. Dental Insurance       |
| E. NYS Disability Insurance   | K. Vacation & Sick Leave* |
| F. Group Health Insurance     |                           |

\*This component consists of payments for accrued unused vacation leave made in accordance with the Research Foundation Leave Policy to employees who have terminated, changed accruing status, or transferred. It also includes payments for absences over 30 calendar-days that are charged to sick leave.

The fringe benefit costs for State University of New York employees are charged utilizing the New York State fringe benefit rate for federal funds. This approved rate is contained in the New York State-Wide Cost Allocation Plan. That rate includes the following costs:

- |                           |                           |
|---------------------------|---------------------------|
| A. Social Security        | E. Workers' Compensation  |
| B. Retirement             | F. Survivors' Benefits    |
| C. Health Insurance       | G. Dental Insurance       |
| D. Unemployment Insurance | H. Employee Benefit Funds |

4. 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 for the cost of these paid absences are not made.

\*\* A proposal based on actual costs for fiscal year ending June 30, 2021, will be due no later than December 31, 2021.

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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 the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

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**SECTION III: GENERAL**

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**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.

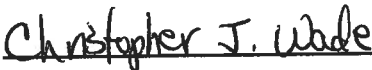
BY THE INSTITUTION:

RFSUNY-SUNY Polytechnic Institute (Formerly: RFSUNY-SUNY Institute  
of Technology At Utica/Rome)

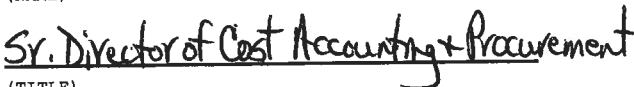
(INSTITUTION)



(SIGNATURE)



(NAME)



(TITLE)



(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Darryl W. Mayes - S

Digitally signed by Darryl W. Mayes - S  
DN: c=US, o=U.S. Government, ou=HHS, ou=PSC,  
ou=People, 0.9.2342.19200300.100.1.1=2000131669,  
cn=Darryl W. Mayes - S  
Date: 2018.01.19 10:46:27 -0500

(SIGNATURE)

Darryl W. Mayes

(NAME)

Deputy Director, Cost Allocation Services

(TITLE)

1/8/2018

(DATE) 5721

HHS REPRESENTATIVE:

Michael Stanco

Telephone:

(212) 264-2069

## Components of Published Facilities and Administrative Cost Rate

**Institution:** RFSUNY and SUNY Polytechnic Institute  
**FY Covered by Rate:** Fiscal Year Ending 6/30/19 - 6/30/22  
Predetermined Rate

<u>Rate Component</u>	<u>FY 19 - 22</u>
1. a. Depreciation - Bldgs & Improvements	<u>0.30%</u>
b. Depreciation - Moveable Equipment	<u>7.50%</u>
2. Interest	<u>0.10%</u>
3. Operation & Maintenance	<u>20.60%</u>
4. General Administration	<u>1.60% *</u>
5. Departmental Administration	<u>8.70% *</u>
6. Sponsored Projects Administration	<u>12.70% *</u>
7. Library	<u>2.00%</u>
8. Student Services	<u>0.00% *</u>
<b>Published On-Campus Rate - <u>CNSE Research</u></b>	<b><u>53.5%</u></b>

\* Reflects provisions of Uniform Guidance, Appendix III to Part 200, Section C.8.

Name : Chris J. Wade

Title: Sr. Director of Cost Accounting & Procurement

Date: March 2, 2018



# Components of Published Facilities and Administrative Cost Rate

**Institution:** RFSUNY and SUNY Polytechnic Institute  
**FY Covered by Rate:** Fiscal Year Ending 6/30/19 - 6/30/22  
Predetermined Rate

<u>Rate Component</u>	<u>FY 19 - 22</u>
1. a. Depreciation - Bldgs & Improvements	<u>0.00%</u>
b. Depreciation - Moveable Equipment	<u>0.00%</u>
2. Interest	<u>0.00%</u>
3. Operation & Maintenance	<u>0.00%</u>
4. General Administration	<u>1.60% *</u>
5. Departmental Administration	<u>8.70% *</u>
6. Sponsored Projects Administration	<u>12.70% *</u>
7. Library	<u>0.00%</u>
8. Student Services	<u>0.00% *</u>
<b>Published Off-Campus Rate - <u>CNSE Research</u></b>	<b><u>23.0%</u></b>

\* Reflects provisions of Uniform Guidance, Appendix III to Part 200, Section C.8.

Name : Quinn A Wade

Title: Sr. Director of Cost Accounting & Procurement

Date: March 2, 2018

## Components of Published Facilities and Administrative Cost Rate

**Institution:** RFSUNY and SUNY Polytechnic Institute  
**FY Covered by Rate:** Fiscal Year Ending 6/30/19 - 6/30/22  
Predetermined Rate

<u>Rate Component</u>	<u>FY 19 - 22</u>
1. a. Depreciation - Bldgs & Improvements	<u>1.90%</u>
b. Depreciation - Moveable Equipment	<u>2.40%</u>
2. Interest	<u>0.00%</u>
3. Operation & Maintenance	<u>10.00%</u>
4. General Administration	<u>0.00% *</u>
5. Departmental Administration	<u>26.00% *</u>
6. Sponsored Projects Administration	<u>0.00% *</u>
7. Library	<u>15.70%</u>
8. Student Services	<u>0.00% *</u>
<b>Published On-Campus Rate - <u>CNSE Instruction</u></b>	<b><u>56.0%</u></b>

\* Reflects provisions of Uniform Guidance, Appendix III to Part 200, Section C.8.

Name : Quinn J. Wade

Title: Sr. Director of Cost Accounting & Procurement

Date: March 2, 2018

## Components of Published Facilities and Administrative Cost Rate

**Institution:** RFSUNY and SUNY Polytechnic Institute  
**FY Covered by Rate:** Fiscal Year Ending 6/30/19 - 6/30/22  
Predetermined Rate

<u>Rate Component</u>	<u>FY 19 - 22</u>
1. a. Depreciation - Bldgs & Improvements	<u>0.00%</u>
b. Depreciation - Moveable Equipment	<u>0.00%</u>
2. Interest	<u>0.00%</u>
3. Operation & Maintenance	<u>0.00%</u>
4. General Administration	<u>0.00% *</u>
5. Departmental Administration	<u>26.00% *</u>
6. Sponsored Projects Administration	<u>0.00% *</u>
7. Library	<u>0.00%</u>
8. Student Services	<u>0.00% *</u>
<b>Published Off-Campus Rate - <u>CNSE Instruction</u></b>	<b><u>26.0%</u></b>

\* Reflects provisions of Uniform Guidance, Appendix III to Part 200, Section C.8.

Name : Clavin J. Wash  
Title: Sr. Director of Cost Accounting + Procurement  
Date: March 2, 2018