

# Therapeutic & Inclusive Recreation Program In Arizona Schools

Grant Proposal for Arizona Developmental Disabilities Planning Council



## EXECUTIVE SUMMARY

The project aims to expand and advance therapeutic and inclusive recreation programming (TIRP) in Arizona schools to foster a sense of belonging and valued involvement among all students. This will be accomplished by concurrently 1) integrating individualized TIRP programming, enhancing innovative initiatives, and magnifying inclusive practices in two elementary schools, and 2) analyzing current policies and administrative practices across the nation and state of Arizona. The first programming objective involves collaboration between Arizona State University (ASU), Arizona public school districts, and community organizations to mobilize the internal strengths of the schools and the external strengths and resources of the community to provide quality therapeutic and inclusive recreation opportunities. Since there is no single approach to inclusion services, TIRP strategies in the schools will be designed collaboratively with school staff, the principal investigators and Daring Adventures Healthy Day Program. Through a process involving assessment, accommodations, supports and training, TIRP will be delivered as an integral component of the educational curriculum; supported by qualified professionals and ASU students studying in areas such as therapeutic recreation, social work, nutrition and exercise science. To achieve the second objective, the Institute for Science of Teaching & Learning and scholars at ASU will lead the systematic analysis of existing initiatives, resources, program outcomes and identify gaps and areas of growth.

The project advances inclusive practices by promoting autonomy, competence and relatedness among students in grades 5 and 6 at two school districts in the Greater Phoenix Metropolitan Area. Students will gain the knowledge and skills needed to effectively interact

with diverse populations by participating in structured recreation-based interventions that promote the development of social interaction skills, communication, problem solving, behavior regulation and physical health. This is an ideal learning space as youth can develop skills in a fun, experiential and psychologically safe environment. The program will be designed using evidenced based practices in therapeutic recreation and will be administered by Certified Therapeutic Recreation Specialists employed by Daring Adventures Healthy Day program. As youth engage in the activities together, they will learn how their individual strengths and characteristics contribute to inclusive educational and recreation experiences, form friendships and develop a sense of belonging. Effective therapeutic and inclusive recreation within the schools benefits both students with and without functional limitations, disabilities and health concerns as they collectively enhance their self-determination and self-advocacy skills, expand their leisure repertoires, develop social interaction and leadership skills, as well as their overall physical health. These holistic functional benefits emerge from an active, meaningful and inclusive lifestyle in school, at home and in the community; factors that contribute to successful transition to independent living.

## Background

### Need

All students, including those with and without disabilities, benefit from participation in recreation activities for physical and social-emotional development. Purposeful and structured recreational activities designed to integrate all youth creates an enjoyable space where students can learn collectively based on mutual support, reciprocity and unity. The level of inclusion and sense of belonging the students experience influences developmental outcomes relevant to their stage of life. For instance, school age children may benefit from problem-solving, self-esteem and emotional regulation, whereas the adolescent may develop a sense of identity and independence to prepare for transition from school to community support systems (Stumbo, Wilder, Zahl, DeVries, Pegg, Greenwood, & Ross, 2015). Despite an understanding of the value of inclusive recreation-based learning experiences, opportunities for students with disabilities to participate in adaptive and inclusive recreation-based courses and extracurricular activities varies within schools and districts. Such constraints to full and inclusive participation negatively



influence a student's emotional and physical health, academic performance and social adjustment and acceptance (Anderson & Heyne, 2012). To prevent the negative effects of limited meaningful recreation engagement and reduce the opportunity gap, strategies are needed to effectively implement a full range of adaptive and inclusive programming in all schools.

### **Gaps**

Schools can benefit from information about good practices, resources and policies. Although the Office of Special Education Programs (OSEP) provides schools with information, resources and technical assistance on teaching students with disabilities, there is limited guidance on how to plan and facilitate inclusive recreation-based classes and extracurricular activities. Education and training is needed to equip the teachers and coaches with the skills to accommodate the needs of students with disabilities and facilitate active engagement among all students. There are educators, schools and districts who have devised strategies to provide quality adaptive and inclusive experiences by employing trained and qualified personnel and establishing formal partnerships with community programs. These best-practices need to be identified and communicated widely in Arizona as a method of expanding inclusive recreation opportunities. Distribution of such information supports schools in their efforts to devise strategies to build on their resources and unique characteristics to advance their inclusive recreation programming.

### **Project Goals**

- Goal #1: Prepare, plan, implement and evaluate individualized therapeutic and inclusive recreation programming (TIRP) with 5th and 6th graders at Madison Number One (Madison School District) and Village Meadows Elementary School (Deer Valley Unified School District)
- Goal #2: Systematically analyze existing initiatives, policies, practices, resources, training and service outcomes nationally and across the state of Arizona. Identify gaps and areas of growth.

## Project Design

The project involves two components: 1) the delivery and evaluation of therapeutic and inclusive recreation programming in two schools, 2) a landscape analysis of existing initiatives, resources, program outcomes to identify gaps and areas of growth. This approach is designed to gain perspective on the Quality Indicators of Inclusive Recreation Programs: 1) administrative policies and practice, 2) logistical and environmental considerations, 3) techniques and methods, and 4) individualized programming (Schleien and Rynders, 1996).

### **TIRP Overview**

The program will be designed and delivered by Daring Adventures Healthy Day program based on the unique characteristics of the 5th and 6th grade students enrolled in the two schools. To prepare for TIRP implementation, a series of focus group interviews will be held with teachers, staff, administration, and other school stakeholders and champions. In collaboration with school personnel, inclusive programming will be planned and facilitated to ensure all students despite ability will have the opportunity to meaningfully engage in school and community recreation activities. Active involvement in recreation activities promotes self-determination, as students develop competence, relatedness, autonomy (Datillo, 2015). Led by a recreational therapist from the Daring Adventures Healthy Day program, and supported with ASU students. TIRP will facilitate opportunities for all students to experience success, feel a sense of camaraderie and connectedness, and develop skills to make informed choices

The outcome of therapeutic recreation services is to improve student's ability to engage in appropriate and meaningful leisure activities that will in turn improve their health, quality of life and well-being (Stumbo & Peterson, 2009). The model guided by the Leisure Ability Model (Figure 1) and conceptualized in three components that include 1) interventions that address functional ability, 2) leisure education and 3) facilitated engagement in organized recreation activities. (See Figure 1). Purposeful, holistic therapeutic and inclusive programming provided throughout the continuum supports students in their ability to fully participate in recreation activities of their choice. This is accomplished through integration of optimal adaptations, accommodations and supports in all three levels of therapeutic recreation service.



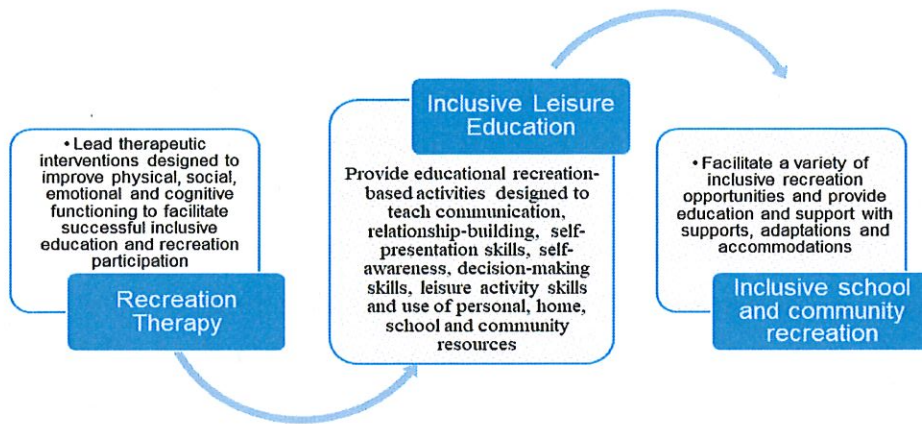


Figure 1: Adapted representation of Leisure Ability Model (Stumbo & Peterson, 2009).

### TIRP Evaluation Design

**Participants and Setting.** The TIRP program will be administered to 5th and 6th grade students at two elementary school sites in Phoenix, AZ. School administrators and staff from Madison Number One, an elementary school within the Madison School District, and Village Meadows Elementary School in the Deer Valley Unified School District will assist with coordinating the program implementation.

**Program.** The program will be designed using evidenced based practices in therapeutic recreation and administered on a regular basis at each school site depending on scheduling and number of students with the goal of at least 4-6 hours per week. Certified Therapeutic Recreation Specialists, employed by Daring Adventures Healthy Day program, will deliver the program at each school site. Students from ASU enrolled in a service-learning course will assist the lead teacher with program administration and evaluation. The course draws a range of ASU students from a variety of different disciplines and focuses on education surrounding diversity and inclusion and the preparation to implement inclusion strategies in real-life settings. Although not a major outcome associated with the project, we will conduct an exploratory case study with these students to understand their experience and to inform the potential development of the interprofessional inclusion program curriculum (see Year 2).

**Research Design.** A quasi-experimental pre-experimental design will be utilized at each school to measure the effect of the TIRP on student attitudes and self-determination. Data will be gathered at two time points: pre (September, 2019) and post (May, 2020) using several data collection strategies. At both time points, all 5th and 6th grade students will complete an online questionnaire to measure attitudes and self-determination. Additionally, several other strategies

will be utilized to ensure program fidelity and to inform future programming efforts. The lead teacher will produce bi-weekly reports that highlight regular participation (including number of students (with IEPs and without) gender of students, group activity information (i.e., type and time), and general feedback from classroom teachers. These reports will be inputted into a secure Qualtrics database accessible to the lead teacher and research team. Students will also write weekly journal entries where they reflect on the program and respond to prompts provided by the teacher.

**Data Analysis.** All information will be first analyzed to provide descriptive information related to demographics. To measure change in student attitudes and self-determination, a series of analysis of variance (ANOVAs) will be conducted to examine differences before and after program implementation.

### **Landscape Analysis Overview**

A **landscape analysis** is an evaluation method of examining what policies and programs exist in a topic area (Figure 2). First, a literature review determines what are exemplary practices; and second, a review of current policies and practices are documented. Following this, a gap analysis examines how closely aligned current policies and practice is with what is considered best practice in the field. For the first step of the process, information will be systematically documented to identify current therapeutic and inclusive recreation resources, policies and practices nationally and within Arizona schools. Information collected will include current policies and laws pertaining to serving students with disabilities in schools, educational commitments to inclusive recreation, funding for accommodations and supports, staff training and preparation, and availability of inclusive recreation opportunities during school and after school. After data is collected and analyzed, a gap analysis determines where the gaps exist and offers recommendations for interventions that will mitigate the differences in what currently exists with what should be done in the field.

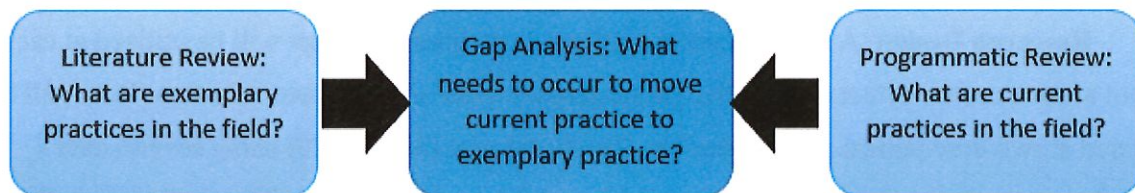


Figure 2: Landscape Analysis



## Project Deliverables

At the end of the first year of funding, a final report, condensed report and a presentation of the findings will be shared with Arizona Developmental Disabilities Planning Council. The final report will include an executive summary, exemplary practices, inclusion strategies, gaps, and recommendations. The condensed easy read report (less than 5 pages) will be designed for the general public and will use plain language, and visual graphics. The presentation will include the following content along with an explanation of next steps.

- Summary of existing policies, practices, resources, and training at state and national level
  - Listing and explanation of state and national laws and policies
  - Snapshot of exemplary programs
  - Listing of training/education resources in Arizona and nationally
- Summary of TIRP services in two target schools
- Summary of TIRP program outcomes
  - Self-determination
  - Social-emotional functioning
  - Attitudes (among 5th and 6th grade students, teachers, ASU students)
  - Perception of school climate

## Contributors

Contributor	Experience	Role
<b>Kelly Ramella</b> Clinical Professor Watts College of Public Service and Community Solutions	15 years of practice and 15 years of teaching in therapeutic recreation & inclusive community development, and interprofessional education	Principal Investigator Clinical instructor Kelly Ramella will guide and coordinate all components of the project and be directly responsible for ASU students working in the schools.
<b>Allison Ross</b> Research Professor Watts College of Public Service and Community Solutions	Dr. Ross has 16 years of combined teaching experience in physical education, recreation, and community development.	Co-Principal Investigator, Dr. Ross will lead the program evaluation component of the project.

<b>Wendy Barnard</b> Center Director College Research and Evaluation Services Team (CREST)	20 years of evaluation experience in educational programs. Three years case management experience in special education (birth to three).	Co-Principal Investigator, Dr. Barnard will oversee the landscape analysis and policy brief with recommendations.
<b>Jerry Ketelhut</b> Executive Director Daring Adventures Healthy Day Program	Expertise with inclusion and adaptive recreation. Provider of inclusive recreation.	Jerry Ketelhut will oversee and direct all professional services provided in the schools.

## Summary of Project Tasks

July 2019 – June 2020

Project Activities	Tasks	Responsible
<b>Preparation</b>		
	Secure MOU's with two Schools	PI
	Gain School approval of evaluation measures	PI, Co-PI
	Finalize budget	PI
	Gain IRB approval	CREST
	Host school staff orientation	DA
	Facilitate staff focus groups	DA, PI, Co-PI
	Establish program plan	DA, PI, Co-PI
	Create Qualtrics tracking database	CREST
	Prepare ASU Students (Fall)	PI
	Prepare ASU Students (Spring)	PI
<b>TIRP</b>		
	Implement services in Schools (RT)	DA
	ASU students assist in the Schools (Fall)	PI
	ASU students assist in the Schools (Spring)	PI
<b>Evaluation</b>		
	Conduct preliminary 5th & 6th grader survey	DA, PI, Co-PI
	Conduct post 5th & 6th grader survey	DA, PI, Co-PI
	Conduct preliminary ASU student survey (fall)	PI, Co-PI
	Conduct post ASU students survey (fall)	PI, Co-PI
	Conduct preliminary ASU student survey (spring)	PI, Co-PI
	Conduct post ASU students survey (spring)	PI, Co-PI
	Facilitate completion of Bi-weekly student journals	DA
	Complete bi-weekly program reports	DA



<b>Review</b>		
	Conduct midyear data review	Co-PI, CREST
<b>Analysis</b>		
	Gather information and analyze for trends	CREST
<b>Produce</b>		
	ADDPC Final Report	PI, Co-PI, CREST
	ADDPC Condensed Report	PI, Co-PI, CREST
	ADDPC Presentation	PI, Co-PI, CREST
<b>Key:</b>		
<b>PI</b>	Principal Investigator	
<b>Co-PI</b>	Co-Principal Investigator	
<b>DA</b>	Daring Adventures	
<b>CREST</b>	College Research and Evaluation Services Team	

## Year One Expansion & Cost

Additional funding (\$65,000) for year one of this project will contribute to both increased services in the schools and increased evaluation to expand the breadth and depth of the project. The following additional activities will be added to the project and the funding will be used to pay for the additional personnel time and resources.

1. Increased service delivery in schools to 8-10 hours per week.
2. A systematic observational scan conducted by a trained ASU student to measure leisure repertoire, social interaction, leadership, and self-advocacy during unstructured play at recess. This will provide researchers with information about student's ability to apply knowledge gained from TIRP in a free play environment.
3. Researchers will conduct a comprehensive qualitative analysis of student reflections to expand our understanding of themes emerging in the journals.
4. Additional exploration of school, after-school and community inclusive recreation programs will be conducted.
5. Researchers will conduct individual interviews with school administrators and staff from two target schools to learn about current therapeutic and inclusion practices, as well as barriers and needs.

## Year Two Project

July 2020 – June 2021

A continuation of this project will facilitate the ability to continue program services and evaluation, and increase project outcomes as outlined below. The cost of Year Two is approximately \$120,000.

- Expand program evaluation to student and teacher focus groups
- Expand program evaluation to include student physical health measures
- Expand program evaluation to include teacher/staff survey to measure changes in attitudes and school climate
- Expand landscape analysis to include representative survey of Arizona schools
- Conduct a needs assessment including, focus groups, school surveys, and site visits
- Complete national case studies of best practices of therapeutic and inclusive recreation in schools and establish a readiness index for Arizona schools
- Provide 1:1 therapeutic recreation service to support student success in inclusive recreation and learning environments, as indicated in the individualized education plan.
- Increase engagement of community organizations in the provision of inclusive recreation services
- Expand TIRP to 1-2 additional schools in different districts.
- Develop strategies for sustainable implementation of therapeutic and inclusive recreation services in Arizona schools.
- Design an interprofessional inclusion service learning course including learning modules to educate university students on the needs of individuals living with a variety of functional limitations, disabilities, and health concerns, the factors that hinder participation and inclusion strategies.



## CONCLUSION



We look forward to working with the Arizona Developmental Disabilities Planning Council to advance therapeutic and inclusive recreation programming in Arizona schools. Through this project we hope to illuminate the importance of comprehensive therapeutic and inclusive recreation in schools as a promising and sustainable strategy to create a culture of inclusion and positively impact student development and overall well-being.

Kelly Ramella  
Clinical professor

Allison Ross  
Research professor

Wendy Barnard  
Center Director

Jerry Ketelhut  
Executive Director, Daring Adventures

May 31, 2019

## References

- Anderson, Lynn & Heyne, Linda. (2012). *Therapeutic Recreation Practice, A Strengths Approach*. State College, Venture Publishing.
- Dattilo, J. (2015) *Leisure Education Program Planning*. Fourth Edition. State College, PA. Venture Publishing, Inc.
- Murray, R. and C. Ramstetter. (2013). The crucial role of recess in school. *Pediatrics*, 131(1): p. 183-188.
- Scholl, K., Smith, J., & Davison, A. (2005). Agency Readiness to Provide Inclusive Recreation and After-School Services for Children with Disabilities. *Therapeutic Recreation Journal*, 39(1), 47-62.
- Sharpe, E., Mair, H., & Yuen, F. (2016). *Community development: Applications for leisure, sport, and tourism*. State College, PA: Venture Publishing.
- Stumbo, N., Wilder, A., Zahl, M., DeVries, D., Pegg, S., Greenwood, J., & Ross, J. (2015). Community Integration: Showcasing the Evidence for Therapeutic Recreation Services. *Therapeutic Recreation Journal*, 49(1), 35-60.
- Stumbo, Norma & Peterson, Carol Ann (2009). *Therapeutic Recreation Program Design, Principles & Procedures*. Fifth Edition Pearson/ Benjamin Cummings.



## Budget Request Form

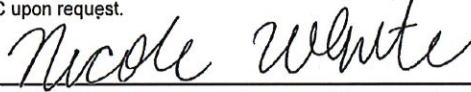
Contractor Name AZ Board of Regents on behalf of Arizona State University  
Contractor Address PO Box 876011, Tempe, AZ 85287-6011  
Project Name *Therapeutic & Inclusive Recreation Program (TIRP) in Arizona Schools*

Budget Category	Year 1			Total Program Cost
	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	
<i>Personnel/Salaries</i>	54,157.00	-	-	54,157.00
<i>Fringe Benefits</i>	13,863.00	-	-	13,863.00
<i>Supplies/Operating Expenses</i>	1,071.00	-	-	1,071.00
<i>Travel</i>	-	-	-	-
<i>Rent of Cost of Space</i>	-	-	-	-
<i>Contracted Services/Professional Services</i>	40,000.00	-	-	40,000.00
<i>Administrative/Indirect Costs 10%</i>	10,909.00	-	51,273.00	62,182.00
<b>TOTAL COSTS</b>	120,000.00	-	51,273.00	171,273.00

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

Additional description and background information shall be included as a budget narrative, including for match.\* The contractor agrees to submit additional background information to the ADDPC upon request.

Nicole White  
Name of Certifying Official Grant



Grant & Contract Specialist  
Title of Certifying Official

480-727-3412

[asu.awards@asu.edu](mailto:asu.awards@asu.edu)

Phone

Email

\*Details included in Project Narrative

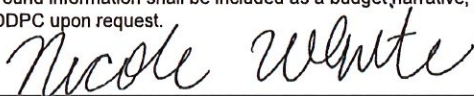
## Budget Request Form

Contractor Name AZ Board of Regents on behalf of Arizona State University  
 Contractor Address PO Box 876011, Tempe, AZ 85287-6011  
 Project Name *Therapeutic & Inclusive Recreation Program (TIRP) in Arizona Schools*

Budget Category	Year 1 Enhancement			Total Program Cost
	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	
<i>Personnel/Salaries</i>	22,878.00	-	-	22,878.00
<i>Fringe Benefits</i>	5,213.00	-	-	5,213.00
<i>Supplies/Operating Expenses</i>	-	-	-	-
<i>Travel</i>	-	-	-	-
<i>Rent of Cost of Space</i>	-	-	-	-
<i>Contracted Services/Professional Services</i>	31,000.00	-	-	31,000.00
<i>Administrative/Indirect Costs 10%</i>	5,909.00	-	27,773.00	33,682.00
<b>TOTAL COSTS</b>	<b>65,000.00</b>	<b>-</b>	<b>27,773.00</b>	<b>92,773.00</b>

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Nicole White \_\_\_\_\_  
 Name of Certifying Official

Grant & Contract Specialist \_\_\_\_\_  
 Title of Certifying Official

480-727-3412 \_\_\_\_\_ [asu.awards@asu.edu](mailto:asu.awards@asu.edu) \_\_\_\_\_  
 Phone Email

\*Details included in Project Narrative




## Budget Request Form

Contractor Name                                AZ Board of Regents on behalf of Arizona State University  
 Contractor Address                            PO Box 876011, Tempe, AZ 85287-6011  
 Project Name                                    *Therapeutic & Inclusive Recreation Program (TIRP) in Arizona Schools*

Year 2				
Budget Category	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	Total Program Cost
<i>Personnel/Salaries</i>	66,182.00	-	-	66,182.00
<i>Fringe Benefits</i>	15,425.00	-	-	15,425.00
<i>Supplies/Operating Expenses</i>	-	-	-	-
<i>Travel</i>	3,984.00	-	-	3,984.00
<i>Rent of Cost of Space</i>	-	-	-	-
<i>Contracted Services/Professional Services</i>	23,500.00	-	-	23,500.00
<i>Administrative/Indirect Costs 10%</i>	10,909.00	-	51,273.00	62,182.00
<b>TOTAL COSTS</b>	<b>120,000.00</b>	<b>-</b>	<b>51,273.00</b>	<b>171,273.00</b>

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

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Nicole White   
 Name of Certifying Official

Grant & Contract Specialist  
 Title of Certifying Official

480-727-3412    [asu.awards@asu.edu](mailto:asu.awards@asu.edu)  
 Phone    Email

\*Details included in Project Narrative



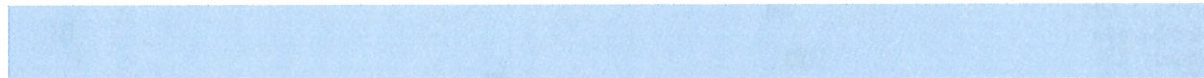


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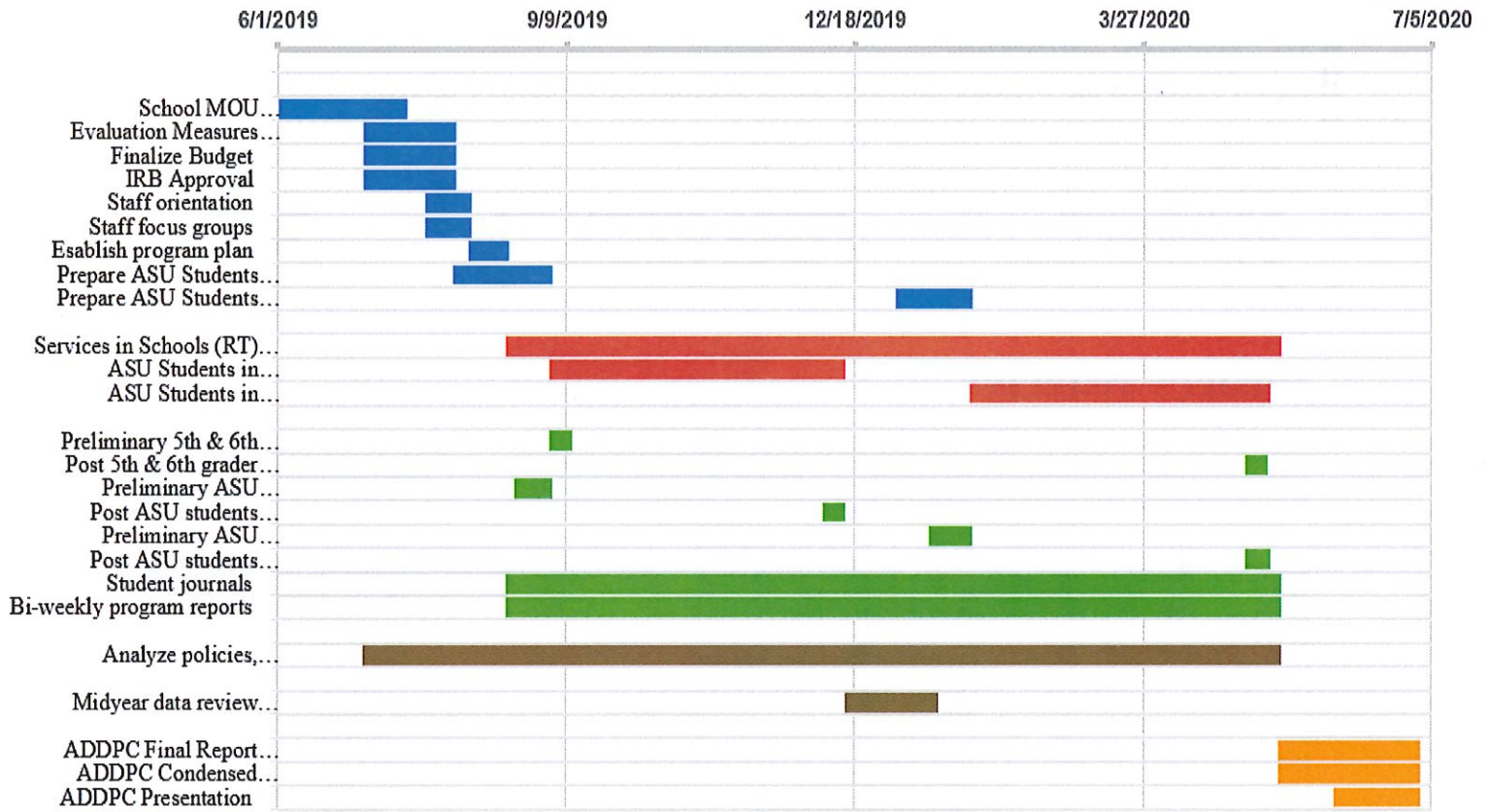
Grant Proposal for Arizona Developmental Disabilities Planning Council



## PROJECT TIMELINE



CATEGORY	TASK	START	END	
Preparation	School MOU	6/1/19	7/15/19	
	Evaluation Measures Approval	7/1/19	8/1/19	
	Finalize Budget	7/1/19	8/1/19	
	IRB Approval	7/1/19	8/1/19	
	Staff orientation	7/22/19	8/6/19	
	Staff focus groups	7/22/19	8/6/19	
	Establish program plan	8/6/19	8/19/19	
	Develop Qualtrics database tracking system	8/1/19	8/31/19	
	Prepare ASU Students (Fall)	8/1/19	9/3/19	
	Prepare ASU Students (Spring)	1/1/20	1/27/20	
	TIRP	Services in Schools (RT)	8/19/19	5/13/20
		ASU Students in Schools (Fall)	9/3/19	12/14/19
ASU Students in Schools (Spring)		1/27/20	5/9/20	
Program Evaluation	Preliminary 5th & 6th grader survey	9/3/19	9/10/19	
	Post 5th & 6th grader survey	5/1/20	5/8/20	
	Preliminary ASU student survey (fall)	8/22/19	9/3/19	
	Post ASU students survey (fall)	12/7/19	12/14/19	
	Preliminary ASU student survey (spring)	1/13/20	1/27/20	
	Post ASU students survey (spring)	5/1/20	5/9/20	
	5 <sup>th</sup> & 6 <sup>th</sup> grade student journals	8/19/19	5/13/20	
	Bi-weekly program reports	8/19/19	5/13/20	
Landscape Analysis	Analyze national policies, practices, and resources	7/1/19	5/13/20	
Review	Midyear data review	12/15/19	1/15/20	
Produce	ADDPC Final Report	5/13/20	6/30/20	
	ADDPC Condensed Report	5/13/20	6/30/20	
	ADDPC Presentation	6/1/20	6/30/20	



**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN:

DATE:07/02/2018

ORGANIZATION:

FILING REF.: The preceding agreement was dated 07/05/2017

Arizona State University  
Fulton Center 410, Rm. 4478  
P.O. Box 87705  
Tempe, AZ 85287-7605

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.

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**SECTION I: INDIRECT COST RATES**

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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.	07/01/2016	06/30/2017	54.50	On-Campus	Organized Research
PRED.	07/01/2017	06/30/2018	56.00	On-Campus	Organized Research
PRED.	07/01/2018	06/30/2019	56.50	On-Campus	Organized Research
PRED.	07/01/2019	06/30/2020	57.00	On-Campus	Organized Research
PRED.	07/01/2016	06/30/2020	26.00	Off-Campus	Organized Research
PRED.	07/01/2016	06/30/2017	51.60	On-Campus	Instruction
PRED.	07/01/2017	06/30/2020	48.00	On-Campus	Instruction
PRED.	07/01/2016	06/30/2020	26.00	Off-Campus	Instruction
PRED.	07/01/2016	06/30/2017	37.50	On-Campus	Other Sponsored Activities
PRED.	07/01/2017	06/30/2020	44.40	On-Campus	Other Sponsored Activities
PRED.	07/01/2016	06/30/2020	26.00	Off-Campus	Other Sponsored Activities

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ORGANIZATION: Arizona State University

AGREEMENT DATE: 7/2/2018

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<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2020	Until Amended		(1)	

\*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.

(1) Use same rates and conditions as those cited for fiscal year ending June 30, 2020.

ORGANIZATION: Arizona State University

AGREEMENT DATE: 7/2/2018

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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	7/1/2018	6/30/2019	27.30	All (A)	Faculty
FIXED	7/1/2018	6/30/2019	36.10	All (A)	Staff
FIXED	7/1/2018	6/30/2019	9.40	All (A)	Part Time
FIXED	7/1/2018	6/30/2019	2.10	All (A)	Students
FIXED	7/1/2018	6/30/2019	7.10	All (A)	RA/TA
FIXED	7/1/2018	6/30/2019	25.10	All (A)	Post DOC
PROV.	7/1/2019	6/30/2022		(B)	

\*\* DESCRIPTION OF FRINGE BENEFITS RATE BASE:

(A) Salaries and wages including vacation, holiday, sick leave pay and other paid absences.

(B) Use same rates and conditions as those cited for fiscal year ending June 30, 2019.

ORGANIZATION: Arizona State University

AGREEMENT DATE: 7/2/2018

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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.

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 costs for salaries and wages. Separate claims for the costs of these paid absences are not made except for paid absences that have been earned but not taken when an individual separates from the university prior to the completion of the grant, contract or other agreement.

OFF-CAMPUS DEFINITION

An off-campus rate is applicable to those projects conducted in facilities not owned or operated by the University, which include charges for facility rental as a direct expenditure, and for which more than 50% of the project salaries and wages are for effort conducted in the rental facility.

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.

The following fringe benefits are included in the fringe benefit rate(s): FICA, WORKERS COMPENSATION, HEALTH/DENTAL/LIFE INSURANCE, UNEMPLOYMENT INSURANCE, DISABILITY INSURANCE, ACCIDENTAL DEATH, RETIREMENT PLANS (STATE RETIREMENT PROGRAMS AND TIAA/CREF), FLEXIBLE SPENDING PLAN, RETIREE ACCUMULATIVE SICK LEAVE, AND EMPLOYEE TUITION REMISSION, EMPLOYEE WELLNESS, SABBATICAL PAYMENTS, EMPLOYEE ASSISTANCE, AND TERMINAL LEAVE.

NEXT PROPOSAL DUE DATE

A proposal based on actual costs for fiscal year ended 06/30/18, will be due no later than 12/31/18.

This rate agreement updates the fringe benefits only.



ORGANIZATION: Arizona State University

AGREEMENT DATE: 7/2/2018

**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:

Arizona State University

(INSTITUTION)

  
(SIGNATURE)

Tamara Deuser

(NAME)

Associate Vice President

(TITLE)

07/27/2018

(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: cn=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: 2018.07.09 09:29:29 -0500

(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

7/2/2018

(DATE) 1353

HHS REPRESENTATIVE: Cora Coleman

Telephone: (415) 437-7820

