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STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR CHILDREN, YOUTH & FAMILIES

Lori A. Weaver
Interim Commissioner

Joseph E. Ribsam, Jr.
Director

129 PLEASANT STREET, CONCORD, NH 03301-3857
603-271-4451 1-800-852-3345 Ext. 4451
Fax: 603-271-4729 TDD Access: 1-800-735-2964 www.dhhs.nh.gov

May 22, 2023

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division for Children, Youth and Families, to enter into a **Sole Source** amendment to an existing contract with University of Kansas Center for Research, Inc. (VC #253972), Lawrence, KS, to continue providing the Results Oriented Management web-based software product for the provision of data development, reporting and annual subscriptions, by exercising a contract renewal option, by increasing the price limitation by \$195,215 from \$388,125 to \$583,340 and by extending the completion date from June 30, 2023 to June 30, 2025, effective July 1, 2023, upon Governor and Council approval. 25.24% Federal Funds. 74.76% General Funds.

The original contract was approved by Governor and Council on February 25, 2015, item #9, as amended on November 8, 2017, item #16, and amended on November 25, 2019, item #10, and most recently amended on June 30, 2021, item #30.

Funds are anticipated to be available in the following accounts for State Fiscal Years 2024 and 2025 with the authority to adjust budget line items within the price limitation and encumbrances between state fiscal years through the Budget Office, if needed and justified.

See attached fiscal details.

EXPLANATION

This request is **Sole Source** because MOP 150 requires all amendments to agreements previously approved as sole source to be identified as sole source. The University of Kansas Center for Research, Inc. is the developer of Results Oriented Management (ROM) software and therefore is the only vendor from which the State can purchase product access. In order to utilize the web-based application provided by the Contractor, the Department must pay annual subscription fees.

The purpose of this request is for the Department to continue to have access to the ROM web-based management reporting application with accompanying software, which is offered to child welfare agencies across the country for data development and reporting. The Department, as well as many federal and state partners, utilize the data to monitor the quality of services and continuously plan for improvements as best practices are identified. There are currently 11 states that use the software. The Contractor will work collaboratively with the Department to further develop, implement, and maintain ROM Reports.

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 2 of 2

The ROM reporting system provides data on the Department's child welfare program outcomes, child counts, and other performance indicators. The Contractor provides use and maintenance of the ROM application software through regular update releases and new user interfaces. Maintenance and support services include:

- Continuous updates of the application and data preparation routines in response to changes in technology to improve system performance;
- Fixes to the data preparation routines and calculations errors and issues identified in the ROM Reports application software;
- Technical Support to staff on the use of the reporting application.

As referenced in Contract Agreement - Part 2, Subsection 1.3, Contract Term, of the original agreement, the parties have the option to extend the agreement for up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and Governor and Council approval. The Department is exercising its option to renew services for two (2) years of the three (3) years available.

Should the Governor and Council not authorize this request, the Department would be unable to access the most current Child Welfare strategies for performance management and improved outcomes for the children and families of New Hampshire. Additionally, the Department would not have access to data regarding its performance on key federal indicators, and data regarding critical program outcomes that are used by management to make informed decisions and continuous quality improvement, as well as support a number of grant requests for state agencies and community partners. Furthermore, without access to this software product, the Department will require additional resources to ensure compliance with all the mandated requirements using a manual system, and may incur financial penalties from the U.S. Administration for Children & Families.

Area served: Statewide

Sources of Federal Funds:

Assistance Listing Number (ALN) 93.659, FAIN 2301NHADPT;
ALN 93.658, FAIN 2301NHFOST;
ALN 94.558, FAIN 2301NHTANF;
ALN 93.778, FAIN 2301NHMEDICAID and,
ALN 93.674, FAIN 2301NHCLIP

The Department will request General Funds in the event that Federal Funds are no longer available and services are still needed.

Respectfully submitted,



Lori A. Weaver
Interim Commissioner

05-095-42-421010-2960000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES DIV, CHILD PROTECTION, ORG'L LEARNING & QUALITY IMPRVMT (FoR ROM Software application) 82% Federal, 18% General Funds

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	067-500557	Contracts for Prog Servs	42106004	\$6,000	\$0	\$6,000
2016	067-500557	Contracts for Prog Servs	42106004	\$12,000	\$0	\$12,000
2017	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2018	067-500557	Contracts for Prog Servs	42106004	\$16,100	\$0	\$16,100
2019	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2020	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2021	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2022	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2023	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
			Subtotal:	\$126,900	\$0	\$126,900

05-095-42-421010-2960000 Health and Social Services, Health and Human Svcs Dept of, HHS: HUMAN SERVICES, CHILD PROTECTION, OFFICE OF DIRECTOR - DCYF 35% Federal, 65% General Funds.

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	026-500251	Organizational Dues	42015802	\$0	\$0	\$0
2016	026-500251	Organizational Dues	42105802	\$0	\$0	\$0
2017	026-500251	Organizational Dues	42015802	\$0	\$0	\$0
2018	026-500251	Organizational Dues	42105802	\$0	\$0	\$0
2019	026-500251	Organizational Dues	42015802	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42105802	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42015802	\$57,750	\$0	\$57,750
2021	026-500251	Organizational Dues	42105802	\$80,500	\$0	\$80,500
2022	026-500251	Organizational Dues	42015802	\$69,900	\$0	\$69,900
2023	026-500251	Organizational Dues	42015802	\$73,075	\$0	\$73,075
			Subtotal:	\$261,225	\$0	\$261,225

05-095-42-421010-32210000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF,

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2024	026-500251	Organization Dues	TBD	\$0	\$95,682	\$95,682
2025	026-500251	Organization Dues	TBD	\$0	\$99,533	\$99,533
			Subtotal:	\$0	\$195,215	\$195,215

Total	\$388,125	\$195,215	\$583,340
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STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY
27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doi

Denis Goulet
Commissioner

June 8, 2023

Lori Weaver, Commissioner
Department of Health and Human Services
State of New Hampshire
95 Pleasant Street
Concord, NH 03301

Dear Commissioner Weaver:

This letter represents formal notification that the Department of Information Technology (DoIT) has approved your agency's request to enter into a contract amendment the University of Kansas Center for Research, Inc., as described below and referenced as DoIT No. 2014-138D.

The purpose of this request is to continue providing the Results Oriented Management web-based software product for the provision of data development, reporting and annual subscriptions.

The Total Price Limitation will increase by \$195,215 for a New Total Price Limitation of \$583,340, effective upon Governor and Council approval through June 30, 2025.

A copy of this letter must accompany the Department of Health and Human Services' submission to the Governor and Executive Council for approval.

Sincerely,

A handwritten signature in black ink that reads "Denis Goulet".

Denis Goulet

DG/jd
DoIT #2014-138D

cc: Mike Williams, IT Manager

**State of New Hampshire
Department of Health and Human Services
Amendment #4**

This Amendment to the Results Oriented Management (ROM) contract is by and between the State of New Hampshire, Department of Health and Human Services ("State" or "Department") and University of Kansas Center for Research, Inc. ("the Contractor").

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on February 25, 2015 (Item #9), as amended on November 8, 2017 (Item #16), as amended on November 25, 2019 (Item #10), and most recently amended on June 30, 2021 (Item #30), the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

WHEREAS, pursuant to Form P-37, General Provisions, Paragraph 18, and Contract Agreement - Part 2, Subsection 1.3, Contract Term, the Contract may be amended upon written agreement of the parties and approval from the Governor and Executive Council; and

WHEREAS, the parties agree to extend the term of the agreement, increase the price limitation, or modify the scope of services to support continued delivery of these services; and

NOW THEREFORE, in consideration of the foregoing and the mutual covenants and conditions contained in the Contract and set forth herein, the parties hereto agree to amend as follows:

1. Form P-37 General Provisions, Block 1.7, Completion Date, to read:
June 30, 2025
2. Form P-37, General Provisions, Block 1.8, Price Limitation, to read:
\$583,340
3. Form P-37, General Provisions, Block 1.9, Contracting Officer for State Agency, to read:
Robert W. Moore, Director.
4. Modify Consolidated Exhibits – Part 3, Exhibit B – Amendment #3, Price & Payment Schedule, Section 1, Deliverable Payment Schedule, Subsection 1.2, Annual Subscription Fee, to read:

1.2 Annual Subscription Fee

1.2.1. The annual subscription shall ensure continued access to updates and improvements to this subscription based software application. The Contractor shall bill annually as follows:

July	2020	\$57,750	
July	2021	\$60,500	
July	2022	\$69,900	
July	2023	\$73,075	
July	2024	\$95,682	
July	2025	\$99,533	
		Subtotal	\$456,440
		TOTAL	\$583,340

5. Modify Contract Agreement – Part 2, Section 3, Contract Management, Subsection 3.4, State Contract Manager to read:

3.4. STATE CONTRACT MANAGER

The State shall assign a Contract Manager to serve as the State's representative with regard to Contract administration.

All terms and conditions of the Contract and prior amendments not modified by this Amendment remain in full force and effect. This Amendment shall be effective July 1, 2023, upon Governor and Council approval.

IN WITNESS WHEREOF, the parties have set their hands as of the date written below,

State of New Hampshire
Department of Health and Human Services

6/12/2023

Date

DocuSigned by:

Marie Noonan

Name: Marie Noonan

Title: DCYF Interim Director

University of Kansas Center for Research, Inc.

6/8/2023

Date

DocuSigned by:

Alicia M. Reed

Name: Alicia M. Reed

Title: Director, Research Administration

The preceding Amendment, having been reviewed by this office, is approved as to form, substance, and execution.

OFFICE OF THE ATTORNEY GENERAL

6/12/2023

Date

DocuSigned by:
Robyn Guarino

Name: Robyn Guarino

Title: Attorney

I hereby certify that the foregoing Amendment was approved by the Governor and Executive Council of the State of New Hampshire at the Meeting on: _____ (date of meeting)

OFFICE OF THE SECRETARY OF STATE

Date

Name:

Title:

Business Information

Business Details

Business Name:	UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.	Business ID:	716395
Business Type:	Foreign Nonprofit Corporation	Business Status:	Good Standing
Business Creation Date:	10/20/2014	Name in State of:	UNIVERSITY OF KANSAS CENTER Incorporation: FOR RESEARCH, INC.
Date of Formation in Jurisdiction:	10/20/2014		
Principal Office Address:	2385 Irving Hill Road, Lawrence, KS, 66045, USA	Mailing Address:	NONE
Citizenship / State of Incorporation:	Foreign/Kansas		
		Last Nonprofit Report Year:	2020
		Next Report Year:	2025
Duration:	Not Stated		
Business Email:	kteel@ku.edu	Phone #:	NONE
Notification Email:	kteel@ku.edu	Fiscal Year End Date:	NONE

Principal Purpose

S.No	NAICS Code	NAICS Subcode
1	OTHER / Provide alternative assessments for students with significant cognitive disabilities in grades three through high school.	

Principals Information

Name/Title	Business Address
Diane Goddard / Treasurer	2385 Irving Hill Road, Lawrence, KS, 66045, USA
Gina Cregg / Chief Financial Officer	2385 Irving Hill Road, Lawrence, KS, 66045, USA
Simon Atkinson / President	2385 Irving Hill Road, Lawrence, KS, 66045, USA
Douglas Girod / Chairman of the Board of Directors	2385 Irving Hill Road, Lawrence, KS, 66045, USA
Belinda Sturm / Vice President	2385 Irving Hill Road, Lawrence, KS, 66045, USA

< Previous ... 1 2 ... Next > Page 1 of 2, records 1 to 5 of 7 Go to Page

Registered Agent Information

Name: C T Corporation System

Registered Office Address: 2 1/2 Beacon Street, Concord, NH, 03301 - 4447, USA

Registered Mailing Address: 2 1/2 Beacon Street, Concord, NH, 03301 - 4447, USA

Trade Name Information

No Trade Name(s) associated to this business.

Trade Name Owned By

No Records to View.

Trademark Information

Trademark Number	Trademark Name	Business Address	Mailing Address
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No records to view.

[Filing History](#) [Address History](#) [View All Other Addresses](#) [Name History](#) [Shares](#)

[Businesses Linked to Registered Agent](#) [Return to Search](#) [Back](#)

NH Department of State, 107 North Main St. Room 204, Concord, NH 03301 -- [Contact Us](#)

[\(/online/Home/ContactUS\)](#)

© 2022 State of New Hampshire.

CERTIFICATE OF AUTHORITY

I, Simon Atkinson, hereby certify that:

1. I am a duly elected Officer of the University of Kansas Center for Research, Inc.
2. The following is a true copy of a vote taken at a meeting of the Board of Directors/shareholders, duly called and held on January 27, 2015, at which a quorum of the Directors/shareholders were present and voting.

VOTED: That Alicia M. Reed is duly authorized on behalf of University of Kansas Center for Research, Inc. to enter into contracts or agreements with the State of New Hampshire and any of its agencies or departments and further is authorized to execute any and all documents, agreements and other instruments, and any amendments, revisions, or modifications thereto, which may in his/her judgment be desirable or necessary to effect the purpose of this vote.

3. I hereby certify that said vote has not been amended or repealed and remains in full force and effect as of the date of the contract/contract amendment to which this certificate is attached. This authority **remains valid for thirty (30) days** from the date of this Certificate of Authority. I further certify that it is understood that the State of New Hampshire will rely on this certificate as evidence that the person(s) listed above currently occupy the position(s) indicated and that they have full authority to bind the corporation. To the extent that there are any limits on the authority of any listed individual to bind the corporation in contracts with the State of New Hampshire, all such limitations are expressly stated herein.

Dated: June 8, 2023



Signature of Elected Officer

Name: Simon Atkinson

Title: President



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

6/8/2023

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Arthur J. Gallagher Risk Management Services, LLC 235 Highlandia Drive Suite 200 Baton Rouge LA 70810	CONTACT NAME: Cheryl Kelley PHONE (A/C, No, Ext): 512-652-2461 FAX (A/C, No): 512-652-2462 E-MAIL ADDRESS: cheryl_kelley@ajg.com														
INSURED University of Kansas Center for Research, Inc. 2385 Irving Hill Rd., RM 108 Lawrence KS 66045	UNIVOFK-18 <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">INSURER(S) AFFORDING COVERAGE</th> <th style="text-align: center;">NAIC #</th> </tr> <tr> <td>INSURER A : Trumbull Insurance Company</td> <td style="text-align: center;">27120</td> </tr> <tr> <td>INSURER B : Hartford Casualty Insurance Company</td> <td style="text-align: center;">29424</td> </tr> <tr> <td>INSURER C :</td> <td></td> </tr> <tr> <td>INSURER D :</td> <td></td> </tr> <tr> <td>INSURER E :</td> <td></td> </tr> <tr> <td>INSURER F :</td> <td></td> </tr> </table>	INSURER(S) AFFORDING COVERAGE	NAIC #	INSURER A : Trumbull Insurance Company	27120	INSURER B : Hartford Casualty Insurance Company	29424	INSURER C :		INSURER D :		INSURER E :		INSURER F :	
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INSURER C :															
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COVERAGES **CERTIFICATE NUMBER: 296145929** **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSD	WVVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS																
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			43JENHN7020	7/1/2022	7/1/2023	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>EACH OCCURRENCE</td><td style="text-align: right;">\$ 1,000,000</td></tr> <tr><td>DAMAGE TO RENTED PREMISES (Ea occurrence)</td><td style="text-align: right;">\$ 300,000</td></tr> <tr><td>MED EXP (Any one person)</td><td style="text-align: right;">\$ 10,000</td></tr> <tr><td>PERSONAL & ADV INJURY</td><td style="text-align: right;">\$ 1,000,000</td></tr> <tr><td>GENERAL AGGREGATE</td><td style="text-align: right;">\$ 2,000,000</td></tr> <tr><td>PRODUCTS - COMP/OP AGG</td><td style="text-align: right;">\$ 2,000,000</td></tr> <tr><td></td><td style="text-align: right;">\$</td></tr> </table>	EACH OCCURRENCE	\$ 1,000,000	DAMAGE TO RENTED PREMISES (Ea occurrence)	\$ 300,000	MED EXP (Any one person)	\$ 10,000	PERSONAL & ADV INJURY	\$ 1,000,000	GENERAL AGGREGATE	\$ 2,000,000	PRODUCTS - COMP/OP AGG	\$ 2,000,000		\$		
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	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N	N/A				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 5%;">PER STATUTE</td> <td style="width: 5%;">OTH-ER</td> <td style="width: 40%;"></td> </tr> <tr><td>E.L. EACH ACCIDENT</td><td></td><td></td><td style="text-align: right;">\$</td></tr> <tr><td>E.L. DISEASE - EA EMPLOYEE</td><td></td><td></td><td style="text-align: right;">\$</td></tr> <tr><td>E.L. DISEASE - POLICY LIMIT</td><td></td><td></td><td style="text-align: right;">\$</td></tr> </table>		PER STATUTE	OTH-ER		E.L. EACH ACCIDENT			\$	E.L. DISEASE - EA EMPLOYEE			\$	E.L. DISEASE - POLICY LIMIT			\$
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E.L. DISEASE - POLICY LIMIT			\$																				

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

CERTIFICATE HOLDER

CANCELLATION

NH DHHS 129 Pleasant Street Concord, NH 03301 USA	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE
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MISSION STATEMENT

Our mission: To facilitate innovation, creative activity, discovery, and the application and dissemination of knowledge.

**UNIVERSITY OF KANSAS
CENTER FOR RESEARCH, INC.**
(A Component Unit of the University of Kansas)

FINANCIAL STATEMENTS
June 30, 2022 and 2021

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
Lawrence, Kansas

FINANCIAL STATEMENTS
June 30, 2022 and 2021

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Crowe LLP
Independent Member Crowe Global

INDEPENDENT AUDITOR'S REPORT

Board of Trustees
University of Kansas Center for Research, Inc.
Lawrence, Kansas

Report on the Audit of the Financial Statements

Opinion

We have audited the financial statements of the University of Kansas Center for Research, Inc., a component unit of the University of Kansas, which comprise the statements of financial position as of June 30, 2022 and 2021, and the related statements of activities, and cash flows for the years then ended, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of University of Kansas Center for Research, Inc. (the Center) as of June 30, 2022 and 2021, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS) and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Center and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Center's ability to continue as a going concern for one year from the date the financial statements are available to be issued.

(Continued)

Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS and *Government Auditing Standards* will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS and *Government Auditing Standards*, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of University of Kansas Center for Research, Inc.'s internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Center's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplementary Information

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying Schedule of Expenditures of Federal Awards, as required by Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain other procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

(Continued)

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated October 4, 2022 on our consideration of the University of Kansas Center for Research, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control over financial reporting and compliance.



Crowe LLP

Indianapolis, Indiana
September 30, 2022

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF FINANCIAL POSITION
June 30, 2022 and 2021

	<u>2022</u>	<u>2021</u>
Assets		
Current assets		
Cash and cash equivalents	\$ 27,914,487	\$ 37,198,498
Current investments	82,420,084	87,206,385
Accounts receivable, net	26,091,733	23,146,279
Note receivable, net – current	105,003	100,723
Prepaid expenses	<u>149,962</u>	<u>85,576</u>
Total current assets	136,681,269	147,737,461
Non-current assets		
Property and equipment, net	16,301,887	16,005,354
Buildings and equipment in progress	<u>807,739</u>	<u>556,108</u>
Total property and equipment, net	17,109,626	16,561,462
Right of use asset	5,605,198	5,812,824
Long-term investments	8,931,862	8,818,525
Notes receivable, net	<u>450,072</u>	<u>503,667</u>
Total non-current assets	<u>32,096,758</u>	<u>31,696,478</u>
Total assets	<u>\$ 168,778,027</u>	<u>\$ 179,433,939</u>
Liabilities and net assets		
Current liabilities		
Accounts payable and accrued expenses	\$ 14,450,278	\$ 13,241,957
Bonds payable, net – current	943,917	913,917
Notes payable – current	4,044,692	4,079,888
Lease liabilities, current portion	675,953	590,615
Assets held for others	8,032,365	9,870,785
Deferred revenues – sponsored research	<u>8,056,735</u>	<u>8,204,509</u>
Total current liabilities	36,203,940	36,901,671
Non-current liabilities:		
Bonds payable, net	5,008,467	6,737,474
Notes payable, net	2,819,358	5,933,926
Lease liabilities	<u>5,153,431</u>	<u>5,434,989</u>
Total non-current liabilities	<u>12,981,256</u>	<u>18,106,389</u>
Total liabilities	<u>49,185,196</u>	<u>55,008,060</u>
Net assets		
Without donor restrictions	110,742,688	115,609,073
With donor restrictions	<u>8,850,143</u>	<u>8,816,806</u>
Total net assets	<u>119,592,831</u>	<u>124,425,879</u>
Total liabilities and net assets	<u>\$ 168,778,027</u>	<u>\$ 179,433,939</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2022

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, gains, and other support			
Direct research income	\$ 124,022,215	\$ -	\$ 124,022,215
Facilities & administrative (F&A) revenue	27,393,176	-	27,393,176
	<u>151,415,391</u>	<u>-</u>	<u>151,415,391</u>
Service centers	13,702,309	-	13,702,309
Royalties	977,907	-	977,907
Investment returns (loss), net	(11,220,186)	322,945	(10,897,241)
Other income	2,021,921	-	2,021,921
Net assets released from restriction	289,608	(289,608)	-
	<u>5,771,559</u>	<u>33,337</u>	<u>5,804,896</u>
Total revenues, gains, and other support	<u>157,186,950</u>	<u>33,337</u>	<u>157,220,287</u>
Expenses			
Program services:			
Direct research expenses	124,801,615	-	124,801,615
Capitalized expenses for property and equipment	(2,974,350)	-	(2,974,350)
	<u>121,827,265</u>	<u>-</u>	<u>121,827,265</u>
Research unit/school expenses	4,209,078	-	4,209,078
Service centers	16,533,761	-	16,533,761
Other programs services	3,103,674	-	3,103,674
Interest expense	312,253	-	312,253
Total program services	<u>145,986,031</u>	<u>-</u>	<u>145,986,031</u>
Supporting services:			
University support	1,095,639	-	1,095,639
Research administration and unit support	13,526,696	-	13,526,696
Matching costs	745,353	-	745,353
Total supporting services	<u>15,367,688</u>	<u>-</u>	<u>15,367,688</u>
Total expenses	<u>161,353,719</u>	<u>-</u>	<u>161,353,719</u>
Change in net assets before transfers	(4,166,769)	33,337	(4,133,432)
Transfers to University	(699,616)	-	(699,616)
Change in net assets	(4,866,385)	33,337	(4,833,048)
Net assets, beginning of year	115,609,073	8,816,806	124,425,879
Net assets, end of year	<u>\$ 110,742,688</u>	<u>\$ 8,850,143</u>	<u>\$ 119,592,831</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2021

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, gains, and other support			
Direct research income	\$ 116,690,281	\$ -	\$ 116,690,281
Facilities & administrative (F&A) revenue	<u>28,243,846</u>	<u>-</u>	<u>28,243,846</u>
	<u>144,934,127</u>	<u>-</u>	<u>144,934,127</u>
Service centers	13,761,965	-	13,761,965
Royalties	1,374,181	-	1,374,181
Investment returns, net	13,099,244	2,154,860	15,254,104
Other income	1,740,556	-	1,740,556
Net assets released from restriction	<u>229,161</u>	<u>(229,161)</u>	<u>-</u>
	<u>30,205,107</u>	<u>1,925,699</u>	<u>32,130,806</u>
Total revenues, gains and other support	<u>175,139,234</u>	<u>1,925,699</u>	<u>177,064,933</u>
Expenses			
Program services:			
Direct research expenses	115,744,350	-	115,744,350
Capitalized expenses for property and equipment	<u>(2,328,102)</u>	<u>-</u>	<u>(2,328,102)</u>
	<u>113,416,248</u>	<u>-</u>	<u>113,416,248</u>
Research unit/school expenses	3,317,279	-	3,317,279
Service centers	6,315,667	-	6,315,667
Other programs services	2,647,519	-	2,647,519
Interest expense	<u>425,247</u>	<u>-</u>	<u>425,247</u>
Total program services	<u>126,121,960</u>	<u>-</u>	<u>126,121,960</u>
Supporting services:			
University support	881,004	-	881,004
Research administration and unit support	11,963,069	-	11,963,069
Matching costs	<u>462,585</u>	<u>-</u>	<u>462,585</u>
Total supporting services	<u>13,306,658</u>	<u>-</u>	<u>13,306,658</u>
Total expenses	<u>139,428,618</u>	<u>-</u>	<u>139,428,618</u>
Change in net assets before transfers	35,710,616	1,925,699	37,636,315
Transfers to University	<u>(298,906)</u>	<u>-</u>	<u>(298,906)</u>
Change in net assets	35,411,710	1,925,699	37,337,409
Net assets, beginning of year	<u>80,197,363</u>	<u>6,891,107</u>	<u>87,088,470</u>
Net assets, end of year	<u>\$ 115,609,073</u>	<u>\$ 8,816,806</u>	<u>\$ 124,425,879</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF CASH FLOWS
Years ended June 30, 2022 and 2021

	<u>2022</u>	<u>2021</u>
Cash flows from operating activities		
Cash received for research contracts, grants and service accounts and unit support	\$ 146,483,742	\$ 142,464,707
Royalties received	977,907	1,347,181
Interest received	1,944,398	1,615,965
Payments to suppliers and University	(155,261,289)	(138,029,820)
Interest paid	(916,454)	(428,847)
Other operating receipts	<u>15,724,230</u>	<u>15,502,521</u>
Net cash from operating activities	<u>8,952,534</u>	<u>22,498,707</u>
Cash flows from investing activities		
Purchase of property and equipment	(5,560,362)	(4,225,328)
Purchase of investments	(10,265,851)	(8,004,950)
Proceeds from sales and maturities of investments	2,097,176	729,161
Collection of notes receivable	<u>49,315</u>	<u>4,059,013</u>
Net cash from investing activities	<u>(13,679,722)</u>	<u>(7,442,104)</u>
Cash flows from financing activities		
Principal payments on note payable	(3,666,823)	(4,286,756)
Principal payments on bonds	<u>(890,000)</u>	<u>(865,000)</u>
Net cash from financing activities	<u>(4,556,823)</u>	<u>(5,151,756)</u>
(Decrease) increase in cash and cash equivalents	(9,284,011)	9,904,847
Cash and cash equivalents, beginning of year	<u>37,198,498</u>	<u>27,293,651</u>
Cash and cash equivalents, end of year	<u>\$ 27,914,487</u>	<u>\$ 37,198,498</u>
Reconciliation of change in net assets to net cash provided by operating activities		
Change in net assets	\$ (4,833,048)	\$ 37,337,409
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	3,662,831	3,896,127
Amortization	(291,948)	(402,706)
Loss on disposal of property and equipment	93,643	96,981
Realized and unrealized (gain) loss on investments	12,841,639	(13,638,139)
Transfer of assets to University of Kansas	699,616	298,906
Changes in:		
Accounts receivable, net	(2,945,454)	(2,163,660)
Prepaid expenses	(64,386)	21,028
Accounts payable and accrued expenses	1,775,835	(2,641,479)
Assets held for others	(1,838,420)	1,716,022
Deferred revenues - research	<u>(147,774)</u>	<u>(2,021,782)</u>
Net cash provided by operating activities	<u>\$ 8,952,534</u>	<u>\$ 22,498,707</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Operations: The University of Kansas Center for Research, Inc. (the Center) is a not-for-profit organization that operates under the administrative jurisdiction of the University of Kansas (the University or KU). The Center is a component unit of the University and administers sponsored agreements to conduct research and training for the University. The Center's revenues and other support are derived principally from federal, state, and private grants and its activities are conducted principally in Lawrence, Kansas.

Use of Estimates: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America (GAAP) requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues, expenses, gains, losses and other changes in net assets during the reporting period. Actual results could differ from those estimates.

Cash Equivalents: The Center considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2022 and 2021, cash equivalents consisted primarily of an interest-bearing checking account that is fully collateralized by FDIC insurance and US Bank.

Investments and Investment Return: All investments are carried at fair value. Investment return includes dividend, interest, and other investment income; realized and unrealized gains and losses on investments carried at fair value; and realized gains and losses on other investments.

Property and Equipment: Property and equipment are recorded at cost at the date of acquisition or estimated fair value at the date of donation in the case of gifts. Property and equipment are depreciated on a straight-line basis over the estimated useful life of each asset, generally 3 to 40 years. For equipment, the Center's capitalization policy includes all items with a unit cost of \$5,000 or more, and an estimated useful life greater than one year. Scientific equipment acquired with research funds are expensed when purchased if such equipment must be returned to the grantor at the end of the research project. Renovations to buildings, infrastructure and land improvements that significantly increase the value or extend the useful life of the structure are capitalized if the related project cost exceeds \$100,000. Routine repairs and maintenance are charged to operating expense in the year in which the expense was incurred.

Impairment of Long-Lived Assets: On an ongoing basis, the Center reviews its long-lived assets for impairment whenever events or circumstances indicate that the carrying amount may be overstated. The Center recognizes impairment losses if the undiscounted cash flows expected to be generated are less than the carrying value of the related asset. If impaired, the assets are adjusted to fair value based on the discounted cash flows. No impairment is thought to exist as of June 30, 2022 or 2021.

Net Assets: The Center is required to report information regarding its financial position and activities according to the following classes of net assets:

Net assets without donor restrictions are free of donor-imposed restrictions and includes resources available to be used in support of the Center's general operations.

Net assets with donor restrictions includes both resources that have been received with stipulations that they be invested to provide a permanent source of income (e.g., endowment funds); such restrictions can neither expire with the passage of time nor be removed by fulfillment of a stipulated purpose, and net assets with donor restrictions whose use by the Center is limited by donor-imposed restrictions that either expire by the passage of time or can be removed by fulfillment of the stipulated purpose for which the donation was restricted. See Notes 9 and 10.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Revenue Recognition: The Center receives sponsored program funding, recognized as direct research income, from various governmental and corporate sources. The funding may represent a reciprocal transaction in exchange for an equivalent benefit in return, or it may be a nonreciprocal transaction in which the resources provided are for the benefit of the Center, the University, or the public at large.

Direct research income consisted of the following as of June 30:

	<u>2022</u>	<u>2021</u>
Non-Exchange	\$ 90,429,932	\$ 76,298,888
Exchange	<u>33,592,283</u>	<u>40,391,393</u>
	<u>\$ 124,022,215</u>	<u>\$ 116,690,281</u>

Approximately 66% and 63% of all grant revenues was received from three grantors (federal agencies) in the form of direct awards during the years ended June 30, 2022 and 2021, respectively.

Non-exchange support funded by grants is recognized as the Center reaches agreed milestones or incurs outlays eligible for reimbursement under the grant agreements. The costs of projects on a cost-reimbursement basis are recognized as incurred and related revenue is recognized when earned (primarily as costs are incurred), whether billed or unbilled. Grant activities and outlays are subject to audit and acceptance by the granting agency and, as a result of such audit, adjustments could be required.

Revenues from non-exchange transactions may be subject to conditions, in the form of both a barrier to entitlement and a refund of amounts paid (or a release from obligation to make future payments). Revenues from conditional non-exchange transactions are recognized when the barrier is satisfied. In addition, the Center has elected the simultaneous release option for conditional non-exchange transactions that are also subject to purpose restriction. Under this option, net assets without donor restrictions will include the revenues from these transactions in the same reporting period as the revenue is recognized.

As of June 30, 2022, the Center had approximately \$500 million of conditional funding available from granting agencies over the next five years, which will be earned as milestones are met or qualified expenses are incurred.

Facilities and administrative (F&A) reimbursement revenues are earned as a percentage of direct costs charged to sponsored projects. The percentage is based on negotiated rates and is included in each award budget.

Revenue from exchange transactions is recognized as the Center performs the contracted services.

Service Center revenues represent reciprocal transactions in exchange for an equivalent benefit and are thus recognized as an exchange transaction with revenue recognized as services are performed. Payment for these services is due within 30 days of billing and the Center reserves the right to suspend services in the event that billings for such serves are not paid timely and neither the Center nor the University are liable for any resulting loss, damage or expense connected with such suspension. Service Center agreements may be terminated in whole or in part for any reason by either the Center or the customer upon 30 days' written notice to the other party.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

An allowance for uncollectible cost reimbursement amounts is provided based on management's evaluation of potential uncollectible cost reimbursement amounts at year end.

The composition of accounts receivable at June 30, 2022 and 2021 are as follows:

	<u>2022</u>	<u>2021</u>
Accounts receivable:		
Federal	\$ 16,513,450	\$ 15,742,639
State	3,937,555	4,960,690
Other	<u>7,232,614</u>	<u>3,536,643</u>
	27,683,619	24,279,972
Allowance for doubtful accounts	<u>(1,591,886)</u>	<u>(1,133,693)</u>
Total accounts receivable, net	<u>\$ 26,091,733</u>	<u>\$ 23,146,279</u>

Revenues received for research projects are received either in advance of costs being incurred or on a cost-reimbursement basis. Amounts received for sponsored research in advance of revenue recognition being met are deferred. The activity and balance for deferred revenue from sponsored research are as follows:

	<u>Federal</u>	<u>State</u>	<u>Other</u>	<u>Total</u>
Balance as of June 30, 2020	\$ 1,805,137	\$ 2,918,882	\$ 5,502,272	\$ 10,226,291
Revenue recognized	(1,805,137)	(2,918,882)	(5,502,272)	(10,226,291)
Payments received for future performance obligations	<u>932,051</u>	<u>1,914,569</u>	<u>5,357,889</u>	<u>8,204,509</u>
Balance as of June 30, 2021	932,051	1,914,569	5,357,889	8,204,509
Revenue recognized	(932,051)	(1,914,569)	(5,357,889)	(8,204,509)
Payments received for future performance obligations	<u>866,990</u>	<u>1,660,507</u>	<u>5,529,238</u>	<u>8,056,735</u>
Balance as of June 30, 2022	<u>\$ 866,990</u>	<u>\$ 1,660,507</u>	<u>\$ 5,529,238</u>	<u>\$ 8,056,735</u>

Income Taxes: The Center is exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code and a similar provision of state law. The Center is subject to federal income tax on any unrelated business taxable income. However, management believes that any unrelated business taxes due, if any, would not be material to the financial statements.

The Center is subject to guidance with respect to accounting for uncertainty in income taxes. A tax position is recognized as a benefit only if it is "more likely than not" that the tax position would be sustained in a tax examination, with a tax examination being presumed to occur. The amount recognized is the largest amount of tax benefit that is greater than 50% likely of being realized on examination. For tax positions not meeting the "more likely than not" test, no tax benefit will be recorded.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

The Center does not expect the total amount of unrecorded tax benefits to significantly change in the next 12 months. The Center recognizes interest and/or penalties related to income tax matters in income tax expense. The Center did not have any amounts accrued for interest and penalties at June 30, 2022 and 2021. At June 30, 2022 and June 30, 2021, the Center has not recorded any expected tax benefits.

Right of Use Assets and Lease Liabilities: Right of use ("ROU") assets represent the Center's right to use the underlying assets for the lease term and lease liabilities represent the net present value of the Center's obligation to make payments arising from these leases. The lease liabilities are based on the present value of fixed lease payments over the lease term using the implicit lease interest rate or, when unknown, the Center's incremental borrowing rate on the lease commencement date or July 1, 2020 for leases that commenced prior to that date. If the lease includes one or more options to extend the term of the lease, the renewal option is considered in the lease term if it is reasonably certain the Center will exercise the options. Operating lease expense is recognized on a straight-line basis over the term of the lease. As permitted by Topic 842, leases with an initial term of twelve months or less ("short-term leases") are not recorded on the accompanying balance sheet.

The Center has lease agreements with lease and non-lease components, which are accounted for as a single lease component under the practical expedient provisions of the standard. The Center has lease agreements with terms less than one year. For the qualifying short-term leases, the Center elected the short-term lease recognition exemption in which the Center will not recognize ROU assets or lease liabilities, including the ROU assets or lease liabilities for existing short-term leases of those assets in upon adoption.

Variable lease payments consist primarily of common area maintenance, utilities, and taxes, which are not included in the recognition of ROU assets and related lease liabilities. Variable lease payments and short-term lease expenses were immaterial to the Center's financial statements for the years ended June 30, 2022 and 2021. The Center's lease agreements do not contain material restrictive covenants. The Center is required to make annual rent payments based on the lease agreements. Additionally, the Center used one incremental borrowing rate of 1.898% on all its leases.

Reclassifications: Certain prior year amounts have been reclassified to conform to the current year presentation, with no effect on the change in net assets.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to June 30, 2022, to determine the need for any adjustments or disclosures to the financial statements for the year ended June 30, 2022. Management has performed their analysis through September 30, 2022, the date the financial statements were issued.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 2 - INVESTMENTS

The Executive Committee, as well as the Finance and Audit Committee, of the Center oversee the Center's investments. In accordance with the Center's investment policy, eligible investments include money market funds, FDIC insured bank accounts, U.S. Treasury obligations (Bills, Notes, Bonds), U.S. Government Agency obligations, corporate obligations, mutual funds, exchange traded funds, domestic and international stocks, and fully collateralized repurchase agreements. Asset allocation targets are reviewed semi-annually by the Finance and Audit Committee.

Fair Value Measurements: Fair value is defined as the price that would be received for an asset or paid to transfer a liability (an exit price) in the Center's principal or most advantageous market for the asset or liability in an orderly transaction between market participants on the measurement date.

To maximize the use of observable inputs and minimize the use of unobservable inputs when measuring fair value, the Center uses the fair value hierarchy. GAAP describes three levels of inputs that may be used to measure fair value:

Level 1: Inputs include quoted prices (unadjusted) for identical assets or liabilities in active markets that the entity has the ability to access as of the measurement date.

Level 2: Inputs include significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.

Level 3: Inputs include significant unobservable inputs that reflect a reporting entity's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

In many cases, a valuation technique used to measure fair value includes inputs from multiple levels of the fair value hierarchy. The lowest level of significant input determines the placement of the entire fair value measurement in the hierarchy.

Where quoted market prices are available in an active market, securities are classified within Level 1 of the valuation hierarchy. Level 1 securities include United States treasury bills, mutual funds, and money market funds.

Investments Held by Kansas University Endowment Association: Investments in pooled funds held by Kansas University Endowment Association (KU Endowment) are valued at net asset value based upon the proportional value of the overall fund which estimates fair value. Investment earnings are allocated monthly on a prorated basis representative of the Center's overall percentage of ownership in the applicable pooled funds. As such, all the Center's investments at the KU Endowment are valued at net asset value and are excluded from the valuation hierarchy. The underlying assets consist primarily of marketable securities measured at fair value.

The Center classifies funds that are available for immediate expenditure as current assets and funds invested in KU Endowment's long-term investment program and other investment funds as noncurrent assets. The funds available for immediate expenditure can be redeemed on a short-term basis.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 3 - NOTES RECEIVABLE

In fiscal year 2010, the Center loaned the Lawrence-Douglas County Biosciences Authority \$1,000,000 to assist in the financing of the construction of the Bioscience and Technology Business Center (BTBC). The note had an original maturity date of June 21, 2020. However, during the year ended June 30, 2020, the Center extended the maturity of the note to June 21, 2030, requiring final principal payment on the maturity date. The note bears interest at 4.25% and is secured by an unconditional assignment of amounts payable to BTBC under commitments from the City of Lawrence, Kansas and Douglas County, Kansas (annual commitments by each of \$75,000 per year through 2030) and by an assignment of rent from all tenants of the facility.

An additional \$100,000 was loaned to the Lawrence-Douglas County Biosciences Authority on December 15, 2010 under the same terms as the initial note. During fiscal year 2016, the note was amended to require annual principal and interest payments of \$12,500 through maturity in fiscal year 2021.

During the years ended June 30, 2017 and 2018, the Center made total advances of \$4,000,000 under a newly issued promissory note with BTBC. The note matures March 6, 2038, 20 years after the final principal advance was made, bears interest at 2.5%, and is secured by an unconditional assignment of amounts payable, insurance, and rent from all tenants of the facility. The note requires interest only payments during the first three years following the final principal advance and then annual payments of \$291,711 of principal and interest after that. In June 2021, the Center received full repayment for this note.

Notes are recorded at the unpaid principal balance. Management believes the remaining balance is collectible, as such management has made no provisions for uncollectible amounts. Interest is recognized over the term of the notes and is calculated using the simple-interest method on the outstanding principal.

A summary of changes in notes receivable is as follows:

	June 30, 2021	<u>Additions</u>	<u>Repayments</u>	June 30, 2022	Current Portion
BTBC notes	\$ 604,390	\$ -	\$ 49,315	\$ 555,075	\$ 105,003

Future repayment activity for the notes is as follows:

<u>Year Ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2023	\$ 105,003	\$ 44,997	\$ 150,000
2024	55,872	19,128	75,000
2025	58,246	16,754	75,000
2026	60,722	14,278	75,000
2027	63,303	11,697	75,000
Thereafter	<u>211,929</u>	<u>18,488</u>	<u>230,417</u>
	<u>\$ 555,075</u>	<u>\$ 125,342</u>	<u>\$ 680,417</u>

In April 2021, as part of BTBC obtaining an unrelated, third-party bank loan to construct an additional phase of its facility, KUCR entered into an agreement with BTBC, structured as a "springing" or contingent lease, whereby KUCR agrees to lease a certain portion of BTBC's facility if BTBC is unable to achieve sufficient occupancy or to meet associated financial covenants. KUCR has assessed the likelihood of performing under this stand ready provision as remote and as such has not accrued a liability for this commitment as of June 30, 2022 and 2021.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 4 - PROPERTY AND EQUIPMENT

Property and equipment consisted of:

	June 30, 2021	Increases	Decreases	June 30, 2022
Land	\$ 808,808	\$ -	\$ -	\$ 808,808
Building	1,916,236	-	-	1,916,236
Office and scientific equipment	<u>73,150,129</u>	<u>4,183,331</u>	<u>(4,142,458)</u>	<u>73,191,002</u>
	75,875,173	4,183,331	(4,142,458)	75,916,046
Less accumulated depreciation	<u>59,869,819</u>	<u>3,662,831</u>	<u>(3,918,491)</u>	<u>59,614,159</u>
	16,005,354	520,500	(223,967)	16,301,887
Buildings and equipment in progress	<u>556,108</u>	<u>332,243</u>	<u>(80,612)</u>	<u>807,739</u>
Total property and equipment, net	<u>\$ 16,561,462</u>	<u>\$ 852,743</u>	<u>\$ (304,579)</u>	<u>\$ 17,109,626</u>

The statements of financial position of the Center include only those property and equipment purchases or donations that remain the Center's property. Accordingly, the historical cost of property and equipment purchased by the Center and transferred to the University are reflected within the University's financial statements. Transfers to the University were \$699,616 and \$298,906 during the years ended June 30, 2022 and 2021, respectively.

NOTE 5 - ASSETS HELD FOR OTHERS

The Center has entered into an agreement with another community-based organization to administer the Assistive Technology for Kansans program. In association with this agreement, the Center will maintain certain administrative and fiduciary responsibilities related to certain financial assets of the program. These financial assets primarily consist of investments. Accordingly, the amounts of financial assets administered by the Center under the program are also reported as assets held for others. At June 30, 2022 and 2021, these amounts totaled \$8,032,365 and \$9,870,785 respectively.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO FINANCIAL STATEMENTS
 June 30, 2022 and 2021

NOTE 6 - BONDS PAYABLE

A summary of the changes in bonds payable long-term debt is as follows:

	<u>June 30, 2021</u>	<u>Additions</u>	<u>Retirements</u>	<u>June 30, 2022</u>	<u>Current Portion</u>
Revenue bond:					
Series 2014E	6,805,000	-	(890,000)	5,915,000	920,000
	<u>6,805,000</u>	-	<u>(890,000)</u>	<u>5,915,000</u>	<u>920,000</u>
Bond premiums	125,299	-	(23,918)	101,381	23,917
Bond issuance costs	<u>(82,456)</u>	-	<u>18,459</u>	<u>(63,997)</u>	<u>-</u>
Total	<u>\$ 6,847,843</u>	<u>\$ -</u>	<u>\$ (895,459)</u>	<u>\$ 5,952,384</u>	<u>\$ 943,917</u>

Long-term debt is comprised of the following:

<u>Revenue Bond</u>	<u>Balance at June 30, 2022</u>	<u>Balance at June 30, 2021</u>
<p>\$10,580,000 – Series 2014E Kansas Development Finance Authority Revenue Bonds (tax-exempt). The bonds are due in annual installments ranging from \$90,000 to \$4,045,000 final maturity on February 1, 2025. Interest rates ranging from 2.00% to 3.00% is payable semi-annually. A rating of AA was assigned by Standard & Poor's and a rating of Aa2 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University's revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds for the 2014E bonds were used to advance refund \$10,560,000 of the 2006G Kansas Development Finance Authority Tax-Exempt Revenue Bonds which were originally used to finance the construction of the Structural Biology Center Phase III building.</p>	<u>5,915,000</u>	<u>6,805,000</u>
	<u>\$ 5,915,000</u>	<u>\$ 6,805,000</u>

In accordance with University policy, the capitalized costs of facilities financed by the bond have been previously transferred to and are reported on University's financial statements. These facilities include the Structural Biology Center Phase III building which was financed by 2014E: At June 30, 2022 and 2021, the net book value of this facility was approximately \$8.6 million and \$9.5 million, respectively.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 6 - BONDS PAYABLE (Continued)

Future revenue bond debt service requirements at June 30, 2022 are as follows:

<u>Year Ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2023	\$ 920,000	\$ 177,450	\$ 1,097,450
2024	950,000	149,850	1,099,850
2025	<u>4,045,000</u>	<u>121,350</u>	<u>4,166,350</u>
	<u>\$ 5,915,000</u>	<u>\$ 448,650</u>	<u>\$ 6,363,650</u>

The Series 2014 Bond is secured by loan agreements with the Kansas Development Finance Authority. The bond agreement contains various restrictive covenants. The Center is subject to limitations on additional indebtedness under the agreements. At June 30, 2022, the Center reported compliance with these covenants.

Interest expense, net of amortization, related to all bonds payable for the years ended June 30, 2022 and 2021, was \$169,500 and \$247,100, respectively.

NOTE 7 - NOTES PAYABLE

A summary of the changes in notes payable long-term debt is as follows:

	<u>June 30, 2021</u>	<u>Additions</u>	<u>Retirements</u>	<u>June 30, 2022</u>	<u>Current Portion</u>
KU Endowment	\$ 2,453,723	\$	\$ (1,196,823)	\$ 1,256,900	\$ 1,256,900
Series 2012E Refunding	<u>7,790,000</u>	<u> </u>	<u>(2,470,000)</u>	<u>5,320,000</u>	<u>2,595,000</u>
	10,243,723		(3,666,823)	6,576,900	3,851,900
Premium	<u>573,639</u>	<u> </u>	<u>(286,489)</u>	<u>287,150</u>	<u>192,792</u>
Total	<u>\$ 10,817,362</u>	<u>\$</u>	<u>\$ (3,953,312)</u>	<u>\$ 6,864,050</u>	<u>\$ 4,044,692</u>

During the year ended June 30, 2018, the Center entered into a loan agreement with the KU Endowment for a principal sum of \$7,124,684. The note bears interest at 3% and requires minimum annual payments of \$1,555,707 until repaid.

Future repayment activity for the KU Endowment note is as follows:

<u>Year Ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2023	\$ 1,256,900	\$ 46,948	\$ 1,303,848
	<u>\$ 1,256,900</u>	<u>\$ 46,948</u>	<u>\$ 1,303,848</u>

Interest expense related to this note for the years ended June 30, 2022 and 2021 was \$89,892 and \$131,654, respectively.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 7 - NOTES PAYABLE (Continued)

During the year ended June 30, 2020, the Center entered into a loan agreement with the University related to the refunding of the Series 2012E bonds originally used to finance the construction of the Multidisciplinary Research building for a principal sum of \$10,145,000. The note bears interest at 5.0% and matures in May of 2024.

Future repayment activity for the Series 2012E refinancing note is as follows:

<u>Year Ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2023	\$ 2,595,000	\$ 266,000	\$ 2,861,000
2024	<u>2,725,000</u>	<u>136,250</u>	<u>2,861,250</u>
	<u>\$ 5,320,000</u>	<u>\$ 402,250</u>	<u>\$ 5,722,250</u>

Interest expense related to this note for the years ended June 30, 2022 and 2021 was \$45,608 and \$46,493, respectively.

NOTE 8 - RESEARCH PROJECT EXPENDITURES/REVENUES

The University has transferred substantially all of its research grants to the administrative control of the Center. The University and Center total sponsored research activity for the years ended June 30, 2022 and 2021 was as follows:

	<u>2022</u>	<u>2021</u>
<u>University Activity (Unaudited)</u>		
University Research Expenditures	\$ 11,301,159	\$ 12,587,148
University Indirect Cost	<u>2,490,025</u>	<u>3,088,680</u>
Total University Activity (Unaudited)	13,791,184	15,675,828
<u>Center for Research Expenditures</u>		
Center for Research Expenditures	123,473,261	114,633,311
CARES Act Grant Expenditures	1,328,354	1,111,039
Center Indirect Cost	<u>27,393,176</u>	<u>28,243,846</u>
Total Center for Research Expenditures	<u>152,194,791</u>	<u>143,988,196</u>
Total Sponsored Expenditures – University and Center (unaudited)	<u>\$ 165,985,975</u>	<u>\$ 159,664,024</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 9 - NET ASSETS

Net assets with donor restrictions at June 30 are restricted for the following purposes:

	<u>2022</u>	<u>2021</u>
Dole Institute	\$ 7,382,692	\$ 7,365,396
Humanities	<u>1,467,451</u>	<u>1,451,410</u>
	<u>\$ 8,850,143</u>	<u>\$ 8,816,806</u>

The income generated from these assets is to be used for activities relating to the restricted purposes.

Net assets released from restrictions

Net assets were released from donor restrictions by incurring expenses satisfying the restricted purposes or by occurrence of other events specified by donors.

	<u>2022</u>	<u>2021</u>
Dole Institute	\$ 233,265	\$ 195,262
Humanities	<u>56,343</u>	<u>33,899</u>
	<u>\$ 289,608</u>	<u>\$ 229,161</u>

NOTE 10 - ENDOWMENTS

The Center's endowments consist of grant-funded and individual donor-restricted funds established for a variety of purposes. As required by accounting principles generally accepted in the United States of America (GAAP), net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

The Center's governing body has interpreted the State of Kansas Prudent Management of Institutional Funds Act (SPMIFA) as requiring preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Center classifies as net assets with donor restrictions to be kept in perpetuity as the original value of grants and gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund.

The remaining portion of donor-restricted endowment funds is classified as net assets with donor restrictions not to be retained in perpetuity until those amounts are appropriated for expenditure by the Center in a manner consistent with the standard of prudence prescribed by SPMIFA.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 10 – ENDOWMENTS (Continued)

In accordance with SPMIFA, the Center considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

1. Duration and preservation of the fund
2. Purposes of the Center and the fund
3. General economic conditions
4. Possible effect of inflation and deflation
5. Expected total return from investment income and appreciation or depreciation of investments
6. Other resources of the Center
7. Investment policies of the Center

As of June 30, 2022 and 2021, the original corpus value of the endowment was \$5,995,806. The changes in donor-restricted endowment net assets for the years ended June 30, 2022 and 2021 were:

Endowment net assets, June 30, 2020	\$ 6,891,107
Investment return, net	2,154,860
Amounts appropriated for expenditure	<u>(229,161)</u>
Endowment net assets, June 30, 2021	8,816,806
Investment return, net	322,945
Amounts appropriated for expenditure	<u>(289,608)</u>
Endowment net assets, June 30, 2021	<u>\$ 8,850,143</u>

The Center has invested the above endowments in pooled funds held and managed by the Kansas University Endowment Association (KU Endowment).

KU Endowment has investment policies that attempt to provide a predictable stream of funding to programs supported by operations, as well as endowment donations. Assets are invested in a manner that is intended to produce results that match or exceed the respective benchmark while also seeking to control investment risk. The primary long-term financial objective of the portfolio managed by KU Endowment is to preserve the real value (purchasing power) of the principal (the gift value) and of its spending distributions, while providing a relatively stable source of funding for participants. Since the program's 1988 inception, Endowment has met its objective though actual returns in any given year may vary from this amount.

Funds with Deficiencies: From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donor or SPMIFA requires the Center to retain as a fund of perpetual duration. There were no such funds with deficiencies as of June 30, 2022 and 2021.

Strategies Employed for Achieving Objectives: To satisfy its long-term rate-of-return objectives, KU Endowment relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends net of fees). KU Endowment targets a diversified asset allocation to achieve its long-term return objectives within prudent risk constraints.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 10 – ENDOWMENTS (Continued)

Spending Policy and How the Investment Objectives Relate to Spending Policy: Except as specified by the donor, KU Endowment has adopted a constant growth spending policy. The target spending rate is 5.5% of the market value of participating funds, less a 0.9% administrative fee charge by KU Endowment. To avoid potential under-distributions or unsustainable over-distributions in any given year, the policy is subject to a 4.5% "floor" and a 6.5% "cap" of the trailing four quarter average market value. Every month, participating funds receive a distribution. The spending amount is recalculated annually based on values ending September 30 of the year preceding each spending year and is effective for one year beginning February 1 and ending the following January 31. In establishing this policy, KU Endowment considered the long-term expected return on its endowment. Accordingly, over the long term, KU Endowment expects the current spending policy to allow its endowment to grow at an average of the long-term rate of inflation. This is consistent with KU Endowment's objective to maintain the purchasing power of the endowed assets held in perpetuity, as well as to provide additional growth through new gifts.

NOTE 11 - RELATED PARTY TRANSACTIONS

During the years ended June 30, 2022 and 2021, amounts paid by the University (and reimbursed by the Center) for salaries, benefits, scholarships, fellowships, tuition, and other operating expenses amounted to approximately \$110,381,080 and \$102,162,387, respectively. Of these amounts, approximately \$11,422,698 and \$10,366,407 are included in accounts payable and accrued expenses at June 30, 2022 and 2021, respectively.

Grants administered by the Office of Research, an administrative division of the University, have contracts/financial activity in the name of the University. When KUCR service center activity is being paid by the University, KUCR bills the University for the services. Receivable from the University in the amounts of \$3,851,609 and \$756,918 are included in accounts receivable at June 30, 2022 and 2021, respectively.

The University provides support to the Center to fund general and administrative salaries and benefits, funds to invest in University programs and certain utility, maintenance, and custodial expenses paid by the University for the benefit of the Center. The following amounts were paid by the University for the years ended June 30, 2022 and 2021:

	<u>2022</u>	<u>2021</u>
Provost funding:		
Salaries and benefits	\$ 5,326,841	\$ 2,344,294
Other Investments	<u>2,185,635</u>	<u>2,231,307</u>
	7,512,476	4,575,601
Utilities	62,239	48,746
Information technology services	66,258	66,258
Maintenance	67,198	21,943
Custodial	<u>31,906</u>	<u>35,118</u>
	<u>\$ 7,740,077</u>	<u>\$ 4,747,666</u>

Effective July 1, 2009, the University established a central pool for the payout of vacation leave when faculty or staff resign or terminate employment. The effective rate is 0.45% of eligible payroll as of June 30, 2022 and 2021.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 11 - RELATED PARTY TRANSACTIONS (Continued)

The Center provided support to KU Endowment for departmental benefit in funding research, graduate studies, distinguished professorships, scholarships, and fellowships. Support of \$1,268,669 and \$1,450,436 was provided to KU Endowment during the fiscal years 2022 and 2021 and is included in other program services on the statement of activities.

During the years ended June 30, 2022 and 2021, the Center and the University of Kansas Medical Center Research Institute, Inc. jointly fund the operations of KU Center for Technology Commercialization (KUCTC) and \$1,187,375 was provided to KUCTC for both years.

NOTE 12 - LEASES

Non-cancellable leases for facilities used in research projects expire in various years through 2038. These leases generally contain renewal options for periods ranging from one to five years.

Future maturities of lease liabilities as of June 30, 2022 were:

2023	\$ 780,560
2024	753,842
2025	672,230
2026	426,764
2027	350,378
Thereafter	<u>3,605,877</u>
	6,589,651
Less: Interest	<u>(760,267)</u>
	<u>\$ 5,829,384</u>

Rent expense for all operating leases was \$954,216 and \$1,062,893 for the years ended June 30, 2022 and 2021, respectively.

NOTE 13 - DEFINED CONTRIBUTION PROGRAM

All employees working for the Center are University of Kansas employees. The University has a defined contribution pension program covering all staff employees who have worked at the University for more than one year. Participating employees contribute 5.5% of their salary, and the Center contributes an additional 8.5%. Participating employees are fully vested immediately. The Center contributed \$4,724,906 and \$4,245,078 for 2022 and 2021 to the defined contribution pension program for general and administrative salaries, respectively.

NOTE 14 - COMMITMENTS AND CONTINGENCIES

The Center is subject to ongoing reviews from granting agencies. Amounts for repayment to awarding agencies, if any, cannot be reasonably estimated and are thus not recorded as a liability in the statement of financial position.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 15 - LIQUIDITY AND AVAILABILITY

The Center's financial assets available within one year of the statement of financial position date for general expenditure are as follows:

	<u>2022</u>	<u>2021</u>
Financial assets at year-end:		
Cash and cash equivalents	\$ 27,914,487	\$ 37,198,498
Current investments	82,420,084	87,206,385
Accounts receivable, net	26,091,763	23,146,279
Notes receivable, net – current	<u>105,003</u>	<u>100,723</u>
Total financial assets	136,531,337	147,651,885
Less amounts not available to be used:		
Investments held as assets held for others	<u>(8,032,365)</u>	<u>(9,870,785)</u>
Financial assets available to meet general expenditures within one year	<u>\$ 128,498,972</u>	<u>\$ 137,781,100</u>

As part of the Center's liquidity management, the Center invests its financial assets to be available as its general expenditures, liabilities, and other obligations come due.

The investments held and managed by the Kansas University Endowment Association (KU Endowment) as described in Note 10 are considered donor restricted, long-term investments and are thus excluded from the assets available for general expenditure.

NOTE 16 - EXPENSES BY NATURE

The statements of activities report certain categories of expenses attributable to the program and supporting services functions of the Center.

Personnel related costs are charged based upon actual time incurred for sponsored research or other functions as assigned by department and reimbursed to the University for time incurred.

Other expenses are generally charged directly to the function to which the expenditure applies, though internal service fees charged by service centers for the benefit of sponsored research or other program services are allocated to those functions based upon the actual internal billing of services rendered. Other expenses include items such as utilities, repairs, postage, communications, and other natural categories not considered material for specific disclosure.

The tables on the following page present these functional expenses by their natural classification.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 16 - EXPENSES BY NATURE (Continued)

Year ended June 30, 2022:

	Program Services						Support Services			Total
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/School Expenses	Service Centers	Other Programs Services	Interest Expense	University Support	Research Admin., Unit Support, Startup	Matching Costs	
Personnel	\$ 54,002,497	\$ -	\$ 1,832,904	\$ 13,752,642	\$ 746,653	\$ -	\$ 71,996	\$ 7,139,977	\$ 316,143	\$ 77,862,812
Fringe Benefits	12,575,430	-	488,700	3,961,305	113,186	-	18,252	2,061,102	58,424	19,276,399
Subaward payments	13,739,783	-	-	(52,000)	-	-	-	-	-	13,687,783
Professional Fees	6,093,461	-	123,253	5,799,447	1,231,034	-	619,646	161,489	5,637	14,033,967
Supplies	4,797,145	-	424,270	2,219,179	37,587	-	2,648	316,078	67,839	7,864,746
Travel and Food	1,851,674	-	229,672	286,114	20,932	-	14,887	98,866	17,540	2,519,685
Tuition	6,130,178	-	185,133	166,595	43,462	-	41,250	97,493	134,647	6,798,758
Internal Service Fees (allocated)	10,316,068	-	35,731	(10,429,976)	25,905	-	-	8,864	43,408	-
Participant Fees	5,242,134	-	20,053	3,551	(44)	-	(360)	2,786	100,361	5,368,481
Depreciation	2,342,551	-	104,752	557,804	4,586	-	-	653,138	-	3,662,831
Equipment and other non-capital	3,759,725	(2,974,350)	22,319	53,240	35,977	-	34,996	210,019	17,739	1,159,665
Other Expense	3,950,969	-	742,291	215,860	844,396	-	292,324	2,776,884	(16,385)	8,806,339
Interest Expense	-	-	-	-	-	312,253	-	-	-	312,253
Total	\$ 124,801,615	\$ (2,974,350)	\$ 4,209,078	\$ 16,533,761	\$ 3,103,674	\$ 312,253	\$ 1,095,639	\$ 13,526,696	\$ 745,353	\$ 161,353,719

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2022 and 2021

NOTE 16 - EXPENSES BY NATURE (Continued)

Year ended June 30, 2021:

	Program Services						Support Services			Total
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/ School Expenses	Service Centers	Other Programs Services	Interest Expense	University Support	Research Admin., Support, Startup	Unit Matching Costs	
Personnel	\$ 51,180,215	\$ -	\$ 1,543,000	\$ 9,792,283	\$ 747,184	\$ -	\$ (33,791)	\$ 5,939,651	\$ 169,779	\$ 69,338,321
Fringe Benefits	11,578,458	-	455,074	2,751,898	162,550	-	(3,004)	1,545,270	37,115	18,525,359
Subaward payments	10,502,100	-	-	-	52,000	-	-	-	-	10,554,100
Professional Fees	5,253,304	-	(45,136)	4,372,042	968,200	-	445,150	360,944	4,657	11,357,161
Supplies	5,530,312	-	344,095	2,062,909	19,720	-	14,260	214,832	31,845	8,217,973
Travel and Food	428,262	-	35,497	48,918	(19,050)	-	5,036	16,684	5,269	520,616
Tuition	5,923,988	-	91,192	87,677	13,207	-	16,982	95,865	176,190	6,405,101
Internal Service Fees (allocated)	13,195,912	-	44,502	(13,258,812)	8,292	-	-	3,047	7,059	-
Participant Fees	3,031,786	-	18,038	1,642	(1,644)	-	2,425	8,470	51,048	3,111,765
Depreciation	2,812,411	-	110,166	70,937	4,378	-	-	1,098,235	-	3,896,127
Equipment and other non-capital	2,637,288	(2,328,102)	11,257	64,866	(28,040)	-	82,588	108,681	65,544	614,082
Other Expense	3,878,142	-	709,592	321,307	722,722	-	351,358	2,571,391	(91,746)	8,462,766
Interest Expense	-	-	-	-	-	425,247	-	-	-	425,247
Total	\$ 115,750,176	\$ (2,328,102)	\$ 3,317,277	\$ 6,315,867	\$ 2,647,519	\$ 425,247	\$ 881,004	\$ 11,983,070	\$ 456,760	\$ 139,428,618

SUPPLEMENTARY INFORMATION

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster				
Department of Agriculture				
<u>Direct</u>				
Modeling Projects to Support and Advance	10.025	AP21VSSP000 0C076		\$ 23,060
NRI: INT: COLLAB: Collaborative Autonomy and Safety for Teamed Human-Unmanned Aircraft Systems in Fast Evolving Wildfire Environment	10.310	2019-67021- 28992		5,259
NRI: INT: COLLAB: An autonomous insect Sense, Identify, and Manage Platform	10.310	2019-6702- 28986		93,861
Legume-rhizobia mutualism as a driver of grassland composition and community resistance to invasion	10.310	2019-67012- 29534		27,130
NRI: INT: COLLAB: Collaborative Autonomy and Safety for Teamed Human-Unmanned Aircraft Systems in Fast Evolving Wildfire Environment	10.310	2019-67021- 28992		85,746
Productivity and Soil Fertility Responses to Grassland Plant Diversity: Testing Competing Hypotheses	10.310	2020-67034- 31889		82,818
SiS: Collaborative Research: Soils are signaling shifts in aggregate life-cycles: What does this mean for water, carbon and climate feedbacks in the Anthropocene?	10.310	2021-67019- 34338		40,207
Irrigation at the new 100th Meridian: Adaptation to manage climate risks and preserve water resources in the Eastern Kansas River Basin	10.310	2022-67019- 37181		8
Subtotal for AL No. 10.310				335,029
Ethnobotanical Research, Mapping and Monitoring on the Rio Grande National-Forest	10.699	17-CS- 11020900-019		4,989
Subtotal: Department of Agriculture- Direct				363,078
<u>Passthrough- KANSAS STATE UNIVERSITY</u>				
Linking microbiome function and microbial processes to plant genetic diversity in a foundation forage grass across the Great Plains grassland climate gradient: a multi-omics approach	10.310	A21-0128-S002	2020-67019-31803	25,933
<u>Passthrough- MICHIGAN STATE UNIVERSITY</u>				
INFEWS/T1: Developing Pathways Toward Sustainable Irrigation Across The Continental United States Using Process-based Systems Models (SIRUS)	10.310	RC108063UK	2018-67003-27406	63,168
<u>Passthrough- NATURAL RESOURCES CONSERVATION SERVICE</u>				
Modeling water quality and in-stream biological endpoints of agricultural conservation in the Mississippi River Basin	10.902	NR203A75002 3C023		116,325
<u>Passthrough- NORTH CAROLINA STATE</u>				
Dissecting Molecular Plant-Microbiome Interactions for Improved Drought Tolerance in Maize.	10.310	2022-0475-01	2022-67013-36672	639

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
Department of Agriculture (Continued)				
<u>Passthrough- UNIVERSITY OF MINNESOTA</u>				
Developing and deploying a perennial grain crop enterprise to improve environmental quality and rural prosperity	10.310	82890	2020-68012-31934	\$ 47,912
Robust incentive design for sustainable agricultural systems	10.310	82653	2020-67023-3326	16,699
Subtotal: Department of Agriculture- Passthrough				270,676
Total: Department of Agriculture				633,754
Department of Commerce				
<u>Direct</u>				
University Center Program: The University Center will engage in RedTire expansion, entrepreneurial consulting, a venture student incubator and commercialization of STEM research.	11.303	ED18DEN3030 031		141,957
COVID-19: Application for administration of supplemental planning grant for CARES Act Recovery Assistance	11.307	ED20DEN3070 059		134,389
Airborne Snow Depth Retrieval for Improved Hydrological Modeling	11.459	NA19OAR4590 206		57,688
Subtotal: Department of Commerce- Direct				334,034
<u>Passthrough- AECOM</u>				
AECOM Community Resilience Support Services	11.618	MSA 20S25523GV0 3	1333ND19DNB7300 13	(6,877)
<u>Passthrough- COLORADO STATE</u>				
Center for Risk-Based Community Resilience Planning	11.609	G-99042-10	70NANB20H008	101,145
<u>Passthrough- UNIVERSITY OF ALABAMA-TUSCALOOSA</u>				
Center for Remote Sensing of Snow and Soil Moisture Measurement	11.432	A20-0344-S001	NA19NES4320002	78,229
Center for Remote Sensing of Snow and Soil Moisture Measurement	11.462	A18-0336-S001- A04	NA18NWS4620043B	5,612
<u>Passthrough- UNIVERSITY OF OKLAHOMA</u>				
Southern Climate Impacts Planning Program (SCIPP) Phase III	11.431	2019-11		4,026
Subtotal: Department of Commerce- Passthrough				182,135
Total: Department of Commerce				516,169

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
Department of Defense				
<u>Direct</u>				
Waveform Diversity Experimentation System (WaDES)	12.300	N00014-19-1-2666		\$ 116,057
Improving regional model representation of cloudy boundary layers across midlatitude synoptic systems in NRL COAMPS	12.300	N00014-20-1-2519		73,787
Subtotal for AL No. 12.300				189,844
High-throughput TCR repertoire-based platforms for antigen-specific cancer immunotherapy	12.420	W81XWH-18-1-0296		45,398
Development of a Military-Specific Transdiagnostic Eating-Disorder Survey and Screening Tool in a Nationally Representative Sample of Veterans	12.420	W81XWH1910207		570,353
Targeting RNA-binding protein HuR as a novel therapy for lethal prostate cancer	12.420	W81XWH2110573		90,939
Subtotal for AL No. 12.420				706,690
Electrochemistry: Development of a "Macro" Si-SCEM Protocol to Investigate Reaction Intermediates for the HER and OER, and its Use for Designing Earth-Abundant Electrocatalysts	12.431	W911NF-17-1-0098		985
Parametric Resonances in Time-Varying Media for Optical Limiting Applications	12.800	FA9550-20-1-0046		108,492
Stochastic control for systems with non-Gaussian noise	12.800	FA9550-20-1-0336		180,289
Pushing the Limit for Large Eddy Simulation Through a Kinetic Energy and Entropy Preserving FR method, and Mesh Adaptation Based on Machine Learning	12.800	FA9550-20-1-0315		140,584
Subtotal for AL No. 12.800				429,365
Archaeological Curation Agreement with Tulsa District COE	12.000	W912BV-16-P-0087		17
Graduate Research Assistant Support Services RFQ (HQ0034-16-T-0166)	12.000	HQ0034-16-P-0203		743
Science of Security for Cyber-physical Systems (SCpS)	12.000	H98230-18-D-0009		578,207
Enhanced Implementation of K-Scope & ASII Tunnel Detection Analysis Approach Using FWI, Modal Segmentation Methods, and Integrated Multi-Modal Techniques	12.000	W912HZ19C0014		468,436
Advancement in Seismic Imaging for Tunnel Detection: ASI to ASII-skinny	12.000	W912HZ19C0031		136,135
Navy Applications of Physical MIMO and Waveform Diversity	12.000	N00014-20-C-1006		628,625
Automated Iceberg Identification Using Machine Learning Imaging Techniques	12.000	W913E521C0022		21,341

(Continued)

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
Department of Defense (Continued)				
<u>Direct</u>				
Novel 3D Printed Zeolite Passive Samplers Enabling Fast and Reliable Measurements of PFAS in Complex Environmental Matrices (EL-32)	12.000	W912HZ21200 46		\$ 64,182
Improving the Performance of Concrete Dam Infrastructure Through Use of Fiber-Reinforced Polymers	12.000	W912HZ22C00 16		39,076
Waveform Diversity for Complex Environments	12.000	W911NF20202 71		105,008
Subtotal for AL No. 12.000				<u>2,041,770</u>
Subtotal: Department of Defense- Direct				<u>3,368,653</u>
<u>Passthrough- ADAPTIVE METHODS</u>				
Advanced Sonar Signal Processing	12.000	PO-9418	N00024-20-C-5211	46
<u>Passthrough- ADVANCED TECHNOLOGY INTERNATIONAL</u>				
Coded APSK for Improved Spectral Efficiency in Aeronautical Mobile Telemetry	12.000	2017-319		240,175
<u>Passthrough- ADVENTIUM LABS</u>				
Vulnerabilities Out of Learned Timed Automata (VOLTA)	12.000	1071-001-001- 007	FA8750-19-C-0083	97,571
<u>Passthrough- BRIGHAM YOUNG UNIVERSITY</u>				
Space Time Coding for Multi-h CPM	12.000	17-0493	W15QKN-15-9-1004	234,642
<u>Passthrough- COLLINS AEROSPACE</u>				
StairCASE	12.000	CW2251607	HR00111890001	105,264
<u>Passthrough- DARCORPORATION</u>				
Model and Mode Agnostic AI Controller for VTOL Aircraft	12.000	24751	STTR	21,077
<u>Passthrough- DEFENSE ENGINEERING CORPORATION</u>				
Waveform Research and Development for Emerging RF Sensing Technologies	12.000	10343	FA8650-20-C-1955	167,450
<u>Passthrough- IERUS TECHNOLOGIES, INC.</u>				
Quasi-Orthogonal Doppler Waveform Apps	12.000	2021-KU-001	W56KGU-21-C-0025	62,922
SBIR Phase I - Optimized Waveforms for X-band Missile-Defense Radars	12.000	22-KU-001	HQ0860-22-C-7047	36,946
<u>Passthrough- NEW SOUTH ASSOCIATES</u>				
Curation Services FY21	12.000	6201_KU_Cura tion	W912P921F0296	14,295
<u>Passthrough- PURDUE UNIVERSITY</u>				
Distributed Machine Learning and Sensor Fusion for Spectrum Sensing System Optimization	12.300	13000894-004		7,025
Distributed Spectrum Scenario Fusion and Compression	12.300	13001026-012	N00014-21-1-2472	47,390

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
Department of Defense (Continued)				
<u>Passthrough- SOUTHWESTERN OHIO COUNCIL FOR HIGHER EDUCATION (SOCHE)</u>				
Wideband Fast Spatial Spectrum Sensing Using Digital Beamforming	12.300	RY3-KU-20-6-AFRL2	FA8650-19-2-9300	\$ 20,354
<u>Passthrough- UNIVERSITY OF CALIFORNIA - SAN DIEGO</u>				
Complex Linkages, Ambivalent Ties: Global Security and Economic Interdependence in the 21st Century	12.630	KR 704373	FA9550-21-1-0143	13,328
Economic Interdependence and National Security in the 21st Century	12.630	703707	FA9550-20-1-0145	33,866
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Does TBI Affect mtDNA Heteroplasmy?	12.420	Z3H00010	W811XWH 18-1-0497	23,151
<u>Passthrough- UNIVERSITY OF MICHIGAN</u>				
Multi-Fidelity Modeling of Rocket Combustor Dynamics	12.800	SUBK00016454	FA9550-17-1-0195	41,647
<u>Passthrough- WESTERN UNIVERSITY OF HEALTH SCIENCES</u>				
Therapeutic Intervention of Crimean Congo Hemorrhagic Fever: A Tick Born Viral Illness	12.420	20158V-MIR-UKCR	W81XWH2010279	58,173
<u>Passthrough- WRIGHT BROTHERS INSTITUTE</u>				
Frequency Diverse Array Receive Algorithm Development	12.800	WBSRA-21-021-UKCR	FA8650-18-3-9326	70,357
<u>Passthrough- ZENOLEAP LLC</u>				
Uncooled Quantum Infrared Focal Plane Arrays	12.000	W909MY-21-C-0033-Sub	W909MY-21-C-0033	46,542
Subtotal: Department of Defense- Passthrough				1,342,221
Total: Department of Defense				4,710,874
Department of Education				
<u>Direct</u>				
Fulbright-Hays Doctoral Dissertation Research Abroad Award	84.022	P022A210054		5,815
Funds for the Improvement of Postsecondary Education	84.116	P116Z990008		5,049,881
The Effects of Promoting Engaging Early Literacy Interactions in Preschool Environments: Literacy 3D	84.305	R305A170241		193,645
Effects of Implicit Bias on Children's Early Outcomes	84.305	R305A190199		289,702
AspirePlus: A Researcher-Practitioner Partnership to Promote Self-Determination and More Positive Student Outcomes	84.305	R305H190017-Act 2		77,373
Improving Software and Methods for Estimating Diagnostic Classification Models and Evaluating Model Fit	84.305	R305D210045		70,220
Subtotal for AL No. 84.305				630,940

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Research and development cluster (Continued)				
Department of Education (Continued)				
<u>Direct</u>				
Middle School Class-wide Function-related Intervention Teams (MS CW-FIT): Improving Academic Engagement and Outcomes for Middle School Students	84.324	R324A160279		\$ 23,669
MTSS and Self-Determination: Examining the Impact of Tier 1 Supports to Promote Self-Determination and Academic Outcomes	84.324	R324A170008		591,739
Professional Development to Support Teachers' Implementation of a Tiered Model for Promoting Social Development of Infants and Toddlers	84.324	R324A170118		206,970
Validation of Cognitive Problem-Solving and Movement Infant-Toddler IGDIs for Screening and General Outcome Progress Monitoring	84.324	R324A150166-17		68,249
Measuring Early Communication Development in Children with ASD	84.324	R324A160072		11,694
Development of a Data-based Decision Making System to Support Educators' Promotion of Infants and Toddlers' Cognitive Problem-Solving Skills	84.324	R324A170141 - 19		272,207
Validity Studies of the Classroom Code for Interactive Recording of Children's Learning Environments (CIRCLE) (Version 2.0): A Preschool Eco-Behavioral Interaction Measure for Intervention Decision Making	84.324	R324A170048		242,150
Factors Contributing to Academic, Social/Communication, and Behavioral Outcomes for Elementary Students with the Most Significant Cognitive Disabilities	84.324	R324A180024		237,258
Promoting Teacher Use of the Supports Intensity Scale-Children's Version to Engage in Supports Planning to Enhance Access to the General Education Curriculum for Children with Intellectual Disability	84.324	R324A180034 - 20		250,251
Project DataWall: A Decision Support System for MTSS	84.324	R324A190054		266,322
Promoting Self-Determination for Students with Disabilities: A Goal-Setting Challenge App	84.324	R324A180012		219,970
Possible Selves and Self-Determination: Improving Transition Outcomes for High School Students with Learning Disabilities	84.324	R324A190011 - 20		347,634
Project SCREEN: Validation of a Free-Access Screening Tool for K-12 Educators to Screen Students with Internalizing and Externalizing Behavior Patterns	84.324	R324A190013		394,294

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Research and development cluster (Continued)				
Department of Education (Continued)				
Direct				
Enhancing Ci3T: Building Professional Capacity for High Fidelity Implementation to Support Students' Educational Outcomes (Project ENHANCE)	84.324	R324N190002		\$ 804,643
Promoting ASAP Collaboration through Technology IPACT): An Intervention Modification to Enhance Home-School Collaboration	84.324	R324A170151 - 19		16,179
5E Model Professional Development in Science Education for Special Educators (5E-SESE)	84.324	R324A18202		154,949
Combining the Self-Determined Learning Model of Instruction and Peer Supports: Examining the Impact on Academic, Social, and Functional Outcomes for Students with Autism Spectrum Disorders	84.324	R324A200007		571,029
Professional Development to Support Intervention Implementation of the Promoting Communication Tools for Advancing Language in Kids (PC TALK) for Infants and Toddlers at Risk for or with Disabilities	84.324	R324A190223		162,415
Initial Efficacy Evaluation of the CW-FIT Middle School Program: Improving Academic Engagement and Outcomes for Middle School Students	84.324	R324A200063		362,177
Validity of a Nonspeech, Dynamic Assessment of the Alphabetic Principle (DAAP)	84.324	R324A200190		58,038
Subtotal for AL No. 84.324				<u>5,261,837</u>
KU ACCESS: Leadership in Access, College, Career, and Extensive and Significant Supports for Secondary Students with Severe Disabilities	84.325	H325D140031- 17		53,730
Preparation of Special Education, Early Intervention, and Related Services Leadership Personnel	84.325	H325D160080		124,424
Strengthening Outcomes for All learners in Inclusive Settings (SOARS)	84.325	H325K160141 - 20		86,678
Subtotal for AL No. 84.325				<u>264,832</u>

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Research and development cluster (Continued)				
Department of Education (Continued)				
<u>Direct</u>				
Shared Writing Instructional Model(SWIM) for Students with Intellectual Disabilities	84.326	H326M180010		\$ 330,451
Making It Happen: Stepping Up Implementation of IGDl Technology to Improve Data-based Decision Making for Infants and Toddlers with or at-risk for Disabilities	84.327	H327S140024		57,132
Stepping Up Technology Enabled Self-Monitoring For High School Students with Disabilities	84.327	H327S170001		267,318
Virtual reality Opportunities to Integrate Social Skills (VOISS)	84.327	H327S180006		485,553
Center for Innovation, Design, and Digital Learning	84.327	H327F200008		459,541
Special Educator Technology-based Training of Trainers (SETTT) for Success	84.327	H327S200015		405,568
Project WRITE-APLM: Writing strategies for Integrating Technology in Education with the Adaptive Professional Learning Model	84.327	H327S210009		198,907
Subtotal for AL No. 84.327				1,874,019
KU Transition to Postsecondary Education for Youth with ID	84.407	P407A150017 - 19		2,824
Supporting High-Needs Elementary Students with the CW-FIT Program: Building for Scale and Sustainability	84.411	U411B190025		1,111,154
Subtotal: Department of Education- Direct				14,531,753
<u>Passthrough- ARCTIC SLOPE COMMUNITY FOUNDATION INC.</u>				
Writing and Revising Interventions to Excel: Using Learning Maps and interventions to improve written communication (WRITE for Alaska Native CTE students	84.356	25781 ASCF		162,277
<u>Passthrough- CAST, INC.</u>				
CORGI 2020: Scaling Models for the Classrooms of Tomorrow	84.327	KUCR110119- 24	H327S190008	124,553
<u>Passthrough- CENTER FOR APPLIED SCIENCE TECHNOLOGY IN</u>				
Project Coaching On Learning (COOL) for UDL Implementation	84.326			42,864
<u>Passthrough- KANSAS DEPARTMENT OF EDUCATION</u>				
Kansas SPDG Evaluation	84.323	652-18-1939	SPDG Evaluation	125,424
<u>Passthrough- LAS CRUCES PUBLIC SCHOOLS</u>				
Comprehensive Literacy State Development Grant - Las Cruces Public Schools	84.371	CSA20-21-01		161,430
<u>Passthrough- MARYLAND STATE DEPARTMENT OF EDUCATION</u>				
Innovations in Science Map, Assessment, and Report Technologies (I-SMART)	84.368	190496/201566 /211174		126,180

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Research and development cluster (Continued)				
Department of Education (Continued)				
<u>Passthrough- METROPOLITAN NASHVILLE PUBLIC SCHOOLS</u>				
GEAR UP Nashville Project	84.334	2-00530-01	Gaining Early Awareness and Readiness for Undergraduate Programs	\$ 194,820
<u>Passthrough- NATIONAL CENTER ON DEAF BLINDNESS</u>				
Student Characteristics and Foundational Learning Map and Resource Development	84.326	23602	Special Education—Technical Assistance and Dissemination to Improve Services and Results for Children	176,600
<u>Passthrough- OREGON DEPARTMENT OF EDUCATION</u>				
Oregon Aspiring Leaders Summer Institute	84.027	15875	H027A200095	115,413
<u>Passthrough- PURDUE UNIVERSITY</u>				
Para-Impact: Professional Development with Teacher-as-Coach for Paraeducators of Elementary Students with Moderate-to-Severe Developmental Disabilities	84.324	19100063-004		57,241
<u>Passthrough- UNIVERSITY OF CONNECTICUT</u>				
Exploring Relationships between College and Career Readiness, Self-Determination, and Transition Planning among Adolescents with Disabilities	84.324	147118963	R324A210245	34,121
<u>Passthrough- UNIVERSITY OF MISSOURI - COLUMBIA</u>				
Evaluating the Efficacy of a Daily Check-in/Check-out Intervention for Students At-Risk for Emotional and Behavioral Disorders	84.324	C00064320-2		137,341
<u>Passthrough- UNIVERSITY OF TEXAS-AUSTIN</u>				
The Self-Determined Learning Model of Instruction for Reading (SDLMI-R): Improving Outcomes of Upper Elementary Students with or At-Risk for Reading Disability	84.324	UTA21-000354	R324A210204	22,737
<u>Passthrough- UNIVERSITY OF WISCONSIN-MADISON</u>				
Item Development for New Forms of Alternate ACCESS for ELLs (Alt ACCESS Advancing ALTELLA: Alternate Assessment Redesign	84.368	21-8598		116,421
Item Development for New Forms of Alternate ACCESS for ELLs (Alt ACCESS Advancing ALTELLA: Alternate Assessment Redesign	84.368	22-8755	S368A190004	248,291
<u>Passthrough- VERMONT AGENCY OF EDUCATION</u>				
VT Inclusive Education Professional Learning	84.323	35355		4,954
Subtotal: Department of Education- Passthrough				<u>1,850,667</u>
Total: Department of Education				<u>16,382,420</u>

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Research and development cluster (Continued)				
Department of Energy				
<u>Direct</u>				
Mechanistic Studies to Enable Aerobic Oxidation of C-H Bonds by Manganese Catalysts	81.049	DE-SC0016359		\$ 104,899
Scrutinizing entrainment and mass flux closures in shallow cumulus parameterizations using cloud-radar observations and large-eddy simulation	81.049	DE-SC0016522		39,928
Searches for New Physics in Standard Model Processes	81.049	DE-SC0017988		18,233
Probing Small-x QCD Dynamics With Hadronic Collisions	81.049	DE-SC0019389		21,996
Molecular to Mesoscale Targeting of Oxoanions with Multi-Tasking Hosts	81.049	DE-SC0018629		5,296
Uranyl Capture and Activation with Lewis Acids and Macrocyclic Hosts	81.049	DE-SC0019169		136,008
Searching for the Nature of Dark Matter and Dark Energy	81.049	DE-SC0019474		88,757
Ab Initio Machine Learning Algorithms for Modeling Kinetics on Amorphous Catalysts	81.049	DE-SC0019488		366,740
Understanding Rate Constants of Hydrated Electron Reactions	81.049	DE-SC0021114		106,058
Research in Heavy-Ion Nuclear Physics: Studying the initial state of QCD matter	81.049	DE-SC0020914		176,553
Electron transfer in heterostructures based on two-dimensional materials	81.049	DE-SC0020995		192,105
Theoretical Particle Physics in the Data-Driven Era	81.049	DE-SC0021447		65,595
Research in Heavy-Ion Nuclear Physics at CMS	81.049	DE-FG02-96ER40981		727,995
Subtotal for AL No. 81.049				2,050,163
Stationary Direct Methanol Fuel Cells Using Pure Methanol	81.087	DE-EE0008440		201,657
A NOVEL SMART MICROCHIP PROPPANTS TECHNOLOGY FOR PRECISION DIAGNOSTICS OF HYDRAULIC FRACTURE NETWORKS	81.089	DE-FE0031784		590,251
H-2-SALT: Storing Fossil Energy as Hydrogen in Salt Caverns	81.089	DE-FE0032015		194,567
Critical Minerals in Coaly Strata of the Cherokee-Forest City Basin	81.089	DE-FE0032056		224,796
Subtotal for AL No. 81.089				1,009,614
High Resolution Zero Degree Calorimetry	81.000	411321		37,995
Subtotal: Department of Energy- Direct				3,299,429

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Research and development cluster (Continued)				
Department of Energy (Continued)				
<u>Passthrough- AMERICAN INSTITUTE OF CHEMICAL ENGINEERS</u>				
GAS SEPARATION USING FURAN-BASED POLYMER MEMBRANES - PROJECT H22020	81.087	DE-EE0007888-	DE-EE007888-06-09 06-09	\$ 76,843
<u>Passthrough- FERMI NATIONAL ACCELERATOR LABORATORY</u>				
High Luminosity (HL) LHC CMS Detector Upgrade Projects MIP Timing Detector	81.000	678515	DE-AC02- 07CH11359	57,175
<u>Passthrough- HONEYWELL</u>				
MASTER COLLABORATION AGREEMENT	81.000		DE-NA0002839	596,287
<u>Passthrough- JEFFERSON SCIENCE ASSOCIATES LLC</u>				
Services of EIC Fellowship Winner, Alexander "Sasha" Bylinkin, During the Period 02/01/22 - 05/31/22	81.000	Purchase Order 22-D0507	DE-AC0-06OR2317	26,394
<u>Passthrough- KANSAS STATE UNIVERSITY</u>				
Integrated Anaerobic Membrane Bioreactor (AnMBR)-electro-assisted fermentation platform for total resource recovery from diverse wastewaters	81.086	A21-0320-S001	DE-EE0009504	22,167
<u>Passthrough- LARGO CLEAN ENERGY CORP</u>				
Electrolyte Densification for Shipping (EDS) Process	81.135	26076	cooperative Agreement	19,483
<u>Passthrough- LAWRENCE BERKELEY NATIONAL LAB</u>				
Research During Sabbatical Leave during 2020- 2021 Academic Year	81.000	7561272	DE-AC02- 05CH11231	(11,419)
<u>Passthrough- METROPOLITAN ENERGY CENTER</u>				
Hydrogen Infrastructure Integration Study	81.086	S-AFV14	DE-EE0008262	9,584
<u>Passthrough- NEW MEXICO TECH</u>				
Carbon Utilization and Storage Partnership (CUSP) for the Western USA	81.089	P0019651	DE-FE0031837	99,487
<u>Passthrough- NORTHERN ILLINOIS UNIVERSITY</u>				
5-D dual-readout calorimetry for the Next Generation of HEP Experiments	81.049	G1A627765-1	DE-SC0021123	36,919
<u>Passthrough- SANDIA NATIONAL LABORATORIES</u>				
Molecular Modeling of Fluid Properties at Mineral Interfaces	81.000	2127658		70,899
Waveform diversity and signal processing capabilities for radar and multi-function operation in spectrally congested, contested, and constrained environments	81.000	2237007	DE-NA0003525	103,503
<u>Passthrough- SUMNER COUNTY GOVERNMENT</u>				
Field Testing & Validation - Thermal Energy Storage in Public and Commercial Buildings in Sumner County, Kansas for Energy Savings, Demand reduction and Flexibility.	81.086	SCKS DE-EE- 0009467-1	DE-EE-0009467	57,061
<u>Passthrough- TRIAD NATIONAL SECURITY LLC</u>				
Parallel High-order Curvilinear Mesh Generation Algorithms and Software for Use with Computational Mechanics Simulations	81.000	619744	89233218CNA00000 1	16,837
<u>Passthrough- UNIVERSITY OF CALIFORNIA SANTA CRUZ (UCSC)</u>				
Linking nutrient reactivity and transport in subsurface flowpaths along a terrestrial-estuarine continuum	81.049	A21-0274-S001	DE-SC0021044	7,785

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Research and development cluster (Continued)				
Department of Energy (Continued)				
<u>Passthrough- UNIVERSITY OF MARYLAND - BALTIMORE</u>				
Characterizing the Variation and Covariation of Cloud Microphysical Properties and Implications for Simulation of Subgrid-scale Warm-Rain Processes in Earth System Models	81.049	OFED0010-01	DE-SC0020057	\$ 80,659
<u>Passthrough- UNIVERSITY OF NORTH DAKOTA</u>				
Experimental Study of Oil Swelling with Ethane and Propane	81.000	11203462	Plains CO2 Reduction (PCOR) Partnership	1,494
<u>Passthrough- UNIVERSITY OF TEXAS-AUSTIN</u>				
GWPC-Regional Induced Seismicity Collaborative (RISC)	81.089	UTA18-000016	DE-FE00027702	2,482
Subtotal: Department of Energy- Passthrough				1,273,640
Total: Department of Energy				4,573,069
Department of Health and Human Services				
<u>Direct</u>				
Kansas Serves Native American Families - KSNAF	93.087	90CU0079		445,573
Bridging the Word Gap Research Network	93.110	UA6MC27762		147,459
Bridging the Word Gap Research Network	93.110	1U6DMC42197 0100		147,404
Subtotal for AL No. 93.110				294,863
Toxicogenomics of metal response in genetically-variable Drosophil populations	93.113	5R01ES029922-03		112,445
Linking genomic, physiological, and behavioral responses using a Drosophila model of heavy metal stress	93.113	K99ES033257		62,453
Subtotal for AL No. 93.113				174,898
Peptide-Polymer Engineering Dentin/Adhesive Interfacial Bond Integrity	93.121	R01DE025476		336,968
Evaluation of a Comprehensive Approach to Address Youth Violence through the Kansas City Youth Violence Prevention Center	93.136	U01CE003375		221,975
Interactive book reading to accelerate word learning by children with SLI	93.173	R01DC012824		290,132
Morphosyntactic Abilities of SLI Probands	93.173	5R01DC00180 3		95,763
A virtual vocal tract for speech output using non-invasive brain-computer interface	93.173	1R01DC01634 3-02		370,081
Training Researchers in Language Impairments	93.173	T32DC000052		187,494
Genetic studies of specific language impairment (SLI) using consanguineous families	93.173	R21DC017830		133,410
Developing a caregiver-administered word learning treatment for children with Developmental Language Disorder (DLD)	93.173	1K18DC01961 5-01		184,113

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Direct</u>				
Increasing Word Learning Efficiency in Children who are Deaf and Hard of Hearing through Retrieval Practice	93.173	1R21DC02001 7		\$ 19,295
Subtotal for AL-No. 93.173				<u>1,280,288</u>
Kansas Program to Improve the Health of People with Mobility Limitations and Intellectual Disabilities	93.184	6 NU27DD00000 6-05-01		178,883
Care and Safety Practices during the COVID-19 Pandemic in Home-Based Long term Services and Supports	93.226	R01HS028172		341,749
Trauma exposure, emotion regulation and cognitive skills in early childhood: Prospective and longitudinal examination of the mechanisms of adjustment	93.242	R01MH079252		263,266
Motor abnormalities and functional brain mechanisms in autism spectrum disorder	93.242	R01MH112734		333,352
Ecological Momentary Assessment of Unhealthy Exercise and Affect in Eating Disorders	93.242	R36MH120943		34,153
Smart Technology for Anorexia Nervosa Recovery: A Pilot Intervention for the Post-Acute Treatment of Anorexia Nervosa	93.242	1R34MH12702 2-01		187,132
Exploring predictors of response to a peer-mediated communication intervention for minimally verbal preschoolers with ASD	93.242	1R21DC01921 5-01A1		95,526
Assessment of traumatic experiences among young children: Examining measurement factors that influence parent report and predictability	93.242	1F31MH12434 0-01A1		36,275
Lateralization of sensorimotor behavior and cortical-cerebellar networks in autism	93.242	1F31MH12657 2-01A1		21,967
Subtotal for AL No. 93.242				<u>971,671</u>
A cluster-randomized trial of a behavioral activation intervention administered in a college freshman orientation course	93.273	5R01AA027791- 03		250,911
Using Neuroeconomics to Characterize State-Based Increases and Decreases in Alcohol Value	93.273	R01AA027255		354,111
Subtotal for AL No. 93.273				<u>605,022</u>
Neuronal Circuits and Molecular Mechanisms Underlying Early Social Isolation-Potentiated Heroin Seeking	93.279	1K01DA050908		104,785
Biotechnology Resource Center of Biomodular Multi scale Systems CBM2 for Precision Molecular Diagnostics	93.286	P41EB020594- 06		25,556
Biotechnology Resource Center for BioModular Multi-scale Systems (CBM2) for Precision Medicine	93.286	P41EB020584		370,004
Scanning Resonator Microscopy	93.286	R03EB027357		69,654
Subtotal for AL No. 93.286				<u>465,214</u>

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
Direct				
COVID-19: Comprehensive analysis of human adaptive immune receptors to elucidate correlates of Epstein-Barr virus disease suppression	93.310	DP5OD023118		\$ 56,761
Comprehensive analysis of human adaptive immune receptors to elucidate correlates of Epstein-Barr virus disease suppression	93.310	DP5OD023118		46,752
Subtotal for AL No. 93.310				103,513
A resource for the Genetic Analysis of Complex Traits	93.351	5R01OD01097 4-10		52,212
Increased Sensitivity of Minimal Residual Disease Monitoring using Peripheral Blood in Pediatric Patients with Acute Lymphoblastic Leukemia	93.394	R33CA235597		125,579
Nano-Engineered Lab-on-a-Chip for Assessing HuR-Regulated Exosomes for Cancer Monitoring and Targeted Therapy	93.394	R01CA243445		444,879
Subtotal for AL No. 93.394				570,458
Molecular cancer therapy targeting HuR-ARE interaction	93.395	5R01CA19178 5-05		78,884
Promoting Career Design and Development via Telehealth for Rural Adults with Intellectual and Developmental Disabilities	93.433	90IFRE0039		153,855
Using the National Survey on Health and Disability Panel to Document the COVID-19 Pandemic Experiences of Working-Age Americans with Disabilities	93.433	90IFRE0050		42,890
Research and Training Center on Community Living	93.433	90RT5043-04- 01		656,916
Subtotal for AL No. 93.433				853,661
2019-2020: Kansas State Plan for Assistive Technology	93.464	1901KSATSG- 02		2,457
Kansas State Grant for Assistive Technology	93.464	2001KSATG		241,167
Kansas State Plan for Assistive Technology	93.464	2101KSATSG- 02		167,464
ATPH-Expanding the Public Health Workforce within the Disability Network: AT St. Grants	93.464	2201KSATPH- 00		10,809
Subtotal for AL No. 93.464				421,897
Kansas Invests in Families (KInvest)	93.556	90CW1150		69,511
Implementation and Sustainability of Positive-behavior-support in Real Early-care (InSPIRE)	93.575	90YE0207-01- 00		1,222
Head Start Collaboration Office Needs Assessment	93.600			12,980
AOD - Supported Decision Making Across the Lifespan Planning Grant	93.631	90DNDM00030 1		15,984
Kansas Self-determined Transition Employment Partnership (K-STEP): Youth-Led Systems Change for Enhanced Transition and Employment Outcomes	93.631	90DNCE0002- 01-00		83,725

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Direct</u>				
State of the States in Developmental Disabilities- On-going Data Collection and Information Dissemination: 2018	93.631	90DNPA0004		\$ 170,731
Subtotal for AL No. 93.631				<u>270,440</u>
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	90DDUC0033		629,404
Coming Together and Moving Forward: Supporting Integrated, Community-Based Transition in Kansas	93.632	90DDUC0084- 01-00		48,534
Supporting People with Disabilities with Vaccine Access during COVID-19 in Kansas	93.632	90DDC50034- 01-00		40,042
Kansas Self-Determined Transition Taskforce: Moving Forward To Enhance Transition Outcomes	93.632	90DDCI0003		73,986
Expanding the Public Health Workforce in Kansas	93.632	90UCPH0004- 01-00		1,289
Subtotal for AL No. 93.632				<u>.793,255</u>
Universal Prevention for Strong and Thriving Families (Family Strong)	93.648	90CT7013-01- 00		158,852
Kansas Strong for Children and Families (Kansas Strong)	93.652	90CO1139		1,527,472
Behavioral Health Workforce Education and Training (BHWET) Program	93.732	1 M01HP313600 100		196,200
Integrated Health Scholars: Partnerships to Advance Practice	93.732	M01HP31360		435,683
Subtotal for AL No. 93.732				<u>631,883</u>
ReACT an Adaptive Mobile Health Intervention for Adolescent Asthma	93.838	1R56HL141394- 01A1		12,780
Weight management in rural health clinics	93.847	R01DK108732		670,162
Tools for neuronal pathway analysis at sub-second and single-cell resolution	93.853	5 R21 NS109659-02		16,162
Structural and functional connectivity of the social decision-making network	93.853	3R01NS11310 4-02S1		332,681
Regulation of growth cone polarity and protrusion in axon guidance	93.853	R03NS114554		48,953
A Novel Pharmacologic Approach to Treat CMT1X	93.853	4R33NS11435 5		323,597
Regulation of directed neuroblast migration by the ECM and MAB-5/Hox	93.853	1R01NS11546 7-01A1		419,687
HTS to identify small molecules to disrupt abnormal huntingtin interactions in HD	93.853	5R01NS08805 9-04		1,199
Wearable real-time functional brain mapping for a non-human primate stroke model	93.853	R01NS118918		503,447
Subtotal for AL No. 93.853				<u>1,645,726</u>

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
Direct				
Assembly/function of the sorting platform of the Shigella type III secretion apparatus	93.855	R01AI123351		\$ 152,315
Generating Native Env Glycosylation in HIV Vaccine Candidates	93.855	5R01AI125093-02		56,050
Improved Informatics for Epitope Mapping by Hydrogen Exchange-Mass Spectrometry	93.855	R21AI135701		(601)
The causes of balancing selection on immunity genes: from populations to molecular interactions.	93.855	1R01AI139154-01		333,891
Vaccines to counter emerging antibiotic resistance	93.855	R01AI138970		917,957
Identification of CYP5122A1 inhibitors as chemical probes for Leishmania biology	93.855	5R01AI139198-03		399,514
Development of a broadly protective subunit vaccine against Pseudomonas aeruginosa	93.855	1R21AI140701-01		4,725
Comprehensive molecular and functional analyses of anti-HIV-1 antibody repertoires	93.855	R21AI143407		103,114
Probing antigen specificity and response of autoimmune B cells in Neuromyelitis Optica	93.855	R21AI144408		(3,682)
Identification of small molecule probes for dissecting the roles of sorting platform components within the type III secretion system	93.855	R121AI146517		40,406
A vaccine specifically targeting T3SS-negative Pseudomonas aeruginosa	93.855	1R21AI164616-01		152,015
Resistance-gene-guided genome mining for novel antifungal compounds	93.855	R21A1156320		192,002
Identifying functional targets of HSV-1 ICP0-directed degradation	93.855	R21AI154302		178,930
Subtotal for AL No. 93.855				2,526,636
Molecular Analysis of Disease Pathways	93.859	5P20GM103638		2,519,485
Integrated Resource for Protein Recognition Studies	93.859	R01GM074255		69,311
Chemical Biology for Infectious Disease	93.859	P20GM113117		158,726
KU Post Baccalaureate Research Education Program (PREP)	93.859	R25GM078441		298,336
500 Nations Bridge Collaboration: Haskell Indian Nations University / U of Kansas	93.859	R25GM060182		91,709
Designed Beta-strands for inhibiting efflux pumps and disabling antibiotic resistance	93.859	1DP2GM128201-01		506,304
Mechanisms of Gamma-Secretase	93.859	R01GM122894		96,699
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	5K12GM063651-18		588,122
Mass Spectrometry Measurements for Complex PTMS	93.859	5R35GM130354-03		270,848

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Direct</u>				
Graduate Training at the Biology-Chemistry Interface	93.859	T32GM132061		\$ 375,549
Enhanced Sampling of G-Protein-Coupled Receptor-G Protein Interactions	93.859	R01GM132572		215,121
Genetic dissection and characterization of variation in copper resistance in <i>Drosophila melanogaster</i>	93.859	F32GM133111		19,550
Determining mechanisms of innate immune modulation by ADP-ribosylation	93.859	R35GM138029		362,831
Quorum sensing evolution and function in mixed bacterial communities	93.859	R35GM133572		404,400
Chemical Biology of Infectious Disease	93.859	2P20GM113117		1,700,378
Tethered aza-Wacker Technology for Complex Antibiotic Assembly	93.859	R35GM142499		203,958
Biomaterial technologies for interrogating sex differences in tissue repair and homeostasis	93.859	R35GM143081		211,876
Integrated Resource for Protein Recognition Studies	93.859	2R01GM074255		166,567
MARC at The University of Kansas	93.859	T34GM136453		230,583
Subtotal for AL No. 93.859				<u>8,490,353</u>
Kansas Intellectual and Developmental Disabilities Research Center (KIDDDRC)	93.865	5P30HD002528-49REV		(70,152)
The effects of parenting on the development and behavior of FXS adolescents	93.865	5R01HD084563-05		156,214
Kansas Intellectual and Developmental Disabilities Research Center	93.865	3U54HD090216-05		458,331
Individual and family-based approaches to increase physical activity in adolescents with IDD	93.865	R01HD094704		440,148
Behavioral Inflexibility in IDD Outcome Measurement	93.865	7R01HD082127-05		10,620
Validation of an outcome measure of early social-communication for young children with ASD	93.865	R01HD100364		530,612
Examining Biobehavioral Mechanisms of Extreme Eating Behaviors in Young Children with ASD	93.865	F32HD101311		75,832
Young Infants' Detection of Emotion	93.865	1K99HD101500-02		125,827
The Influence of Executive Functioning on Internalizing and Somatic Symptoms in Trauma-Exposed Arab Resettled Refugee Parent-Child Dyads	93.865	1F31HD102193-01		36,283
Gatlinburg Conference on Research in ID/DD	93.865	R13HD102142		8,000
Parent-implemented treatment for repetitive behaviors in children with ASD: Using a novel telehealth approach to increase service access	93.865	1R01HD105036		362,900
Subtotal for AL No. 93.865				<u>2,134,615</u>

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Direct</u>				
Role of Clusterin in Brain Mitochondria	93.866	1R21AG05596 4-01		\$ 855
ApoE, Energy, and Synaptic V-ATPase	93.866	1R21AG05917 7-01		108,314
Sporadic Alzheimer's Disease: A Bioenergetic Etiology?	93.866	1R01AG06103 8-02		306,477
A Dyadic Approach for a Remote Physical Activity Intervention in Adults with Alzheimer's Disease and their Caregivers	93.866	R01AG061187		869,966
Synapse structural dynamics and memory loss in mouse models of Alzheimers disease	93.866	R01AG064067		540,673
Remediation of elevated delay discounting in mid-life individuals: A stage-II trial	93.866	R01AG048904		231,073
Structure and Function of Gamma-Secretase in Familial Alzheimer's Disease	93.866	1R01AG06698 6-01		525,452
Mitochondria targeting for Alzheimer's Disease	93.866	3R21AG07046 6		166,579
Ghsr1a and Hippocampal Pathology in Alzheimer's Disease	93.866	RAG059753		392,833
Mitochondrial ATP Synthase Dysfunction and Synaptic Stress in Alzheimer's Disease	93.866	RAG053588B		283,095
A Study of Race Differences in Alzheimer's Disease Biomarkers	93.866	RF1AG072760		345,416
mtDNA leakage and STING-dependent microglial innate immune response in Alzheimer's disease	93.866	1R01AG07510 8		81,538
Reshaping ApoE4 and Alzheimer's Brains with ApoE2	93.866	1R01AG07168 2-01A1		112,063
Subtotal for AL No. 93.866				<u>3,964,334</u>
Precisely removing microvessels by photo-mediated ultrasound therapy	93.867	R01EY029489		295,369
Preventing Youth Violence by Addressing Social Determinants Through the KC Youth Violence Prevention Project	93.910	YEPMP170096-		175,544
Adjuvants Discovery Program	93.000	HHSN2722014 00056C		237,406
Curation for the United State Army Corp of Engineers	93.000	W912DQ-14-P- 1037		14
Subtotal for AL No. 93.000				<u>237,420</u>
Subtotal: Health and Human Services- Direct				<u>31,121,068</u>

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- AMIRA LEANING, INC.</u>				
An Innovative Screener for Reading and SLI targeting Kindergarten through 3rd Grade Students	93.173	SRA25272		\$ 80,220
<u>Passthrough- ASSOCIATION OF UNIVERSITY CENTERS ON DISABILITIES</u>				
Act Early Ambassadors: State or Territorial Liaisons to CDCs, Learn the Signs. Act Early. Program	93.837			3,173
UT2 Autism Intervention Research Network on Physical Health (AIR-P)	93.877	01-21-8840	6UT2MC39440-01	18,560
<u>Passthrough- BBC ENTREPRENEURIAL TRAINING AND CONSULTING LLC</u>				
The Sustainable Heartland Accelerator Regional Partnership (SHARP) Hub	93.859	Supplement	3UT2GM130175-02S1	26,873
<u>Passthrough- BIOFLUIDICA</u>				
Increased sensitivity of minimal residual disease monitoring using peripheral blood in pediatric patients with B type acute lymphoblastic leukemia (B-ALL)	93.394	21518	1R44CA224848-01A1	34,823
<u>Passthrough- BIOMEDICAL RESEARCH INSTITUTE OF NEW MEXICO</u>				
PTPRD ligands for stimulant and opiate use disorders	93.279	358-Uhl-2020	1U01DA047713	89,959
<u>Passthrough- CHILDREN'S MERCY HOSPITALS & CLINICS</u>				
Local Conditions and Child Health	93.865	18-0030	R21HD094106	1,020
<u>Passthrough- CHRISTOPHER & DANA REEVE FOUNDATION</u>				
Accessible Recreation: Playing Electronic Games Independently to Increase Health & Social Connection	93.325		90PRRC0002-01-01	11,604
<u>Passthrough- DESIGNZYME</u>				
Cortisol Biosensor Phase 1	93.859	1R43GM13765 2-01A1 SUB	RGM137652A	16,636
<u>Passthrough- DIGITAL NANOGENETICS LLC</u>				
A novel single molecule sequencing technology for direct, label-less detection of unamplified DNA single molecules	93.172	1R43HG01055 1-01-Sub	1R43HG010551-01	1,993
<u>Passthrough- DREXEL UNIVERSITY</u>				
Prevalence and Profile of Treatment Non-responders in Autism Early Intervention	93.173	800198	1R01DC017181-01A1	29,194
<u>Passthrough- DUKE UNIVERSITY</u>				
HIV-1 vaccine-elicited antibodies target envelope glycans	93.855	A0337643	2R01AI120801-06	46,977
Novel Immunogens to Elicit Broadly Cross-reactive Antibodies that Target the Hemagglutinin Head Trimer Interface.	93.855	A035386	1R01AI155804-01A1	12,619
<u>Passthrough- EVOKE MEDICAL</u>				
Development of an Osteoinductive Spinal Fusion Implant for Enhanced Fusion Rates	93.846	25337	R44AR070088	8,883

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- FAMILIES AND COMMUNITIES RISING, INC.</u>				
2019 National Center for Community-Based Child Abuse Prevention	93.590			\$ 1,718
COVID-19: National Center for Community-Based Child Abuse Prevention	93.590	2021-2022 KU	90CZ0027	10,951
COVID-19: National Center for Community-Based Child Abuse Prevention	93.590	2021-2022 KU	90CZ0027	41,486
2019 National Center for Community-Based Child Abuse Prevention	93.590			37,661
<u>Passthrough- FUTURES WITHOUT VIOLENCE</u>				
A Quality Improvement center on domestic violence in child welfare	93.670	3037	90CA1850-04	(336)
A Quality Improvement center on domestic violence in child welfare	93.670	3037	90CA 1850-04 Addendum #1	202,452
<u>Passthrough- HAFION LLC</u>				
Toward the development of a protein: non-protein macromolecular adjuvants	93.000	75N93019C000		17,820
Production of a Nanoparticle Vaccine to Aid in Smoking Cessation	93.279	R43DA050474-	1R43DA50474-01A1	35,478
<u>Passthrough- HEALTH RESEARCH, INC.</u>				
Lyme Disease: B Cell Epitope Discovery and Mechanisms of Antibody Protection	93.000	6176-03	75N93019C00040	166,847
<u>Passthrough- HENRY FORD HEALTH SYSTEM</u>				
Reducing Maternal Delay Discounting as a Target Mechanism to Decrease Harsh Parenting and Improve Child Mental Health Outcomes in a Traditionally Underserved Community	93.242	B11239UK	1R34MH123602-01A1	20,777
Improving Delay Discounting to Decrease Harsh Parenting among Parents Receiving Substance Use Treatment in a Low Resource Community	93.279	B11238UK	1R34DA053524-01A1	13,750
<u>Passthrough- HORIZONS MENTAL HEALTH CENTER</u>				
CCBHC Expansion Grants	93.829	24921	H79SM083196	147,838
<u>Passthrough- IDAHO STATE DEPARTMENT OF EDUCATION</u>				
Idaho Advancing Wellness and Resiliency in Education (ID-AWARE)	93.243	217822		15,293
SECTR: Idaho Lives Project (ID-AWARE)	93.243	22-7911	AWARE-SEA	22,839
<u>Passthrough- IOWA DEPARTMENT OF HUMAN SERVICES</u>				
Iowa ROM 2021 - 2026	93.658	ACFS 21-206		68,260
<u>Passthrough- KANSAS CHILD CARE TRAINING OPPORTUNITY</u>				
Infant-Toddler Specialist Network: KCCTO-KITS Partnership	93.575	23358	EES-2021-ITSN-01	43,722
Statewide Infant-Toddler Specialist Network: KCCTO-KITS Collaboration - 2021-2022	93.575	23358		846,704

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- KANSAS CHILDREN'S CABINET AND TRUST FUND</u>				
HHS/ACF Preschool Development Grant Birth through Five	93.434	90TP0078	HHS-2019-ACF-OCC-TP-1579	\$ 894,596
HHS/ACF Preschool Development Grant Birth through Five	93.434	90TP0078-02	90TP0078-02	2,682,841
HHS/ACF Preschool Development Grant Birth through Five	93.434	PO12995	LOC fund 3592-3070-Z01023	105,704
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	93.590	KUCR-CC-CBCAP 2018-2021-C	Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	12,890
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	93.590	KUCR-CC-CBCAP-2021-2024-C		192,735
<u>Passthrough- KANSAS DEPARTMENT FOR AGING A</u>				
Assistive Technology Pilot Effort: Addressing Isolation, Health, Nutrition and Safety Concerns Through Technology during the Covid19 Pandemic Assistive Technology for Kansans	93.048		90NWC30044-01-00	46,922
Kansas SED Waiver Assessment & Evaluation Services	93.778			37,878
<u>Passthrough- KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
Quality Support Services	93.575	43540	Child Care and Development Block Grant	23,714
Kansas Enrichment Network FY 2021 - 2023	93.575	49429	Child Care and Development Block Grant	62,602
Prevention Grant Evaluation, Families First Prevention Services Act	93.658	PPS-2019-FFPEV		569,260
<u>Passthrough- KANSAS DEPARTMENT OF EDUCATION</u>				
Connected Families, Connected Communities - Every Child Thrives!	93.434	652-19-1989	HHS-2018-ACF-OCC-TP-1379	(152)

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT</u>				
Medical Entomology Subject Matter Expert for EHC	93.070	48567 UKCR	NUE1EH001416	\$ 26,727
MAVIS Project KCC Perinatal Behavioral Health Activities	93.088	48567 UKCR - Task Order 22052	ASTWH210098	84,868
Kansas ECCS Impact Grant	93.110		H25MC00234	(1,906)
Master Agreement	93.110	48567 - TO 21007	5UK3MC322410300	324,929
KSKidsMAP IRIS Expansion	93.110	48567 UKCR, TaskOrder 22045	U4CMC32911	3,229
SEXUAL VIOLENCE PRIMARY PREVENTION COMMUNITY BASED EVALUATION	93.136	TO21031	5NUF2CE002495-03- 00	38,657
Evaluation of Programs at KU Sexual Assault Prevention and Education Center	93.136	48567 UKCR, Task Order 21032	5NUF2CE002495-03- 00	32,502
CPTED toolkit development	93.136	TO22002		2,724
Kansas Department of Health and Environment Contract for Second Step Evaluation Project	93.136	TO21051	5NUF2CE002495-03- 00	14,989
Evaluation of Programs at KU Sexual Assault Prevention and Education Center	93.136	TO 22051	5NUF2CE002495	31
Community Health Access Section Kansas Statewide Farmworker Health Program Evaluation	93.224	TO22008		44,850
REDCap Vaccine Administration Forms	93.268	KDHE-TO- 21038	CDCRFA-IP19-1901	5,110
REDCap Vaccine Administration Forms	93.268	KDHE-TO- 21038	CDCRFA-IP19-1901	4,916
COVID-19 Vaccination Campaigns for Women Transitioning from Incarceration	93.268		6NH23IP922627-02- 06	4,579
Medical Entomology Subject Matter Expert	93.323	48567, Task Order 21043	NU50CK000549	46,532
KDHE Master Agreement - Ripple Effects Mapping - Task Order 22032	93.387	22032	5NU58DP006823	18,442
KDHE Master Agreement-Task Order: Child Care Systems Improvement Team (CC-SIT) Services	93.434	KDHE_TO_210 13		862
Backbone Support Child Care Start Up Grants	93.575	KDHE_TO_220 34		9,740
Equipment Exchange: Increasing Access to Durable Medical Equipment (DME)	93.778	KDHE2014- 1011	Medical Assistance Program	89,910
Assistive Technology for Kansans	93.778	21034		55,080
Medicaid Equipment Exchange	93.778	21035		223,757
Assisting Medicaid Beneficiaries in Accessing Assistive Technology (ATK)	93.779	KDHE2014-010 Amd 7		27,923

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT (Continued)</u>				
Kansas MIECHV Program	93.870	21029	X10MC396870100	\$ 98,069
MIECHV Continuous Quality Improvement FY22	93.870	22050	10MC39687	82,152
Monitoring and Evaluating Implementation of the MCH State Action Plan	93.994	48567 TO 21009, PO 88006	6 B04MC338390103	66,446
CSHCN System of Care Survey	93.994	TO21041		1,449
KDHE Universal Home Visiting Review	93.994	48567 UKCR - Task Order 21044	B04MC40135	39,882
Kansas Maternal and Child Health Services integration - DAISEY Design & Implementation	93.994	48567 - Task Order 22003	Maternal and Child Health Services Block Grant	289,936
<u>Passthrough- KANSAS STATE UNIVERSITY</u>				
Small Molecule Protease Inhibitors against MERS- CoV	93.855	S18147		67,905
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S001	R01AI141586	31,604
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S002	R01AI141586	108,625
Small molecule inhibitors against 3C-like protease of SARS-CoV-2	93.855	A22-0151-S001	1R01AI161085-01	28,166
Developing Bacterial Glycosyltransferase Inhibitors as Anti-Virulence Drugs	93.855	A21-0198-S001	R56AI153202	183,170
CNAP Pilot Grant Mentoring	93.859	A00-0226-S032	P20GM113109	12
<u>Passthrough- KATHERA BIOSCIENCE INCORPORATED</u>				
Ess1: A pathogenic fungal target for a novel class of broad-spectrum therapeutic agents	93.855	R43A116-SUB	R43AI162468	46,303
<u>Passthrough- KICKAPOO TRIBE</u>				
Kickapoo Tribe in Kansas SAMHSA Circle of Care Program Evaluation	93.243	19940	5H79SM08012-02	1,469
Kickapoo Native Connections Evaluation	93.243	24036	1H79SM082694-01	94,822
Kickapoo Tribe in Kansas Tribal CBCAP	93.590	19343		11,626
Grants to Tribes, Tribal Organizations and Migrant Programs for Community-Based Child Abuse Prevention Programs	93.590	1774-000	90CA1874	8,954
Behavioral Health Integration Initiative	93.654	26414	BH171HS0020	636
Kickapoo Practices for Wellness Evaluation and Performance Plan	93.762	21173	NU58DP006395	36,580
Kickapoo Opioid Response Project	93.788	24254		5,130
<u>Passthrough- LEIDOS BIOMEDICAL RESEARCH INC.</u>				
Development and Application of Antibody Optimization Technologies to Improve Public Health	93.000	18X007	HHSN26120080000 1E	129,793

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- LOUISIANA STATE UNIVERSITY</u>				
Small molecules for perturbing iron homeostasis in bacterial biofilms	93.855	PO0000191609	R01AI169344	\$ 2,129
<u>Passthrough- MCLEAN HOSPITAL</u>				
SCH: INT: Collaborative Research: Context-Adaptive Multimodal Informatics for Psychiatric Discharge Planning	93.242	401780	1R01MH125740-01	10,813
<u>Passthrough- MICHIGAN STATE UNIVERSITY</u>				
Minding A Mid-America Gap: NIDA/NIAAA Epidemiology Research Training for Clinical Researchers and Clinicians in Currently Under-Served Areas	93.279	RC111814B	R25DA051249	3,259
<u>Passthrough- NEW MEXICO CHILDREN, YOUTH & FAMILIES</u>				
New Mexico ROM FY2021	93.556	21-5000-21071	G-1801NMFPS	107,839
<u>Passthrough- NORTHWESTERN UNIVERSITY</u>				
A Family-Genetic Study of Autism and Fragile X Syndrome	93.242	60054681	R01MH091131	14,869
<u>Passthrough- OK DEPARTMENT OF MENTAL HEALTH & SUBSTANCE ABUSE</u>				
Oklahoma Partnership Initiative, Phase 3: Program Evaluation FY2021	93.087			22,384
Oklahoma Partnership Initiative, Phase 3: Program Evaluation	93.087		90CU009301	130,672
<u>Passthrough- OREGON DEPARTMENT OF HUMAN SERVICES</u>				
Oregon ROM Reports System	93.658	133972		89,814
<u>Passthrough- OREGON HEALTH & SCIENCE UNIVERSITY</u>				
Targeting HuR to improve a synthetic lethal therapy for pancreatic cancer	93.395	1019207_KAN SAS	7R01CA212600-05	31,384
<u>Passthrough- PHOTOSONOX, LLC</u>				
Photo-mediated ultrasound therapy for treatment of cutaneous vascular malformations	93.286	23407	R41EB030875	10,290
<u>Passthrough- PRAIRIE BAND</u>				
SAMHSA Garrett Lee Smith Grant Implementation Support Contract: Prairie Band Potawatomi Nation Youth Wellness Services	93.243	PBWC2021-0001	1H79SM082132-01	133,875
<u>Passthrough- RESEARCH INSTITUTE OF FOX CHASE CANCER CENTER</u>				
Robust rational design of chemical tools to inhibit RNA-binding proteins	93.859	15119-04		1,736
<u>Passthrough- SAINT FRANCIS COMMUNITY SERVICES</u>				
KS, NE and TX fathers, couples, and co-parents whose children are involved in the child welfare system will gain the skills and knowledge to be better parents through Saint Francis Fatherhood FIRE	93.086	24372	90ZJ0047-01-00	183,022
<u>Passthrough- SEATTLE CHILDREN'S HOSPITAL</u>				
Structural Genomics Center for Infectious Disease	93.000	12797SUB	HHSN27220170005 9C	271,618
<u>Passthrough- STANFORD UNIVERSITY</u>				
Creating high-resolution, epitope-focused vaccines	93.310	62818678-160634	DP1AI58125	6,739

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- UNIV OF CALIFORNIA - BERKELEY</u>				
STEM Escape: Immersing urban and rural families in biomedical mysteries	93.351	00010137	1R25GM132971-01	\$ 28,164
<u>Passthrough- UNIV OF NORTH CAROLINA AT CHAPEL HILL</u>				
Nanopore Methods for Determining Capsid Viability	93.103	5122517		16,789
<u>Passthrough- UNIVERSITY OF ARKANSAS - MEDICAL SCIENCES</u>				
Data Coordinating and Operations Center (DCOC) for the IDeA States Pediatric Clinical Trials Network - 2020	93.865	54005 - PO # G218700078	2U24OD024957-03	24,200
<u>Passthrough- UNIVERSITY OF CALIFORNIA - LOS ANGELES</u>				
Mapping My Health: A Community Mapping Intervention to Enhance the Self-Determination and Physical Health and Well-Being of Autistic Adolescents	93.000	26133		5,253
Community-Based Self-Determination Intervention to Enhance Goal Setting and Attainment Targeting Employment, Postsecondary Education, Community Participation, and Physical Health Outcomes	93.110		UT2MC39440	16,441
Autism Intervention Research Network on Behavioral Health (AIR-B)	93.877	2000 G YC232	UT339436	203,396
Autism Intervention Research Network on Physical Health (AIR-P)	93.877	1557GZB332	5UT2MC39440-02	14,641
<u>Passthrough- UNIVERSITY OF CALIFORNIA - SAN DIEGO</u>				
Engineering Native E. coli to Detect, Report, and Treat Colorectal Cancer - 1 U01 CA265719-01	93.394	704918	1U01CA265719	50,182
<u>Passthrough- UNIVERSITY OF CENTRAL FLORIDA OF CENTRAL FLORIDA</u>				
The "Disaggregase" Mechanism of Holotoxin Disassembly By Protein Disulfide Isomerase	93.855	22206088-02	1 RO1AI137056-01	1,295
<u>Passthrough- UNIVERSITY OF COLORADO</u>				
The Influence of Evolutionary Landscapes on Protective Antibody Development	93.855	1557541- PO1001139944	R01AI14152	30,091
<u>Passthrough- UNIVERSITY OF DENVER COLORADO SEMINARY</u>				
Prenatal Pathways for Poverty's Influence on the Brains of Two Generations	93.865	SC37547-04-00 /PO168130	R01HD090068	496
<u>Passthrough- UNIVERSITY OF FLORIDA</u>				
Integrative Functional Profiling of Tumor- Derived Extracellular Vesicles	93.394	SUB00002779	R33CA252158	37,840

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- UNIVERSITY OF GEORGIA</u>				
USING NEUROECONOMICS TO UNDERSTAND ALCOHOL OVERVALUATION IN ALCOHOL USE DISORDER	93.273	SUB00002433	R01AA025911	\$ 28,794
<u>Passthrough- UNIVERSITY OF ILLINOIS</u>				
All Our Kids Network University of Illinois IRIS Proposal 2020-2021	93.870	100690-17939		1,916
All Our Kids Network University of Illinois IRIS Proposal (Year 4)	93.870	105294-18575	FCSAS04778	24,734
<u>Passthrough- UNIVERSITY OF ILLINOIS - URBANA-CHAMPAIGN</u>				
Rehabilitation Engineering Research Center (RERC) on Technologies to Support Aging-in-Place for People with Long-Term Disabilities	93.433	095457-17810	90REGE0006-01-00	44,484
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Roles for Adenomatous Polyposis Coli in Colon Injury Prevention and Wound Healing	93.000			8,338
Kansas University Affiliated Program	93.110	GR16306	2 T73MC06623-16-00	14,347
Kansas University Affiliated Program	93.110	AWD0000226		1,211
Translating research into school-based practice via small-group, language-focused comprehension intervention	93.173	GR15603	R01DC018823	17,649
RADx-UP: Improving the Response of Local Urban and Rural Communities to Disparities in Covid-19 Testing	93.310	AWD-0001969	3UL1TR002366-04S3	2,005
RADx-UP: Improving the Response of Local Urban and Rural Communities to Disparities in Covid-19 Testing	93.310	AWD-0002421		13,994
Localized mHealth approach to boosting COVID-19 testing and vaccine literacy, access, and uptake among women with criminal legal system involvement in three cities	93.310	GR16641	1U01MD017415-01	68,439
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	2BU0026-Jarmolowicz	5UL1TR002366-04	5,176
Working Memory Training as Pretreatment Adjunct to Smoking Cessation.	93.350	ZPBT0030-Collado	5KL2TR002367	7,463
Frontiers: University of Kansas Clinical and Translational Science Institute - Deciphering Sex Differences in Adolescent Knee Meniscal Injury and Regeneration	93.350	ZPBU0026-Robinson	5UL1TR002366-04	10,579
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPBT0030		7,156
Frontiers: University of Kansas Clinical and Translational Science Institute - Development of Novel Drugs with Biased Signaling for the Treatment of Schizophrenia	93.350	ZPBU0026-Muma	5UL1TR003266-04	9,786

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE				
Frontiers: University of Kansas Clinical and Translational Science Institute - Sensorimotor function in autism spectrum disorders (ASD)	93.350	ZPBT0030	TL1TR002368	\$ 4,382
Investigating approved therapeutics for their ability to inhibit the SARS-CoV-2 ADPribosylhydrolase	93.350	AWD-0001802	5UL1TR002366-04	6,625
FY 2022 - Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPBT0044	5TL1TR002368-05	70,496
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	GR16366	5KL2TR002367-05	89,942
Frontiers: University of Kansas Clinical and Translational Science Institute (Postdoctoral Trainee Aaron Smith)	93.350	ZPBT0044	5TL1TR002368-05	58,931
The safety and efficacy of megestrol as part of an outpatient feeding protocol for children with chronic medical conditions	93.361	0001673	R01HD093933	15,608
Rural Disparities in Pediatric Obesity: The iAmHealthy Intervention	93.361	GR16395	R01NR016255	24,805
iAmHealthy Parents First	93.361	GR16990	1R01NR019810-01A1	797
Sexual Health Empowerment for Jail-Involved Women's Health Literacy and Prevention	93.393	ZAR00080	R01CA181047	16,722
Automated identification and classification of laryngeal diseases using deep neural networks	93.394	AWD0001832	1R03CA253212-01	69,853
Targeting Kinesin Family Member 15 for the Treatment of Cancer	93.395	ZAG00020	R01CA2214545	(1,748)
NCI Cancer Center Support Grant Lead Development & Optimization Shared Resource	93.397	ZPJ00010-Schoenen	P30CA168524	30,979
NCI Cancer Center Support Grant for Biotechnology Innovation and Optimization Center (BIOC)	93.397	ZPJ00030	5P30CA168524-08	24,053
CPS Cancer Prevention and Survivorship Research Program - KUCC Core	93.397	ZPJ00030	P30CA168524	25,110
NCI Cancer Center Support Grant Lead Development & Optimization Share Resource	93.397	GR14141 (ZPJ00030)	P30CA168524	23,597
NCI Cancer Center Support Grant - Cancer Biology Research Program	93.397	ZPJ00030-Neufeld	P30CA168524	26,220
Cancer Center Support Grant	93.397	GR15150	3P30CA168524-09S4	3,286
Colon Cancer Chemoprevention Through Inhibition of Exportin 1 (XPO1)	93.397	GR16220		11,324

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE (Continued)</u>				
KUCC Spring 2021 Pilot Award: Elucidating and disrupting de novo GBM tumor cell-neuron synapses	93.397	GR16221	P30CA168524	\$ 31,278
The Online and Applied System for Intervention Skills (OASIS) - Scaling-up!	93.433	Z1H00040	90DPKT0003-01-00	10,901
Project Eagle: Early Head Start	93.600	AWD-0001966	07CH011678-01-02	2,229
Project Eagle: Early Head Start	93.600	GR16293	07CH011678-02-00	103,021
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Weight management for adults with mobility related disabilities	93.847	ZAD000F0		12,926
Understanding Polycystin-1 Structure-GPCR Function for the Development of New Therapeutic Approaches in ADPKD	93.847	AWD-0001715	3R01DK123590-01S1	33,937
RNA-binding protein HuR in liver pathophysiology and carcinogenesis	93.847	ZAZ00040	R01DK119131	67,168
Metabolomic Markers of Disease Activity and Therapeutic Response in Autoimmune Arthritis	93.859	ZPG0000D		274,859
Molecular Characterization of Hepatic Organic Anion Transporting Polypeptides	93.859	ZAH00000 MOD1		498
KINBRE Campus Coordinator 2020-2021	93.859	GR15882	5P20GM103418-20	11,677
Role of chromosomal protein remodeling function of PICH in chromosome segregation	93.859	GR15867	5P20GM103418-21	37,152
K-INBRE Postdoctoral Award: Linking genomic, physiological, and behavioral responses to copper stress	93.859	GR15844	5P20GM103418-21	3,297
K-INBRE Bridging Award: Molecular identification and precise therapeutic targeting of anti-insulin B cells in Type I diabetes	93.859	GR15848	5P20GM103418-21	29,901
Genetic Examination of Variation in Microbial Pathogen Susceptibility in Caenorhabditis elegans	93.859	GR15850	5P20GM103418-21	36,126
K-INBRE DRPP: Cortical-striatal correlates of restricted and repetitive behaviors in autism spectrum disorder	93.859	GR15893	5P20GM103418-21	101,964
K-INBRE Bioinformatics Core Facility 2021-2022	93.859	GR15827		148,386
K-INBRE Undergraduate Research Office (URO)	93.859	GR15828	5P20GM103418-21	89,176
The Kansas Institute for Precision Medicine	93.859	GR15650	5P20GM130423-03	78,032
The Kansas Institute for Precision Medicine	93.859	GR15653	5P20GM130423-03	3,741

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE				
The Kansas Institute for Precision Medicine	93.859	GR15651	5P20GM130423-03	\$ 103,413
The Kansas Institute for Precision Medicine - Admin. Care	93.859	GR15652	5P20GM130423-03	8,204
K-INBRE Star Trainee Award: Barybin, Woosley, Wright	93.859	GR15856	5P20GM103418-21	25,595
K-INBRE Summer/Translational/Bioinformatic Scholars: Do, Goff, Loo, Robinson, Sandhu, Anoruse-Thomas, Winata, Kauffman	93.859	GR15857	5P20GM103418-21	33,393
KINBRE Core Facilities	93.859	GR15871	5P20GM103418-21	15,150
The Sustainable Heartland Accelerator Regional Partnership (SHARP) Hub - 2020- 2021	93.859	GR15906	5UT2GM1301175-03	20,654
K-INBRE DRPP Mentor Award	93.859	GR15861	5P20GM103418-21	1,672
Teachers and Students for Community- Oriented Research and Education: Linking Industry Partners, Faculty, and Teachers (TSCORE LIFT)	93.859	GR16388		8,060
The Sustainable Heartland Accelerator Regional Partnership (SHARP) Hub	93.859	GR15906- Bergman	(NIH) 5UT2GM1301175-03	11,846
K-INBRE Campus Coordinator 2022-2023	93.859			6,293
K-INBRE Bioinformatics Core Facility 2022- 2023	93.859		P20GM103418	5,695
K-INBRE Summer Scholars yr 9	93.859			7,300
KINBRE Star Trainees yr 9	93.859			2,300
Mito Genomics Metabolism	93.866	AWD-0000245	P30AG035982	17,636
Prescribing Smart Aging: Integrating Health Systems with Community-Based Lifestyle Interventions	93.866	GR12141		41,253
Enhanced Mediterranean Diet for Alzheimer's Disease Prevention	93.866	AWD-0001759	1R01AG060157	4,397
Swerdlow Haplo Group J	93.866	GR114019	1R01AG061194-01	13,649
KU ADC Mitochondrial Genomics and Metabolism Core Supplement	93.866	QS85528M	P30AG035982	2,284
Toward a Simple Model Organism for Familial Alzheimer's Disease	93.866	QS855260	5P30AG035982-10	20,375
KU ADRC Biomarker Core	93.866	AWD-0002190	1P30AG072973	98,862

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Remote Monitoring and Virtual Collaborative Care for Hypertension Control to Prevent Cognitive Decline	93.866	GR15063	R61AG068483	\$ 23,623
Remote Monitoring and Virtual Collaborative Care for Hypertension Control to Prevent Cognitive Decline	93.866	GR16278	4R33AG068483-02	19,288
ADC Developmental Awards: Psychosocial Adjustment and Coping: A Comparison of Racial and Ethnic Minorities and Non-Hispanic White Individuals Living with Dementia	93.866	GR13486 - Jen	P30 AG072973	19,635
<u>Passthrough- UNIVERSITY OF MARYLAND - BALTIMORE</u>				
Adjuvant development of the TLR4 ligand BECC438	93.000	F211956-1 UMB Ref. No.: 3085	HHSN27220180043 C	195,458
Adjuvant development of the TLR4 ligand BECC438	93.000	1903173, UMB Ref. No. 4904	HHSN27229180043 C	189,835
<u>Passthrough- UNIVERSITY OF MINNESOTA</u>				
A high-throughput screen for inhibitors of Plk1-interacting checkpoint helicase (PICH)	93.395	N009209201	1R21CA259718- 01A1	8,071
Research Training Center on HCBS Outcome Measurement (RTC/OM)	93.433	A008179301	90RT5039-05-00	17,093
Control of Chromosome Segregation by DNA Topoisomerase II	93.859	N006994001	1R01GM130858-01	43,467
<u>Passthrough- UNIVERSITY OF MISSOURI - COLUMBIA</u>				
The Midwest Biomedical Accelerator Consortium (MBArc) - Screening Diagnostic for COVID-19 using Microfluidic Enrichment and Counting of SARS-CoV-2 Particles	93.286	C00072277-1	3U01HL152410- 02S1	149,391
Improve cancer immunotherapy by targeting RNA-binding protein HuR	93.310	C00066571-6	U01HL152410	15,998
ImmunAdvisor: High-Throughput T Cell Receptor Discovery for Affordable Commercial Personalized Cancer Therapies	93.310	C00066571-5	U01HL152410	31,255
Midwest Biomedical Accelerator consortium: MBArc	93.310	C00066571-8	U01HL152410	158
Identification of Small Molecular Inhibitors of Rift Valley Fever Virus Replication	93.855	C00070940-1	7R21AI28377	21,467
<u>Passthrough- UNIVERSITY OF MISSOURI - KANSAS CITY</u>				
Addressing Social Determinants of Health to Improve Diabetes Prevention Program Outcomes Among African Americans	93.847	0099790/00067 449	R01DK124664	10,505

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Research and development cluster (Continued)				
Department of Health and Human Services (Continued)				
<u>Passthrough- UNIVERSITY OF NEW MEXICO</u>				
Benzoylation of proteins with synthetic compounds and its prevention with polyamines	93.397	SRA No. 24904		\$ 2,673
<u>Passthrough- UNIVERSITY OF NOTRE DAME</u>				
Chaperone therapeutics for the treatment of DPN	93.853	203645KU	7R01NS075311-06	123,337
<u>Passthrough- UNIVERSITY OF UTAH</u>				
Novel therapeutic strategy for renal fibrosis by targeting RNA-binding protein HuR targeting	93.847	10052956-01	1R01DK123727-01	30,026
<u>Passthrough- UNIVERSITY OF VERMONT</u>				
University of Vermont Center on Tobacco Regulatory Science	93.077	32359SUB5249 1	2U54DA036114-06	10,998
<u>Passthrough- UNIVERSITY OF VIRGINIA</u>				
Targeted Small Molecule Inhibitors for Inv(16) Leukemia	93.395	GB10639_PO_ 2091174		63,556
<u>Passthrough- UNIVERSITY OF WASHINGTON</u>				
Functional Genomics for Chlamydia	93.855	UWSC9070	5R01AI126785-04	40,430
<u>Passthrough- UNIVERSITY OF WISCONSIN-MADISON</u>				
RE-PACT: respiratory exacerbation plans for action and care transitions for children with severe cp	93.838	0000001324	1R34HL153570=01A 1	13,989
<u>Passthrough- WASHINGTON STATE UNIVERSITY</u>				
The Collaborative on Health Reform and Independent Living	93.433	126140 SPC001414	90DP0075-05-00	14,619
Subtotal: Department of Health and Human Services- Passthrough				13,881,420
Total: Department of Health and Human Services				45,002,488
Department of Justice				
<u>Direct</u>				
Macro-Level Influences on Police Decision-Making and Engagement with Victims of Serious Violent Crimes: A Narrative Case Study of Two States	16.560	2019-V3-GX- 0001		26,614
Kansas Law Enforcement Accreditation Program (KLEAP)	16.710	15JCOPS-21- GK-02540- SPPS		24,672
Subtotal: Department of Justice- Direct				51,286
Total: Department of Justice				51,286

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Research and development cluster (Continued)				
Department of Transportation				
<u>Direct</u>				
Master Agreement - Center of Excellence for Unmanned Aircraft Systems FAA Cooperative Agreement	20.109	15-C-UAS-KU		\$ 476,393
Dwight David Eisenhower Transportation Fellowship Program Grants for Research Fellowship for research project assignment on Steel Bridge Bearing Stiffener Detail to Avoid Constraint-Induced Fractures	20.215	693JJ3214522 4		35,499
Improved Detailing in Steel Bridges to Prevent Constraint-induced Fracture	20.000	693JJ321C000 026		8,611
Innovative Practices to Educate Bridge Engineering Practitioners	20.000	693JJ321C000 025		13,707
Subtotal for AL No. 20.000				22,318
Subtotal: Department of Transportation- Direct				534,210
<u>Passthrough- HKA</u>				
ACRP 01-45 - Selecting, Procuring, and Implementing Airport Capital Project Delivery Methods.	20.200	A01-45		57,110
<u>Passthrough- IOWA DEPARTMENT OF TRANSPORTATION</u>				
Phase III Iowa Pore Index: Morphometric Properties of Aggregates	20.205	20-SPR1-003		75,585
<u>Passthrough- IOWA STATE UNIVERSITY</u>				
Robust Wireless Skin Sensor Networks for Long-term Fatigue Crack Monitoring of Bridges	20.205	022355B		61,117
2016 Work Zone and Guardrail Safety Training Grant	20.215	436-17-35C		1,805
<u>Passthrough- KANSAS DEPARTMENT OF TRANSPORTATION</u>				
Self De-Icing LED Signals	20.000	RE-0721-01		9,521
Create Webinar Series Geared Toward Local Emerging Topics and Innovations	20.200	RE-0826-01		16,858
Online Interactive Crash Dashboard	20.200	RE-844-01	Highway Research and Development Program	14,038
Law Enforcement Radar	20.200	RE-0845-01		111
Construction of Low-Cracking High-Performance Bridge Decks Incorporating New Technology - 2019	20.205	RE-0778-01		147,736
Purchase and Implementation of a Learning Management System (LMS)	20.215	RE0805-01 STIC- R080(501)	State Transportation Innovation Council	9,055
Technical Services for the Kansas Rural Transit Assistance Program (RTAP)	20.509	PT-0511-42		208,372

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Research and development cluster (Continued)				
Department of Transportation (Continued)				
<u>Passthrough- OK DEPARTMENT OF TRANSPORTATION</u>				
Bond Behavior of Epoxy Coated Reinforcing Bars in Non-proprietary UHPC	20.200	SPR ITEM 2290 - SPRY- 0010(088)	Highway Research and Development Program	\$ 51,344
<u>Passthrough- TEXAS A&M RESEARCH FOUNDATION</u>				
Placement of PANDA-AP (Pavement Analysis using Nonlinear Damage Approach for Airports)	20.106	M2000379	692M15-19-T- 000027	75,748
<u>Passthrough- THRIVE ALLEN COUNTY</u>				
Thrive Allen county Planning and Research Support	20.000			491
<u>Passthrough- UNIVERSITY OF NEBRASKA - LINCOLN</u>				
University Transportation Centers Open Competition	20.701	25-1121-0005- 151	69A3551747107	189,941
Subtotal: Department of Transportation- Passthrough				<u>918,832</u>
Total: Department of Transportation				<u>1,453,042</u>
Department of the Interior				
<u>Direct</u>				
Bureau of Indian Affairs Archeological Collections and Association Documentation Curated at the University of Kansas Natural History Museum Identifying, Cataloging, Photographing, and Rehousing BIA Collections	15.159	A17AC00068		4
Bridging the Gap between Locking and ETS in Cascadia using Geodetic Data and Viscoelastic Models: Collaborative Research with the University of Kansas and Indiana University	15.807	G21AP10480- 00		38,624
Community For Data Integration (CDI)	15.808	G20AC00122		1,284
Pennsylvanian stratigraphic nomenclature reconciliation in the midcontinent	15.808	G21AC10704		5,089
Subtotal for AL No. 15.808				<u>6,373</u>
Geologic Mapping in Kansas for FY20	15.810	G20AC00241		117,874
Geologic Mapping in Kansas for FY21	15.810	G21AC10803		448,985
Subtotal for AL No. 15.810				<u>566,859</u>

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Research and development cluster (Continued)				
Department of the Interior (Continued)				
<u>Direct</u>				
Preserving Kansas Geologic Data, Documents, Samples, and Aerial Photographs; and Surveying Critical Mineral Resources, FY 2020	15.814	G20AP00107		\$ 34,293
Preserving Kansas Geologic Data, Documents, Samples, and Aerial Photographs; and Surveying Drill Hole/Core Holdings Relating to Critical Mineral Resources, FY 2021	15.814	G21AP10466-00		66,024
Subtotal for AL No. 15.814				100,317
Maintain existing and expand Kansas-based data services to the NGWMN.	15.980	G19AC00191		15,490
Maintain and expand existing Kansas-based data services to the NGWMN, 2021-2022	15.980	G21AC10419		4,273
Subtotal for AL No. 15.980				19,763
Long Term Property Curation with the University of Kansas	15.000	14OR6018P00 54		3,114
Long Term Property Curation with the University of Kansas	15.000	14OR6022P000 2		269
Subtotal for AL No. 15.000				3,383
Subtotal: Department of the Interior- Direct				735,323
<u>Passthrough- AMERICAVIEW INC.</u>				
StateView Program Development and Operations for the State of Kansas	15.815	AV18-KS-01	G18AP00077	26,029
<u>Passthrough- EMPORIA STATE UNIVERSITY</u>				
Nutrient cycling and biogeochemical processes in aquatic moist-soil unit habitats at the Flint Hills National Wildlife Refuge	15.654	030700793-21- 01	F20AC12120-00	11,592
<u>Passthrough- KANSAS DEPARTMENT OF WILDLIFE AND PARKS</u>				
Geographic Information System (GIS) & Remote Sensing Support Services	15.611			25,703
Geographic Information System (GIS) & Remote Sensing Support Services	15.611	CRA-GISFY22- FY24	F21AF01895-00	122,409
5-year review of Species of Greatest Conservation Need	15.634	25979 KBS_SWAP		20,820
<u>Passthrough- KANSAS STATE HISTORICAL SOCIETY</u>				
2022 Grinter Place State Historic Site (14WY316) Geophysical Survey Contract	15.904		Historic Preservation Fund	268

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Research and development cluster (Continued)				
Department of the Interior (Continued)				
<u>Passthrough- KANSAS WATER RESOURCES INSTITUTE</u>				
Simulating the effects of reservoir management strategies on in-stream sediment load, streambank stability, and water quality	15.805	A00-02310S008	G16AP00054	\$ 6,172
Spatial variability and subsurface controls of groundwater recharge and nutrient mobilization in dry streams	15.805	A00-0231-S009	G16AP00054	(788)
Experimental and Modeling Investigation of Fluid-Fluid and Rock-Fluid Compatibility between Arbuckle and Lansing Kansas City Formations with the Purpose of Produced Water-Exchange Between the Two Form	15.805	A00-0231-S006	G16AP00054	5,678
Experimental and Modeling Investigation of Fluid-Fluid and Rock-Fluid Compatibility between Arbuckle and Lansing Kansas City Formations with the Purpose of Produced Water-Exchange Between the Two Form	15.805	A22-0176-S002	G21AP10634-00	19,423
Benthic Cyanobacterial Mats: A Potential Source of Harmful and Nuisance Compounds to Kansas Streams	15.805	A22-0176-S001		14,470
Spatial variability and subsurface controls of groundwater recharge and nutrient mobilization in dry streams	15.805	A22-0176-S004	G21AP10634-00	4,142
<u>Passthrough- SOUTHWEST KANSAS GROUNDWATER MANAGEMENT, DISTRICT #3</u>				
Water Use and Climate Evaluation Service to Irrigators for Drought Resiliency in Southwest Kansas	15.514	25421		7,416
<u>Passthrough- UNIVERSITY OF CALIFORNIA - DAVIS</u>				
Synchrony of native fish movements: synthesis science towards adaptive water management in the Central Valley	15.512	A19-3215-S001	R19AC000051	24,440
Subtotal: Department of the Interior-Passthrough				287,774
Total: Department of the Interior				1,023,097
Department of the Treasury				
<u>Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT</u>				
COVID 19: SARS-CoV-2 Wastewater Monitoring (CARES Funded)	21.019	BOW1		39,909
Subtotal: Department of the Treasury-Passthrough				39,909
Total: Department of the Treasury				39,909

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Research and development cluster (Continued)				
Veterans Administration				
<u>Direct</u>				
Synthesis and Analysis of CCN5 PEGylated Proteins	64.000			\$ 20,292
Subtotal: Veterans Administration- Direct				<u>20,292</u>
Total: Veterans Administration				<u>20,292</u>
Institute of Museum and Library Services				
<u>Direct</u>				
Advancing Research Collaboration in the Humanities	45.130	CH-50951		425,000
Humanities Challenge Project II	45.130	CH-20811		<u>521,125</u>
Subtotal for AL No. 45.130				<u>946,125</u>
Black Book Interactive Project III	45.149	PW-277575-21		92,418
Gothic Manuscripts, 1320-1390	45.160	FEL-273019-21		29,999
Patriarchy, Politics, and Christine de Pizan's Influence on English Literature, 1400 1478	45.160	FED-273163-21		50,118
The US Army and "the Problem of Race" during the Vietnam Era	45.160	FZ-280282-21		60,000
Subtotal for AL No. 45.160				<u>140,117</u>
Subtotal: Institute of Museum and Library Services- Direct				<u>1,178,660</u>
Total: Institute of Museum and Library Services				<u>1,178,660</u>
National Aeronautics and Space Administration				
<u>Direct</u>				
Airborne Radar Surveys of Land and Sea Ice and Data Processing Using CREMIS Instrumentation to Support IceBridge Observations	43.001	NNX16AH54G		136,437
Controls on Iceberg Distribution Around Greenland	43.001	NNX16AJ90G		68,659
What Shapes the Passive Galaxy Population in Distant Clusters?	43.001	80NSSC19K05 92		30,127
Understanding the Role of Quenching and Merging with a Spitzer Archival Study				
Particle Astrophysics with the Payload for Ultrahigh Energy Observations (PUEO): A Next Generation Long-duration Balloon-borne Instrument for the Cosmic High Energy Frontier KUCR Co-PI	43.001	80NSSC20K07 76		52,708
AGILE: Advanced enerGetic Ion eLectron tElescope	43.001	80NSSC19K07 14		181,711

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Research and development cluster (Continued)				
National Aeronautics and Space Administration (Continued)				
<u>Direct</u>				
Ultra-high Energy Particle Astrophysics with ANITA-V - University of Kansas Center for Research, Inc. (Co-I)	43.001	80NSSC19K1072		\$ 6,503
A feasibility study of Raman optical activity for the detection and discrimination of chiral biological compounds for planetary science instrumentation	43.001	80NSSC20K1093		90,652
Operational Multichannel Snow Radar for Swath Mapping of Snow Layers on Ice Sheets, Sea Ice, and Land	43.001	80NSSC20K1242		317,301
How Do Undetected AGN Affect Galaxy Evolution?	43.001	80NSSC20K1546		24,804
Probing Quenching in the Cosmic Web using Spatially-Resolved Star Formation Maps from WISE and GALEX	43.001	80NSSC21K0641		4,364
Supplemental funding for Integration of the Snow Radar onto a Long-Endurance Unmanned-Aerial-Vehicle for Thickness Measurements of Snow over Sea-Ice and Land-Ice	43.001	80NSSC21K2072		238,615
Integration of the Snow Radar onto a Long-Endurance Unmanned-Aerial-Vehicle for Thickness Measurements of Snow over Sea-Ice and Land-Ice	43.001	80NSSC20K1077		276,703
Global Satellite-Based Prediction of Drought Evolution	43.001	80NSSC20K1799		80,393
Subtotal for AL No. 43.001				1,508,977
Development of an integrated system for cell analysis and profiling by capillary electrophoresis-mass spectrometry	43.012	80NSSC20K1208		54,067
Subtotal: National Aeronautics and Space Administration- Direct				1,563,044
<u>Passthrough- ALDRIN FAMILY FOUNDATION</u>				
PROJECT IANOS: PAST, PRESENT, FUTURE	43.008	00099511		26,898
<u>Passthrough- AMHERST COLLEGE</u>				
Multipass and tomography enabled data products for subsurface characterization and ice sheet model refinement	43.001	GRT00206-K1	80NSSC21K0753	49,827
<u>Passthrough- CORNELL UNIVERSITY</u>				
Oceans Across Space and Time	43.001			38,363
<u>Passthrough- DARCORPORATION</u>				
Learning Autopilot Systems for Unmanned Aerial Systems	43.000	22952	80NSSC19C0102	65,043
<u>Passthrough- GEORGIA INSTITUTE OF TECHNOLOGY</u>				
Oceans Across Space and Time	43.001	AWD-102551-G3	80NSSC18K1301	9,728

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Research and development cluster (Continued)				
National Aeronautics and Space Administration (Continued)				
<u>Passthrough- JET PROPULSION LAB - CALIFORNIA TECHNOLOGY</u>				
Isotopic Abundances of JWST's Terrestrial Exoplanet Host Stars	43.001	1652699		\$ 14,378
Uniform Stellar Abundances of JWST Exoplanet Hosts and TKS^2: TESS-Keck Stellar Spectroscopy	43.001	1659480		11,515
<u>Passthrough- MISSISSIPPI STATE UNIVERSITY</u>				
Spectrum Management Framework for Unmanned Aerial Systems and Traffic Management in BVLOS: From Assessment to Modeling and Analysis	43.000	193700.361561.01	08078 80NSSC20M0261	110,979
<u>Passthrough- SMITHSONIAN ASTROPHYSICAL OBSERVATORY</u>				
Does Excess Mid-Infrared Emission Reliably Signal an AGN?	43.001	AR0-21012X	NAS8-03060	20,050
<u>Passthrough- SPACE TELESCOPE SCIENCE INSTITUTE</u>				
Atmospheric characterization of two temperate mini-Neptunes formed in the same protoplanetary nebula	43.000	HST-GO-15814.013-A	HST-GO-15814.013-A	14,495
Exploring the Demographics of Exo-Neptunes: Atmospheric Characterization of a Cool Sub-Neptune from TESS	43.000	HST-GO-16181.002-A		28,565
GOGREEN Survey: The Relationship between Quenching, Morphological Transformation and Size Growth of Satellite Galaxies	43.000	HST-GO-15294.012-A	NAS5-26555.	17,779
Obscured CANDELS: Disentangling Obscuration around Supermassive Black Holes in the Distant Universe	43.000	HST-AR-16137.006-A		10,000
Seeing in 3D: Unlocking the dynamical properties of a canonical exoplanet	43.000	HST-GO-15813.009-A		7,722
The Atmospheric Diversity of Mini-Neptunes in Multi-planet Systems	43.000	HST-GO-15333.018-A	NAS5-26555	32,097
<u>Passthrough- UNIVERSITIES SPACE RESEARCH ASSOCIATION (USRA)</u>				
Searching for Torus Emission in Cold Quasars	43.000	SOF 07-0096	NNA17BF53C	36,928
<u>Passthrough- UNIVERSITY OF CALIFORNIA SANTA CRUZ (UCSC)</u>				
Follow the Volatiles: Tracing chemical species relevant to habitability from protoplanetary disks to exoplanet atmospheres	43.001	A21-0406-S003	80NSSC21K0597	14,085
<u>Passthrough- UNIVERSITY OF CHICAGO</u>				
The Payload for Ultrahigh Energy Observations (PUEO): A Long-duration Balloon-borne Instrument for Particle Astrophysics at the Highest Energies	43.001	AWD101921 (SUB00000468)	80NSSC21M0116	3,930
<u>Passthrough- UNIVERSITY OF COLORADO</u>				
Do Habitable Worlds Require Magnetic Fields	43.001	1559320	80NSSC20K0594	30,768
Participation in NASA Mars Atmosphere and Evolution mission	43.000	1546525	NNH1OCCO4C	183,752

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Research and development cluster (Continued)				
National Aeronautics and Space Administration (Continued)				
<u>Passthrough- UNIVERSITY OF MASSACHUSETTS - AMHERST</u>				
Characterizing future changes in glacier melt, snow melt, and regional runoff to inform adaptation decisions in high mountain dependent economies	43.001	20-015928-A-00	80NSSC20K1299	\$ 48,764
<u>Passthrough- UNIVERSITY OF OKLAHOMA</u>				
Analysis of TRMM-GPM Observations to Improve Our Process-Level Understanding and Modeling of Latent Heating in Tropical Easterly Waves	43.008	2019-65	80NSSC19K0720	25,673
<u>Passthrough- UNIVERSITY OF WASHINGTON</u>				
Fjord systems, marine mammals, and subsistence hunting in East Greenland	43.001	UWSC12177	80NSSC20K1361	47,143
<u>Passthrough- WICHITA STATE UNIVERSITY</u>				
Development of Next-Generation Acoustic Liners for Aircraft Engine Noise Reduction	43.008	20-00255		140,419
MICE: A High Power Density Free Piston Engine	43.008	R52123-21-00864	80NSSC19M0042	(464)
National Space Grant Consortium College and Fellowship - Opportunities in NASA STEM FY 2020	43.008	R52545-21-00934	80NSSC10M0109	59,499
Ultrathin, Self-Healable Electrolyte for Solid State Lithium Batteries	43.008	20-02314		128
An Active Learning Framework for Increasing Generalizability of Machine Learning Models	43.008	R52536-20-02738	80NSSC20M0160	1,668
Artificial Intelligence Assisted Spacecraft Trajectory Optimization and Planning	43.008	R52638-21-00689	80NSSC20M0217	41,511
MICE: A High Power Density Free Piston Engine	43.008	R52146-21-00865	80NSSC19M0042	12,621
Appendix C: SMD Earth Sciences Division: Assimilation of Satellite Data for Predicting Cyanohabs in Kansas	43.008	R52930-22-00271	NNH21ZHA002C	71,197
KSC Exploration Systems and Development: Moon to Mars - Gas Separation Processes for High Purity Methane Production	43.008	R52931-22-0272	80NSSC21M0161	61,553
Design and Development of Flexible Self-powered Energy Conversion and Storage Devices	43.008	R52123-21-02186	80NSSC19M0042	34,969
Kansas National Space Grant College and Fellowship Program - Opportunities in NASA STEM FY 2020-2024	43.008	R52545-22-00181	80NSSC20M0109	50,502
Subtotal: National Aeronautics and Space Administration- Passthrough				1,322,085
Total: National Aeronautics and Space Administration				2,885,129

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
National Science Foundation				
<u>Direct</u>				
WERF: Determining the fate and major removal mechanisms of microplastics in water and resource recovery facilities	47.041	CBET-001707069		\$ 7,772
Non-classical Micromorphic Continuum Model for Granular Microstructure Design	47.041	CMMI-1727433		44,454
CAREER: Pore-Scale Multiphase Mass Transfer in Porous Electrodes	47.041	CBET-1941083		11,799
FEWtures: Innovation Analysis Framework for Resilient Futures, with Application to the Central Arkansas River Basin	47.041	CBET-1856084		556,011
CAREER: Advanced Thermal Management of Lithium-Ion Battery Packs: Combining Physics-Based and Machine Learning Models toward High Thermal Safety	47.041	CMMI-1847651		90,121
Collaborative Research: Development of Atomically Thin Tunnel Barriers for High-Performance Tunnel Junctions	47.041	ECCS-1809293		43,756
CAREER: Quantification of the kinetic energy of particles in complex flows using magnetic particle tracking	47.041	CBET-1944187		90,746
CAREER: Spectrokinetic Studies for Understanding Metal-Support Interactions in Catalytic Oxidation of Ethanol	47.041	CBET-1847655		126,864
Assessing the Influence of Hazard Mitigation Planning on Disaster Recovery	47.041	CMMI-1760183		129,895
RET Site: Exploring Career Opportunities through Water-Themed Engineering Research (ECO-WaTER)	47.041	EEC1801710		129,486
Engineering the Ionic Polymer Phase-Fluid Interface of the PEM Fuel Cell Catalyst Layer for Higher Performance	47.041	CBET-1803058		89,148
Control of Reconfigurable Battery Energy Storage Systems	47.041	CMMI-1763093		56,933
CAREER: Integrated Modeling of Hazard Mitigation Stakeholder Networks for Compassionate, Sustainable Risk Reduction	47.041	CMMI-1751696		68,542
EAGER: Suppressing Lithium Dendrite Growth by Functionally Graded Materials	47.041	CMMI-1840732		8,209
CAREER: Thermo-responsive absorbent with selective absorption for miscible liquids separation	47.041	CBET-1944314		113,754

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Planning Grant: Engineering Research Center for Intelligent Infrastructure for Safe, Efficient and Resilient Mobility (ERC-I2SERM)	47.041	EEC-1840432		\$ 24,549
CAREER: Assessing the Role of Buildings and Organizations in Community Disaster Resilience	47.041	CMMI-1847373		99,528
REU SITE: IDEA Incubator for Porous Materials: Integrating Discovery, Engineering and Art	47.041	EEC-1852308		112,547
PFI-RP: Development of Continuous Process Concepts for Upgrading Lignin in Biorefineries	47.041	IIP-1919267		156,992
Collaborative Research: Development and Application of a Molecular an Process Design Framework for the Separation of Hydrofluorocarbo Mixtures	47.041	CBET-1917480		89,700
EFRI DChem: Next-generation Low Global Warming Refrigerants	47.041	EFMA-2029354		404,221
Manipulating Mycorrhizal Fungi: Plant Symbionts in Organic Agriculture	47.041	IIP-2016549		114,669
EAGER: High-Energy-Density Storage for Renewable Energy Sources for Environmental Sustainability	47.041	CBET-2024378		24,657
Planning Grant: Engineering Research Center for Environmentally Applied Refrigerant Technology Hub (EARTH)	47.041	2123852		22,401
RAPID: Infrastructural failures and the role of the built environment: The case of the winter storm in Houston, Texas	47.041	CMMI-2131645		61,040
RET Site: Inquiry Driven Engineering Activities using Bioengineering Examples (IDEA-BioE)	47.041	EEC-2055716		8,344
Team Iconium - Environmentally Applied Research Towards Hydrofluorocarbons	47.041	2140448		10,527
Subtotal for AL No. 47.041				2,696,665

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Collaborative Research: Mapping and Tracking Conformational Control of Nitric Oxide Synthase Activation	47.049	CHE-1710613		\$ 42,683
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1560279		16,649
CAREER: First Principles Evaluation of Optical Activity in Solids	47.049	CHE-1650942		116,607
Collaborative research: Modelling and inference for spatiotemporal climate impacts on complex ecosystems	47.049	DMS-1714195		20,534
New algorithms to enable faster, more accurate analysis of hydrogen exchange mass spectrometry data	47.049	CHE-1709176		45,258
INFEWS N/P/H2O: Supramolecular Recognition and Catalysis Targeting Phytate, an Organic Sink for Phosphate in the Human Phosphorus Cycle	47.049	CHE-1710535		102,156
Collaborative Research: The Effect of Filaments on the Gas in Galaxies	47.049	AST-1716690		74,351
Adaptive Data Assimilation for Nonlinear, Non-Gaussian, and High-Dimensional Combustion Problems on Supercomputers	47.049	DMS1723066		7,989
"The Midwest Numerical Analysis Day" Conference	47.049	DMS-1747624		1,750
Dynamic elements: effects of co-solvents on peptide folding pathways	47.049	CHE-1807852		70,301
Ultrafast Dynamics of Highly Excited Molecules in the Condensed Phase	47.049	CHE-1956387		50,151
Design of oligozulene-based organometallics for probing new paradigms in charge delocalization, transport, and storage at the nanoscopic scale	47.049	CHE-1808120		51,776
CAREER: New frontiers for Frobenius, singularity theory, differential operators, and local cohomology	47.049	DMS-1945611		43,483
Removing the Barriers to the Calculation of Activation Energies, Activation Volumes, and Mechanistic Insight for Chemical Dynamics	47.049	CHE-1800559		51,665
Synthesis via Decarboxylative Activation	47.049	CHE-1800147		96,587
Stochastic Analysis and Asymptotic Problems	47.049	DMS-1811181		94,720

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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Periodic KPZ Universality	47.049	DMS-1953687		\$ 33,859
Collaborative Research: Extreme Starbursts and Outflows: The Formation of Massive Compact Galaxies	47.049	AST-1814159		4,674
Novel Computational Mathematics for Aperiodic Multilayers	47.049	DMS-1819220		12,915
Geometric and Electronic Structure Contributions to Bond-breaking and Bond-making Reactions of Mid-valent Manganese-Oxygen Complexes	47.049	CHE-1900384		124,801
Broadband Two-Photon Absorption Spectroscopy for High-Repetition Rate Lasers	47.049	CHE-1905334		64,970
Collaborative Research: Beyond the Bulk Flow: Developing More Powerful Analysis Methods to Test Consistency of Large-scale Flows with the Standard Cosmological Model	47.049	AST-1907404		45,803
A study of hypersurfaces in general position inspired by Frobenius	47.049	DMS-1902321		34,595
Dynamics and stability of nonlinear waves	47.049	DMS-1908626		23,621
Particle Physics at the Energy Frontier with the CMS Experiment	47.049	PHY-1913886		(241)
Collaborative Research: WoU-MMA: The Radar Echo Telescope for Cosmic Rays and Neutrinos: Toward a Transformative Technology for Neutrino Detection	47.049	PHY-2012989		70,430
Engineering interfaces for high-performance oxide superconductor nanocomposite films	47.049	DMR-1909292		168,348
CAREER: Probing the High Energy Frontier with the CMS Experiment	47.049	PHY-1945038		104,883
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1950293		102,942
Large Solutions for Systems of Hyperbolic Conservation Laws and Wave Equations in One and Multiple Space Dimensions	47.049	DMS-2008504		75,255
Collaborative Research: WoU-MMA, Extreme Quantum-Electrodynamic and General-Relativistic Plasma Physics	47.049	PHY-2010109		79,572
Collaborative Research: WoU-MMA: Askaryan Radio Array: The world's forefront neutrino astrophysics program from 100 PeV	47.049	PHY-2012951		56,188
Particle Physics at the Energy Frontier with the CMS Experiment	47.049	PHY-2013007		303,575

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
RAPID: COVID-19 Behavior, perception, and control across geographic and economic gradients	47.049	DMS-2028297		\$ 59,909
Direct Calculation of Activation Energies and Entropies for Chemical Dynamics	47.049	2102656		81,580
Elucidating fundamental factors driving self- assembly with guided interactions in multicomponent enzyme systems using model nanostructured platforms	47.049	2108448		56,092
Apples to Apples: Comparing the Cores of Nearby Galaxies	47.049	2115428		85,921
NSF Accelnet: Inter-American Network of Networks of Quantum Chromo-Dynamics Challenges	47.049	2114669		12,472
Stochastic Calculus of Variations and Limit Theorems	47.049	DMS-2054735		36,214
Isotopic and Elemental Abundances in Stars and Planets	47.049	AST-2108686		69,677
Infinite-Dimensional Dynamical Systems - Stability and Long-time Behavior	47.049	2108285		24,072
Controlling exciton dynamics at interfaces using moire potentials	47.049	2109979		93,433
Modulations of Periodic Waves in Applied Mathematics	47.049	2108749		780
REU SITE: University of Kansas Physics and Astronomy Research Experiences for Undergraduates	47.049	PHY2149897		8,856
Subtotal for AL No. 47.049				2,721,856
CAREER: Improving Understanding of Antarctic Glacier Dynamics Through an Interactive Numerical Flowline Model	47.050	OPP-1255488		745
RCN: Facilitating Indigenous Research, Science and Technology (FIRST)	47.050	PLR-1417767		27,271
Collaborative Research: Stability and Dynamics of Antarctic MarineOutlet Glaciers	47.050	PLR-1543530		76,873
Collaborative Research: Experimental Investigation of Actinide Partitioning in Zircon and its Applications to Geochronology	47.050	EAR-1654637		14,616
INSPIRE: Forging new connections among mammalian evolution, climate change, and tectonics during the Eocene.	47.050	EAR-1543684		131,831

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
EarthCube Data Infrastructure: Collaborative Proposal: Development of an Integrated Data System for the Geological Field Sciences	47.050	ICER-1639734		\$ 15,813
EarthCube Data Infrastructure: Collaborative Proposal: A unified experimental-natural digital data system for analysis of rock microstructures	47.050	ICER-1639738		2
Collaborative Research: Mechanisms governing synoptic-scale, rapid cloud dissipation in subtropical marine low clouds	47.050	AGS-1656237		127,038
Collaborative Research: Topographic controls on Antarctic Ice Sheet grounding line behavior - integrating models and observations	47.050	OPP-1745055		116,559
Collaborative Research: Filling in the Central Himalayan Seismic Gap: A Structural, Neotectonic, and Paleoseismic Investigation of the Western Nepal Fault System	47.050	EAR-1827866		42,741
Collaborative Research: Unearthing Antarctica's role in the Late Cretaceous evolution of flowering plants	47.050	OPP-1953993		8,314
CAREER: UAS-Based Radar Suite for Sounding and Mapping Glaciers	47.050	OPP-1848210		92,419
TESTING MODELS OF CALCITE MICROCRYSTAL DIAGENESIS TO PREDICT MICROPOROSITY DISTRIBUTION IN LIMESTONES	47.050	EAR-1916642		42,101
Collaborative Research: Time of Transformation: integrating the dynamic geologic, climatic and biotic systems of North America during the Early to Late Cretaceous transition	47.050	EAR-1925942		68,997
Collaborative Research: What Created the Southern Tibetan Plateau Drainage Divide? Integrated Tectonic and Geomorphic Investigation of the Gangdese Range and Yarlung River	47.050	EAR-1917706		29,821
Collaborative Research: Dry Rifting In the Albertine-Rhino graben (DRIAR), Uganda	47.050	EAR-2021724		93,111
EarthCube Data Capabilities: Collaborative Proposal: Broadening Community Use and Adoption of StraboSpot	47.050	ICER-1928389		515,198
CAREER: Continental Paleoenvironmental Responses to Carbon Cycle Perturbations During the mid-Cretaceous Greenhouse	47.050	EAR-1941017		64,231
Collaborative Research: EarthChem & SESAR - Data Infrastructure for Geochemistry and Earth Science Samples Communities	47.050	EAR-1948813		86,913

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Collaborative Research: Network Cluster: Using Big Data approaches to assess ecohydrological resilience across scales.	47.050	EAR-2012080		\$ 7,688
Collaborative Research: Patterns, causes, and consequences of synchrony in giant kelp populations	47.050	OCE02023474		98,444
NSF GEO-NERC: Collaborative Research: Impact of the Plio-Pleistocene Transition on Provenance and Sediment Routing from the Himalaya to the Deep-Sea Bengal Fan	47.050	OCE-2026898		135,709
RAPID: Collaborative Research: Digitize a track, save a dinosaur!	47.050	EAR-2035530		5,766
Collaborative Research: How roots, regolith, rock an climate interact over decades to centuries - The R3-C Frontier	47.050	2121639		15,046
Collaborative Research: Deployment of Seafloor Optical Fiber Strainmeters for the Detection of Slow Slip Events	47.050	OCE-2127938		16,243
Collaborative Research: EarthCube Capabilities: Open Polar Radar (OPoRa) Software and Service	47.050	2126503		148,310
Collaborative Research: Catalytic Track: Improving Accuracy and Efficiency of Multicollector Mass Spectrometry	47.050	2149083		6,101
Subtotal for AL No. 47.050				1,987,901
CSR: Small: The Deterministic Memory Approach for Predictable and High Performance Cyber Physical Systems	47.070	CNS-1718880		2,752
AF:Small:Collaborative Research: A Robust Framework for Overcoming the Tangled Mesh Problem	47.070	CCF-1717894		18,350
CAREER: Unifying Heterogeneity of Extreme-Scale Cyberinfrastructures for Higher Productivity and Performance Portability	47.070	OAC-1942973		92,060
CDS&E: Collaborative Research: A Computational Framework for Reconstructing and Visualizing Myocardial Active Stresses	47.070	OAC-1808553		139,631
CSR: Small: Collaborative Research: Real- Time Computing Infrastructure for Integrated CPU-GPU SoC Platforms	47.070			83,590
AF: Small: Collaborative Research: Effective numerical algorithms and software for nonlinear eigenvalue problems	47.070	CCF-1812927		50,867

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Collaborative Research: Intelligent Solutions for Navigating Big Data from the Arctic and Antarctic	47.070	IIS-1838236		\$ 75,311
CRII: SaTC: Creating and Managing Structurally-Morphing IT Systems Moving Targets	47.070	CNS-1850406		51,471
Planning IUCRC University of Kansas: Center for High-Assurance Secure Systems and IoT (CHASSI)	47.070	CNS-1916732		11,813
EAGER: SaTC: Early-Stage Interdisciplinary Collaboration: A Sociotechnical Metrics Framework for Network and Security Operations Centers	47.070	CNS-1915824		26,215
Collaborative Research: CSL-MultiAD: Assessing Collaborative STEM Learning through Rich Information Flow based on Multi-Sensor Audio Diarization	47.070	IIS-1918012		45,642
SaTC: CORE: Small: Digital Homelessness in the Heartland: Safeguarding and Enhancing the Experiences of Public Internet Users	47.070	CNS-1946180		229,847
CRII: NeTS: Beyond PHY and Channel Measurements in Millimeter Wave: Towards Low-Overhead and Resilient Multi-hop Networking	47.070	CNS-1948511		54,952
Collaborative Research: CNS Core: Medium: Combating Latency and Disconnectivity in mmWave Networks: From Theory to Implementation	47.070	CNS-1955561		82,177
Collaborative Research: CNS Core: Medium: RUJ: Optics without Borders.	47.070	CNS-1956137		92,156
Collaborative Research: CPS: Medium: Real-time Criticality-Aware Neural Networks for Mission-critical Cyber-Physical Systems	47.070	CNS-2038923		28,525
SCC-CIVIC-PG Track A: Connecting Underrepresented Youths with Employment Opportunities	47.070	CNS-2044022		31,202
SCC-CIVIC-FA Track A: Connecting Underrepresented Youths with Employment Opportunities	47.070	2133384		388,295
CAREER: SATC: Bridging the Gap Between Research and Practice: Automation and Metrics in Security Operation Centers	47.070	CNS-2143393		1,240
.Subtotal for AL No. 47.070				1,506,096

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Delineating the roles of rising CO2 and temperature on flowering time across pre-industrial through future conditions	47.074	IOS-1457236		\$ 167,089
Collaborative Research: Discovery and analysis in the cradle of speciation theory: biotic surveys of Melanesia's terrestrial vertebrates	47.074	DEB-1557053		169,181
CAREER: Teaching Modern Biodiversity Science from Fieldwork to Phylogeny: Diversity, Systematics, & Evolution of Ecologically Promiscuous Aquatic Beetles	47.074	DEB-1453452		43,956
Collaborative Research: Fire-Fungal-Plant Feedbacks in Pyrogenic Ecosystems	47.074	DEB-1557000		(326)
Bridging observational, experimental and genomic insights on species and speciation through comparative analyses in a new vertebrate model systems	47.074	DEB-1457774		27,820
Collaborative Research: Hierarchical Functioning of River Macrosystems in Temperate Steppes - From Continental to Hydrogeomorphic Patch Scales	47.074	EF1442595		124,814
DIMENSIONS: COLLABORATIVE RESEARCH: The evolution of pollination syndrome diversity in Penstemon	47.074	DEB-1542402		130,419
ABI Sustaining: Supporting Biological Collections Computing with Specify	47.074	DBI-1565098		(22)
doseR: a novel linear modeling framework for dosage compensation analysis	47.074	DBI-1661454		98,625
Digitization TCN: Collaborative Research: The Cretaceous World: Digitizing Fossils to Reconstruct Evolving Ecosystems in the Western Interior Seaway	47.074	DBI-1602067		17,467
Dimensions US-China: Collaborative Research: Microbe eco-evolutionary feedbacks as drivers of plant coexistence, diversity gradients, and overyielding	47.074	DEB-1738041		310,059
Collaborative Research: Ecological Dynamics of the Plant-Arbuscular Mycorrhizal Fungal Mutualism: Contribution to Plant Species turnover and Coexistence	47.074	DEB-1556664		77,063

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
LTREB Renewal: Long-term studies of secondary succession and community assembly in the prairie-forest ecotone of eastern Kansas	47.074	DEB-1655500		\$ 74,066
Collaborative Research: Phylogenetic Systematics and the Evolution of Reproductive Innovation in an Adaptive Radiation of Limnonectes Fanged Frogs	47.074	DEB-1654388		40,147
Collaborative Research: Phylogenetic Systematics and the Evolution of Reproductive Innovation in an Adaptive Radiation of Limnonectes Fanged Frogs	47.074	DEB-1654388		9,022
DISSERTATION RESEARCH: Determining anucleated sperm function in Lepidoptera	47.074	DEB-1701931		1,779
Collaborative Research: Digitization TCN: oVert: Open Exploration of Vertebrate Diversity in 3D	47.074	DBI-1701932		12,897
Collaborative Research: ABI Development: Cultivating a sustainable Open Tree of Life	47.074	DBI-1759838		179,669
CAREER: A Novel Bioinformatic Infrastructure for Metagenome Assembly and Functional Annotation	47.074	DBI-1943291		90,189
Bilateral BBSRC-NSF/BIO: CIBR: Structural modeling of interactome to assess phenotypic effects of genetic variation	47.074	DBI-1917263		321,933
Collaborative Research: Cestode phylogeny and genomics: A spine for the spineless, gutless worms	47.074	DEB-1921411		26,014
Collaborative Research: SG: Clonality and the scope for adaptation in heterogeneous environments	47.074	DEB-1923495		30,953
Collaborative Proposal: MRA: Teleconnections Among Great Plains NEON Sites by Wind and Wing	47.074	DEB-1926596		109,685
CIBR: Collaborative Research: Integrating data communities with BiotaPhy: a computational platform for data-intensive biodiversity research and training	47.074	DBI-1930005		344,992
FSML: Enhancing research support infrastructure at the University of Kansas Field Station	47.074	DBI-1938412		14,500
Chromosomal inversions and gene expression in Mimulus	47.074	MCB-1940785		348,434

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
COLLABORATIVE RESEARCH: LTREB RENEWAL: The role of ecological heterogeneity in a long-term grassland restoration experiment	47.074	DEB-1922915		\$ 48,657
Workshop: Modern methods in microscopy: Elucidating the physical biology of the cell; Summers - 2020 and 2021; Lawrence, Kansas	47.074	MCB-2001870		10,995
Collaborative Proposal: Frameworks: Internet of Samples: Toward an Interdisciplinary Cyberinfrastructure for Material Samples	47.074			138,332
Collaborative Research: Network Cluster: Geomicrobiology and Biogeochemistry in the Critical Zone	47.074	EAR-2012633		94,315
BBSRC-NSF/BIO: A holistic approach to understand drought adaptation in plants, their symbionts, and free-living microbiomes	47.074	IOS-2016351		204,615
How genomic shock triggers transposition during hybrid dysgenesis	47.074	MCB-2025197		190,107
Collaborative Research: CSBR: Ownership Transfer: Living Stocks: International Culture Collection of Arbuscular Mycorrhizal Fungi (INVAM)	47.074	2027458		43,418
CSBR: Rehousing of the Mammal Collection at the University of Kansas Biodiversity Institute	47.074	2100955		426,909
Collaborative Research: Digitization TCN: Extending Anthophila research through image and trait digitization (Big-Bee)	47.074	2101851		90,626
RESEARCH-PGR: Genetics and mechanisms of microbe-dependent heterosis	47.074	IOS-2033621		59,651
REU SITE: The Stressed Life of Cells A public workflow for predicting peptide binding structures	47.074	DBI-2051128		40,110
CAREER: The genetic mechanisms of sex- ratio meiotic drive and resistance	47.074	2121063		36,047
MCA: New directions in female aggression research	47.074	MCB-2047052		158,331
EAGER: Toward a tractable genetic model of DNA virus - Drosophila interaction	47.074	IOS-2121849		3,403
	47.074	MCB-2135167		85,692
Collaborative Research: Phylogeny of Cnidaria - Convergent Evolution of Eyes, Gene Expression, and Cell Types	47.074	2153774		25,103
Subtotal for AL No. 47.074				4,426,736

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Understanding Gender Differences in STEM Academic Careers	47.075	SES1538797		\$ 14,985
A Semantic Grammar of Kiowa - kio	47.075	BCS-1664431		5,331
Examining Native Language Variability and its Effects on Second Language Processing: An Event-Related Potentials Investigation of Referential Dependencies	47.075	BCS-1749143		72,225
Neural Mechanisms for Phonological Alternation with High and Low Productivity	47.075	BCS-1826547		103,846
The Genetic History of the Aleut People	47.075	BCS-1849338		61,452
Learning to pronounce ethnic names as a means of improving inter-ethnic interaction	47.075	BCS-1941684		72,577
Doctoral Dissertation Research: Examining the linguistic cues that guide prediction in the processing of Mandarin relative clauses: An ERP study	47.075			1,496
Collaborative Research: The Effect of State Disinvestment in Higher Education on Research Quality and Returns to Scale in Science Funding	47.075	SMA-1854849		37,845
Doctoral Dissertation Research: Lexical Acoustics	47.075	BCS-1918404		3,173
Conferences to Strengthen the Kansas Health Economics Community	47.075	SES-1941552		2,611
Doctoral Dissertation Research: Do farmers know better? Exploring the politics of on-farm innovation, environmental change, and rural livelihoods in the US hop-growing industry	47.075	SES-1946941		1,792
Enhancing the Perception and Recognition of Spoken Words in a Second Language: A Cue-Weighting Approach	47.075	BLS-2016750		72,942
Collaborative Research: Assessing the Impact of Lead Agency Cross-Functional Authority on City Sustainability Outcomes	47.075	SES-2021044		98,954
RAPID: Understanding the Experiences of Public Internet Users during the Novel Corona Virus Pandemic	47.075	SES-2037575		31,169
Collaborative Research: Dealing with Disruption: Investigating the Micro-level Underpinnings of City Response to the Climate Crisis	47.075	SES-2049917		68,778

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
Investigating the genetic history of the Central and Southern Plains	47.075	2051397		\$ 46,993
Speech perception in younger and older adults: Cue-weighting and contextual information	47.075	2141302		5,410
Subtotal for AL No. 47.075				<u>701,579</u>
The Evidence Games: Collaborative Games Engaging Middle School Students in the Evaluation of Scientific Evidence	47.076	DRL-1019842		(2,047)
Deep Roots: Wide-Spread implementation of community-driven evidence-based Pedagogy	47.076	DUE-1525775		51,299
CyberCorps: New Scholarships for Service (SFS) Program at the University of Kansas - Jayhawk SFS	47.076	DGE-1565570		345,453
Collaborative Research: Transforming the Evaluation of Teaching: A Study of Institutional Change to Advance STEM Undergraduate Education	47.076	DUE-1726087		39,908
Collaborative Research: Technology Education for Women in Transition: Broadening Participation Through Innovations	47.076	DRL-1907002		365,469
Collaborative Research: Cool Science: Art as a Vehicle for Intergenerational Learning	47.076	DRL-1906810		275,022
NRT-HDR: The Internet of Catalysis - Harnessing Data Science for Catalyst Design	47.076	DGE-1922649		430,083
Graduate Research Fellowship Program	47.076	DGE-1940699		322,667
RAPID: Collaborative Research: Electronic Mentoring to Address Challenges in Engineering Graduate Programs During the COVID-19 Pandemic	47.076	DGE-2031069		21,302
Collaborative Research: SaTC: EDU: Hardware Security Education for All through Seamless Extension of Existing Curriculum	47.076	2114157		1,886
Subtotal for AL No. 47.076				<u>1,851,042</u>
Collaborative Research: EAGER: A Dual-Band Radar for Measuring Internal Ice Deformation: a Multipass Ice-Penetrating Radar Experiment on Thwaites Glacier and the McMurdo Ice Shelf	47.078	OPP-2027615		139,433
EAGER: Extending Greenland glacier observations using newly-discovered aerial photographs	47.078	2135018		92,324
Subtotal for AL No. 47.078				<u>231,757</u>

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Direct</u>				
RII Track-2 FEC: Improving Water Management, Treatment and Recovery in Oil and Gas Production	47.083	OIA-1632892		\$ 43,316
RII Track-1: Microbiomes of Aquatic, Plant and Soil Systems (MAPS) mediating sustainability: An observational and experimental network across Kansas	47.083	OIA-1656006		3,876,670
RII Track-4: Pore-Scale Transport Phenomena in Li-O2 Battery Electrodes Characterized by Nano-Tomography	47.083	OIA1833048		58,257
RII Track-4: Pulse Radiolysis Studies of H2 Generation by [Cp*Rh] Complexes to Characterize Design Rules for Improved Catalysts	47.083	OIA-1833087		28,134
RII Track-2 FEC: Marshalling Diverse Big Data Streams to Understand Risk of Tick-borne Diseases in the Great Plains	47.083	1920946		734,039
RII Track-1: Adaptive and Resilient Infrastructures driven by Social Equity (ARISE)	47.083	OIA-2148878		356
RII Track-2 FEC - Advanced Manufacturing of Renewable and Recyclable Polymers	47.083	2119754		164,271
RII Track-2 FEC: Aquatic Intermittency effects on Microbiomes in Streams (AIMS)	47.083	OIA-2019603		1,661,581
Subtotal for AL No. 47.083				6,566,624
Modeling the dynamics of belief formation: Towards a computational understanding of the timing and accuracy of probability judgments	47.000	SES-212112		99,623
SCH: INT: Collaborative Research: Privacy-Preserving Federated Transfer Learning for Early Acute Kidney Injury Risk Prediction	47.000	IIS-2014552		93,260
Subtotal for AL No. 47.000				192,883
Subtotal: National Science Foundation- Direct				22,883,139

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Passthrough- AMERICAN PHYSICAL SOCIETY</u>				
PhysTEC: Building a Solution to the National Physics Teacher Shortage	47.049	PT-002-2019	PHY-1707990	\$ 1,564
<u>Passthrough- AVIUM LLC</u>				
SBIR Phase II: Dual Element Matrix (DEM) Water Electrolyzer	47.041	23926	1951216	64,246
<u>Passthrough- BATTELLE MEMORIAL INSTITUTE</u>				
Reaeration Analyses: SF6, Chloride, Bromide	47.074	US001- 0000731738		58,052
Dissolved Gas Analyses: CH4, CO2, N2O	47.000	US001- 0000732763	NEON Cooperative Agreement	45,705
Mosquito Taxonomic Identification	47.000	US001- 0000732907	NEON Cooperative Agreement	75,938
<u>Passthrough- BAYLOR UNIVERSITY</u>				
SII Planning: Developing a National Spectrum Innovation Initiative (SII) Center for Adaptive and Reconfigurable Wireless Technology	47.070	1001025-04		1,307
<u>Passthrough- CARNEGIE MELLON UNIVERSITY</u>				
Dyadic Behavior Informatics for Psychotherapy Process and Outcome	47.075	1122586- 438046	IIS-1722822	17,116
<u>Passthrough- CAST, INC.</u>				
Accelerating Higher Order Thinking and STEM Content Learning Among Students w/Disabilities	47.076	UK090118-21		25,584
<u>Passthrough- COLUMBIA UNIVERSITY</u>				
Participation of Dustin T. Harper on IODP Expedition 396	47.050	113(G009393- 04)		20,411
Collaborative Research: Frameworks: Internet of Samples: Toward an Interdisciplinary Cyberinfrastructure for Material Samples	47.070	1(GG015554- 01)	OAC-2004839	60,080
<u>Passthrough- CORNELL UNIVERSITY</u>				
U.S. CMS Upgrades for the HL-LHC	47.049	79433-20679	PHY-1946735	53,591
<u>Passthrough- COUNCIL FOR OPPORTUNITY IN EDUCATION</u>				
ITEST Strategies proposal - iStrongG (Inclusive, Strong and Green): A student- centered systems thinking-based curriculum.	47.076	1759163-3		22,254
<u>Passthrough- DONALD DANFORTH PLANT SCIENCE CENTER</u>				
BII: New Roots for Restoration: integrating plant traits, communities, and the soil ecosphere to advance restoration of natural and agricultural systems	47.074	24409-K	2120153	223,749

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Passthrough- DUKE UNIVERSITY</u>				
Human and Natural Forcings of Critical Zone Dynamics and Evolution at the Calhoun Critical Zone Observatory	47.050	14-NSF-1078	EAR-1331846	\$ 7,017
<u>Passthrough- GEORGIA STATE UNIVERSITY</u>				
Smart and Safe Prescribed Burning for Rangeland and Farmland Communities	47.070	SP00015053-01	CNS-2125361	17,074
<u>Passthrough- HISTORY COLORADO</u>				
A Study in the Integration of Western Knowledge and Native American Knowledge Bases	47.076			4,797
<u>Passthrough- INDIANA UNIVERSITY</u>				
CIF21 DIBBs: Middleware and High Performance Analytics Libraries for Scalable Data Science	47.070	8743-UK	1443054 Amd 7,8 and NCE	5,049
<u>Passthrough- KANSAS STATE UNIVERSITY</u>				
Processes Influencing Community Assembly During Tallgrass Prairie Restoration	47.074	A00-0071-S008-A01	DEB-144084	8,693
LTER: Manipulating drivers to assess grassland resilience	47.074	A21-0332-S003	DEB-2025849	32,113
GP-IN: SOARING: Sharing Opportunities, Approaches, and Resources in New Geo-teaching	47.078	A21-0163-S001	OPP-2022964	18,085
<u>Passthrough- KANSAS STATE UNIVERSITY SPA</u>				
Konza Prairie LTER: Grassland Dynamics and Long-Term Trajectories of Change	47.074	S15103	DEB-1440484	11,168
Konza Prairie LTER: Long Term Research on Grassland Dynamics and Global Change	47.074	S15099.02	DEB-1440484	3,461
<u>Passthrough- NATURAL HISTORY MUSEUM OF LOS ANGELES COUNTY</u>				
Digitization PEN: Collaborative Research: The Cretaceous World Connecting the Cretaceous Seas of North America	47.074	1902262	1902262	3,664
<u>Passthrough- NEW YORK UNIVERSITY</u>				
Melting at Thwaites grounding zone and its control on sea level (THWAITES-MELT)	47.050	F0691-02	Melting at Thwaites grounding zone and its control on sea level (THWAITES-MELT)	370

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Passthrough- NORTHERN ARIZONA UNIVERSITY</u>				
CNH-L: Scale-dependent feedbacks among protected areas and surrounding socio-ecological systems	47.074	1003088-01		\$ 2,805
<u>Passthrough- OCCIDENTAL COLLEGE</u>				
Modeling plant-virus-vector coinfections and the effect of disease control strategies on plant yield	47.074	OXY-CURM0054		1,200
Modeling plant-virus-vector coinfections and the effect of disease control strategies on plant yield	47.074	OXY-CURM0055		964
<u>Passthrough- OKLAHOMA STATE UNIVERSITY</u>				
Digitization TCN: Collaborative Research: Earth and sky: digitizing the vascular flora of the south-central United States	47.074	1-578050-KU	DBI-1902085	11,897
<u>Passthrough- OREGON STATE UNIVERSITY</u>				
Center for OLDest Ice EXploration (COLDEX)	47.078	S2306L-I	OPP-2019719	252,087
<u>Passthrough- PENNSYLVANIA STATE UNIVERSITY</u>				
NSFPLR-NERC: Ground Geophysics Survey of Thwaites Glacier	47.050	5860-UKCR-NSF-8934	OPP-1738934	42,758
<u>Passthrough- PRINCETON UNIVERSITY</u>				
U.S. CMS Operations at the Large Hadron Collider	47.049	SUB0000197		4,584
<u>Passthrough- SOUTH DAKOTA SCHOOL OF MINES</u>				
R11 Track-2 FEC: The IceCube EPSCoR Initiative (IEI) - IceCube and the Data Revolution	47.083	SDSMT- KU 21-	OIA-2019597 05	82,894
<u>Passthrough- UNIVERSITY OF IOWA</u>				
R11 Track-2 FEC: Critical Resource Availability for the Future of the Renewable Energy Industry: Critical Minerals and Ground Water Resources in Iowa and Kansas	47.083	S02918-01	OIA-2119551	758,915
<u>Passthrough- UNIVERSITY OF NEBRASKA - LINCOLN</u>				
U.S. CMS Operations at the Large Hadron Collider	47.049	25-0521-0244-006	PHY-2121686	9,790
<u>Passthrough- UNIVERSITY OF NEW MEXICO</u>				
S11 Planning: Spectrum-Agile Cognitive Communications for Terrestrial and Space Applications	47.049	271699-87R8	2037864	30,144
<u>Passthrough- UNIVERSITY OF NORTHERN COLORADO</u>				
Collaborative Research: Developing a Next Generation Concept Inventory using Constructed Response for evaluating student knowledge of complex FEW systems in environmental education	47.076	000021-00001A.008.00	4040-0001	6,613
<u>Passthrough- UNIVERSITY OF NOTRE DAME</u>				
QuarkNet center at the University of Kansas	47.049		PHY-1806631	200

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Research and development cluster (Continued)				
National Science Foundation (Continued)				
<u>Passthrough- UNIVERSITY OF THE VIRGIN ISLANDS</u>				
Ridge to Reef Processes and Interdependent Drivers of Small Island Resilience	47.083	1946412-02	OIA-1946412	\$ 16,678
<u>Passthrough- VANDERBILT UNIVERSITY</u>				
Collaborative Research: SHF: Small: Learning Fault Tolerance at Scale	47.070	OSA00000080		12,067
<u>Passthrough- WASHINGTON UNIVERSITY SAINT LOUIS</u>				
Dimensions US-South Africa: Convergent evolution across time and space: Evolutionary diversity and contemporary adaptation in New and Old World lizards	47.074	WU-21-315	DEB-1927194	16,623
Subtotal: National Science Foundation- Passthrough				<u>2,031,307</u>
Total: National Science Foundation				<u>24,914,446</u>
Total Research and Development Cluster				<u>103,384,635</u>
TRIO				
Department of Education				
<u>Direct</u>				
University of Kansas TRIO Student Support Services - SES	84.042	P042A160846		63,400
KU Student Support Services Science, Technology, Math, Engineering and Health Sciences (SSS STEM)	84.042	P042A201664		257,937
University of Kansas Student Support Services (KU SSS)	84.042	P042A211632		265,248
Subtotal for AL No. 84.042				<u>586,585</u>
University of Kansas Talent Search (KUTS)	84.044	P044A160170		263,571
University of Kansas Talent Search	84.044	P044A210069		278,055
Subtotal for AL No. 84.044				<u>541,626</u>
University of Kansas Math & Science Center	84.047	P047M170310		356,879
University of Kansas Upward Bound Math & Science (KU-UBMS)	84.047	P047M170490		332,875
University of Kansas Upward Bound Program	84.047	P047A180353		443,822
The University of Kansas Veterans Upward Bound Program	84.047	P047V180027		245,402
Subtotal for AL No. 84.047				<u>1,378,978</u>
University of Kansas EOC	84.066	P066A160048		95,596
University of Kansas EOC - Leavenworth and Franklin County	84.066	P066A160079		61,762
University of Kansas Educational Opportunity Center (KU-EOC)	84.066	P066A210033		245,185
University of Kansas EOC Leavenworth-Franklin County (KU-EOC-LV-FR)	84.066	P066A210117		194,842
Subtotal for AL No. 84.066				<u>597,385</u>
McNair Scholars Program	84.217	P217A170081		330,879
Subtotal: Department of Education- Direct				<u>3,435,453</u>
Total: Department of Education				<u>3,435,453</u>
Total TRIO Cluster				<u>3,435,453</u>

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Maternal Cluster				
Department of Health and Human Services				
<u>Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT</u>				
Maternal, Infant and Early Childhood Home Visiting, The Institute Learning Management System	93.870	TO 21018, contract 48567 UKCR	6 X10MC335810101	\$ 184,372
Maternal, Infant and Early Childhood Home Visiting DAISEY Date Management for FY20	93.870	21019, contract 48567 UKCR	1X10MC396870100	104,504
KDHE Master Agreement: Task Order 21002: Maternal, Infant and Early Childhood Home Visiting FY 19 Evaluation	93.870	KDHE_TO_21002		95,702
Maternal, Infant and Early Childhood Home Visiting DAISEY Date Management for FY21	93.870	22021		159,589
Kansas MIECHV Learning Management System FY21	93.870	22028		38,269
MIECHV Coordinated State Evaluation FY21 MA 48567 UKCR	93.870	TO 22036	X10MC43582	83,195
<u>Passthrough-STATE OF NEBRASKA DEPARTMENT OF HEALTH & HUMAN SERVICES</u>				
Home Visiting Data Collection and Management - Nebraska 2015-2016	93.505			(118)
Home Visiting Data Collection and Management - Nebraska	93.870	88265-O4		146,816
<u>Passthrough- WISCONSIN DEPARTMENT OF CHILDREN & FAMILIES</u>				
Wisconsin Family Foundations Home Visiting shared Measurements System	93.870	437003-C20-0001518-R01-01	Maternal, Infant and Early Childhood Home Visiting Grant Program	145,173
2022: Wisconsin Family Foundations Home Visiting shared Measurements System	93.870	437003-C20-0001518-R02-01		86,128
Subtotal: Department of Health and Human Services- Passthrough				1,043,630
Total: Department of Health and Human Services				1,043,630
Total Maternal Cluster				1,043,630
Other Programs				
Department of Defense				
<u>Direct</u>				
University of Kansas IC Center for Academic Excellence (KU-ICCAE)	12.598	2020-20061700010		256,350
Army Educational Outreach Program (UNITE)	12.630			5,163
2020 GenCyber University of Kansas	12.903	H98230-20-1-0269		99,770
Subtotal: Department of Defense- Direct				361,283

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Other Programs (Continued)				
Department of Defense (Continued)				
<u>Passthrough- ARMY EDUCATIONAL OUTREACH PROGRAM</u>				
Army Educational Outreach Program (UNITE)	12.630			\$ 16,489
<u>Passthrough- INSTITUTE OF INTERNATIONAL EDUCATION</u>				
Master Agreement - KU Project GO Center: Attaining Intercultural Understanding through Critical Language Learning for 21st Century Officers	12.357	PGO1801-KU- 10	H98210-18-2-002	576,727
Cost Reimbursement Umbrella Agreement for Prime Award Number H98210-18-2-0002	12.357	PGO1801-KU- 10	H98210-18-2-0002	593,521
<u>Passthrough- KANSAS STATE UNIVERSITY</u>				
Learning, Exploration, and Application for Prospective Engineering Students (LEAPES)	12.006	A22-0220-S001	HQ00342110017	73,688
Subtotal: Department of Defense- Passthrough				1,260,425
Total: Department of Defense				1,621,708
Department of Agriculture				
<u>Passthrough- KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
SNAP Process and Technology Improvement Grant	10.580			184,503
<u>Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Kansas-Missouri Nutrition Incentive Collaborative	10.331	GR16154	Food Insecurity Nutrition Incentive Program	14,305
Subtotal: Department of Agriculture- Passthrough				198,808
Total: Department of Agriculture				198,808
Department of the Interior				
<u>Passthrough- KANSAS STATE HISTORICAL SOCIETY</u>				
GIS-based Predictive Model for Surface and Buried Archeological Sites in Kansas	15.904	P19AF00217- 10031	P19AF00217	12,814
<u>Passthrough- MICCOSUKEE INDIAN SCHOOL</u>				
DLM - Operational/Testing	15.000	44679		2,087
Subtotal: Department of the Interior- Passthrough				14,901
Total: Department of the Interior				14,901

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Other Programs (Continued)				
Department of Justice				
<u>Direct</u>				
U.S.P. Leavenworth Legal Assistance Program	16.000	15B40819D000 00033		\$ 55,335
Subtotal: Department of Justice- Direct				55,335
<u>Passthrough- IDAHO, STATE OF</u>				
Idaho Safe Schools, Safe Students	16.839	HC204400		293,955
<u>Passthrough- KANSAS DEPARTMENT OF CORRECTIONS</u>				
Crawford County Juvenile Justice Community Engagement Initiative	16.540	PO26684	2018-JF-FX-0021	203,745
Subtotal: Department of Justice- Passthrough				497,700
Total: Department of Justice				553,035
 Department of State				
<u>Direct</u>				
Study of the U. S. Institutes for Student Leaders on Womens Leadership	19.009	S-ECAGD-18- CA-1040		547,444
Subtotal: Department of State- Direct				547,444
<u>Passthrough- INSTITUTE OF INTERNATIONAL EDUCATION</u>				
2021 Eight-Week Humbert H. Humphery Fellowship Pre-Academic Training Program	19.010	3000213918	S-ECAGD-21-CA- 3001, S-ECAGD-CA- 20-0002	276,972
2022 Eight-Week Humbert H. Humphery Fellowship Pre-Academic Training Program	19.000	300253385		6,838
Subtotal: Department of State- Passthrough				283,810
Total: Department of State				831,254
 Department of Transportation				
<u>Passthrough- KANSAS DEPARTMENT OF TRANSPORTATION</u>				
Kansas Innovation Summit	20.200			16,918
Technology Transfer Program - FY 2020 Local Technical Assistance Program (LTAP)	20.215		Highway Training and Education Program	3,509
2021 Local Technical Assistance Program (LTAP)	20.215	RE-0255-21- LTAP-R025- 521	RE-0255-21-LTAP- R025-521	298,163

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Other Programs (Continued)				
Department of Transportation (Continued)				
<u>Passthrough- KANSAS DEPARTMENT OF TRANSPORTATION (Continued)</u>				
2022 Local Technical Assistance Program (LTAP)	20.215	RE-0255-22-LTAP-R025-522		\$ 232,935
Technical Services for the Kansas Rural Transit Assistance Program (RTAP) – FY 2021	20.509	PT-0511-41		9,729
Transportation Safety Conferences 2013-2022	20.600	SA-0943-21		83,216
Data Access and Support Center (DASC) GIS Mapping Integration	20.616	TR-2114-21	18X920405cKS15	46,034
<u>Passthrough- KANSAS DIVISION OF EMERGENCY MANAGEMENT</u>				
Trainings to Kansas Counties through Kansas University Fire and Rescue Training Institute during the federal fiscal year 2019-2020	20.703		693JK31940016HM EP	6,505
Trainings to Kansas Counties through Kansas University Fire and Rescue Training Institute during the federal fiscal year 2020-2021	20.703		693JK31940016HM EP	7,116
<u>Passthrough- KANSAS STATE UNIVERSITY SPA</u>				
Traffic Assistance Services for Kansas (TASK) Program (FY 2022-2023)	20.215	A21-0571-S001		74,407
Subtotal: Department of Transportation- Passthrough				<u>778,532</u>
Total: Department of Transportation				<u>778,532</u>
Department of the Treasury				
<u>Direct</u>				
VITA Grant Project	21.009	21VITA0165		27,122
VITA Grant Project	21.009	22VITA0218		5,408
Subtotal for AL No. 21.009				<u>32,530</u>
COVID-19: Radio Community Service Grant (CSG)	21.019			190,545
Subtotal: Department of the Treasury- Direct				<u>223,075</u>
<u>Passthrough- DOUGLAS COUNTY, KANSAS</u>				
Douglas County, KS and City of Lawrence, KS Homelessness Needs Assessment	21.027	SRA25579		71,616
<u>Passthrough- KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
COVID-19: DCF ARPA Planning and Support	21.027		ARPA funds	431,803
<u>Passthrough- WYANDOTTE ECONOMIC DEVELOPMENT COUNCIL</u>				
WyCo Works	21.019	24257		3,515
Subtotal: Department of the Treasury- Passthrough				<u>506,934</u>
Total: Department of the Treasury				<u>730,009</u>

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
National Aeronautics and Space Administration				
<u>Passthrough- WICHITA STATE UNIVERSITY</u>				
National Space Grant College and Fellowship Program Training Grant FY 2019- 2020	43.008	9702-7-3-16241	NNX15AJ97H	\$ (415)
Subtotal: National Aeronautics and Space Administration- Passthrough				<u>(415)</u>
Total: National Aeronautics and Space Administration				<u>(415)</u>
 Federal Communications Commission				
<u>Direct</u>				
Kansas Deaf Blind Equipment Distribution-- Assistive Technology for Kansans	32.000	DA 19-557		131,886
Subtotal: Federal Communications Commission- Direct				<u>131,886</u>
Total: Federal Communications Commission				<u>131,886</u>
 Institute of Museum and Library Services				
<u>Direct</u>				
Healing, Knowing, Seeing the Body - Robleto	45.024	1856869-44-20		1,337
KU Indigenous Culture Festival	45.024	1858768-55-20		547
Boarders that Define and Divide	45.024	1862250-54-20		37,320
To support research and planning for the exhibition Bold Women: Changing the World and Art	45.024	1865585-44-21		7,722
Returning: Community-based Art Experience Involving Women in Reentry and the Public	45.024	1865778-41-21		13,400
KU Powwow & Indigenous Cultures Festival (ICF)	45.024	1884573-55-21		30,246
Subtotal for AL No. 45.024				<u>90,571</u>
To support infrastructure improvements to the Spencer Museum of Art's collection storage, freight elevator, and galleries.	45.130	CHA-261952- 19		\$ 239,229
Improving energy efficiency in collection storage in Spencer Research Library, University of Kansas	45.149	PF-271970-20		36,000
Hurston on the Horizon in the Past, Present, and Future	45.163	EH-272538-20		165,627
Revising the Spencer Museum of Art's Collection Galleries	45.164	GI27833821		53,783
Building Literacy and Curating (Critical Cultural) Knowledge in Black Humanities: BLACK DH	45.169	HAA28103021		35,612

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Institute of Museum and Library Services (Continued)				
<u>Direct</u>				
Building Capacity for Diversity, Equity, Access, and Inclusion at the Spencer Museum of Art	45.301	MA-40-19-0377- 19		\$ 52,150
Natural History Mystery: Immersing families in a problem-solving game using museum collections	45.301	MA-249109- OMS-21		19,341
Strengthening Digital Platforms for Teacher, Learning, and Exploration	45.301	MA-249559- OMS-21		75,653
Subtotal for AL No. 45.301				<u>147,143</u>
Subtotal: Institute of Museum and Library Services- Direct				<u>767,965</u>
<u>Passthrough- CHILDRENS MUSEUM OF TACOMA</u>				
Evaluating Military Family Programming	45.312	22898	MG-80-19-0029-19	31,718
<u>Passthrough- HUMANITIES KANSAS</u>				
Faith in the Free State Podcast	45.129	221008MJ	SO-268871-20	4,251
SHARP Recovery Grant - 221824SH - Kansas Public Radio	45.129		S0-253126-17	5,982
Rebuilding Community Online and at Home	45.149	4960	S0-253126-17	12,399
<u>Passthrough- NATIONAL ENDOWMENT FOR HUMANITIES</u>				
The Public Digital Humanities: An Institute for Academic/Community Collaborations	45.169	HT-281161-21		115,774
<u>Passthrough- NORTH CAROLINA STATE</u>				
Scholarly Communication Notebook	45.312	2019-2227-02	LG-36-19-0021-19	548
<u>Passthrough- WEST VIRGINIA UNIVERSITY</u>				
The American Congress Digital Archives Portal Project	45.149	21020UK	PW277585	8,763
Subtotal: Institute of Museum and Library Services- Passthrough				<u>179,435</u>
Total: National Aeronautics and Space Administration				<u>947,400</u>
Small Business Administration				
<u>Passthrough- FORT HAYS STATE UNIVERSITY</u>				
University of Kansas Small Business Development Center - 2021 (Federal Funds)	59.037	2113		27,010
University of Kansas Small Business Development Center - 2022	59.037	2213		2,820
Subtotal: Small Business Administration- Passthrough				<u>29,830</u>
Total: Small Business Administration				<u>29,830</u>

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Veterans Administration				
<u>Direct</u>				
VA Educational Therapy Program	64.000	VA255-P-0864		\$ 125
VA Educational Therapy Program	64.000	VA255-15-C-0021		5,430
Subtotal for AL No. 64.000				<u>5,555</u>
Subtotal: Veterans Administration- Direct				<u>5,555</u>
Total: Veterans Administration				<u>5,555</u>
Department of Education				
<u>Direct</u>				
Support: Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.015	P015B180021		314,857
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015B180104- 19		317,514
NRC: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015A180095		283,942
Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.015	P015A180021		153,762
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015A180104		217,609
FLAS: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015B1800950 - 20		263,953
Fostering Global Competency and Engagement in the Heartland: The University of Kansas Center for Russian, East European and Eurasian Studies	84.015	P015A200004		160,219
Subtotal for AL No. 84.015				<u>1,711,856</u>
Heartland College Assistance Migrant Program	84.149	S149A150007		1,973
Heartland College Assistance Migrant Program (HCAMP)	84.149	S149A220010		1,877
Subtotal for AL No. 84.149				<u>3,850</u>

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education (Continued)				
<u>Direct</u>				
University of Kansas Open Language Resource Center	84.229	P229A1808008		\$ 193,864
Post-Doctoral Research Training Program in Special Education: Evidence-Based	84.324	R324B180004		156,836
Enhancing Engagement: Investigating Adaptations to Commonly Used Interventions for Elementary Students with Challenging Behavior	84.324	R324B210007		94,685
Postdoctoral Research Training in Special Education and Early Intervention	84.324	R324B200021		148,564
Subtotal for AL No. 84.324				<u>400,085</u>
Leadership Training in Nondiscriminatory Special Education Policy and Practice	84.325	H325D150085		117,391
University of Kansas Project to Develop Responsive, Innovative, and Visionary Educators (KU-DRIVE), Type A	84.325	H325D150084-19		141,934
ALL-Together In Early Education (ALL-TIEE): Early Childhood Unified Masters Project	84.325	H325K160075		125,096
KU LEAP: Preparing Leaders to Create Ambitious Educational Programs for Students with Severe Disabilities: Beyond De Minimis	84.325	H325D180015-19		209,470
Preparing Leaders to Advocate for Inclusion in Early Childhood Education (KU-PLAI-ECE)	84.325	H325D180080		344,108
Project INSTRUCT (Inclusive Interdisciplinary Supports and Training for positive, Rigorous Education and Communication Outcomes)	84.325	H325K200046		136,822
Project for Interprofessional Preparation-Early Childhood Intervention (PIP-ECI)	84.325	H32K200061		261,086
Subtotal for AL No. 84.325				<u>1,335,907</u>
University of Kansas Highland Park High School Cluster GEAR UP Program	84.334	P334A140114		147,082
The University of Kansas KCKPS Gear Up Program	84.334	P334A170025-21		2,854,775
Subtotal for AL No. 84.334				<u>3,001,857</u>

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education (Continued)				
<u>Direct</u>				
The University of Kansas Child Care Access Means Parents in School Program (KU-CCAMPIS)	84.335	P335A180137		\$ 230,704
PEAK: Partners in Education Across Kansas	84.351	S351A210022		105,112
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	T365Z170233		490,360
Project SEMILLA (Supporting Educators, Math Instructors, and Language Learners for Advancement)	84.365	T365Z210171		143,509
Subtotal for AL No. 84.365				633,869
DC DLM - Additional Services	84.000	PO598260		678
DC DLM - Additional Service 2019-2020	84.000	PO612002		109
				13,040
District of Columbia Test Administration and Educator Training for the Science DLM AA	84.000	PO649348		
Subtotal for AL No. 84.000				13,827
Subtotal: Department of Education- Direct				7,630,931
<u>Passthrough- IDAHO STATE DEPARTMENT OF EDUCATION</u>				
Instructional Supports Project	84.027	21-5038		45,101
<u>Passthrough- KANSAS DEPARTMENT OF EDUCATION</u>				
Support to KSDE's Literacy Network of Kansas (LINK)	84.371	652-18-1942	Support to KSDE's Literacy Network of Kansas (LINK)	12,391
COVID-19: Sunflower Summer Program	84.425U	652-21-2135		63,933
<u>Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT</u>				
Kansas Inservice Training System (KITS)- Infant and Toddler Expansion	84.181	KITS SY2021 Lindeman		307,083
Tiny K - Infant Toddler Assistive Technology Services	84.181	TO21048	H181A200032	9,076
Kansas Inservice Training System (KITS)	84.181	TO21047	H181A200032	209,817
<u>Passthrough- MISSOURI DEPARTMENT OF ELEMENTARY & SECONDARY</u>				
Missouri Post-Secondary Success Project	84.027			62
Missouri Post-Secondary Success Project/ Social-Emotional Learning for All	84.027		Special Education Grant	16,652
Missouri Post-Secondary Success Project/ Social-Emotional Learning for All	84.027	24953		277,756
<u>Passthrough- OFFICE OF THE STATE SUPERINTENDENT OF EDUCATION</u>				
District of Columbia Statewide Inclusive Professional Learning Framework and Institute Proposal	84.323	24929	H323A200009	148,993
<u>Passthrough- STANFORD UNIVERSITY</u>				
Leadership in Research and Teacher Preparation for System-wide Inclusive Education	84.325	62307368-154936	H325D190042	115,627

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education (Continued)				
<u>Passthrough- UNIVERSITY OF NORTH CAROLINA CHARLOTTE</u>				
National Technical Assistance Center on Transition for Students and Youth with Disabilities	84.326	20210128-05- UKS	H326E200003	\$ 240,826
<u>Passthrough- UNIVERSITY OF OREGON</u>				
Technical Assistance Center on Positive Behavioral Intervention and Supports V	84.326	282070J	H326S180001	163,327
<u>Passthrough- USD 500, KANSAS CITY</u>				
Environmental Scan of KCK Public Schools	84.425	25747	S425D210002	64,942
<u>Passthrough- WICHITA STATE UNIVERSITY</u>				
GEAR UP, South Wichita Project	84.334	R51394		(883)
Evaluation of the Wichita North GEAR UP Program 2020-21	84.334	21-01414		13,876
GEAR UP, South Wichita Project 2020-21	84.334	21-01416	P334A140178	13,876
WSU WEST WICHITA GEAR UP 2020-21	84.334	21-00978	P334A170139	38,984
WSU Southeast Wichita GEAR UP Project Evaluation 2020-21	84.334	21-01044	P334A170119	13,515
WSU Southeast Wichita GEAR UP Project Evaluation	84.334	22-00374- SEWGU		26,007
Subtotal: Department of Education- Passthrough				<u>1,780,961</u>
Total: Department of Education				<u>9,411,892</u>
Other Programs (Continued)				
Department of Homeland Security				
<u>Direct</u>				
State Fire Training Systems Grant - 2020	97.043	EMW-2020-GR- 00236-S01		6,950
State Fire Training Systems Grant FY22	97.043	EMW-2021-GR- 00188-S01		548
Subtotal: Department of Homeland Security- Direct				<u>7,498</u>
<u>Passthrough- KANSAS DEPARTMENT OF AGRICULTURE</u>				
Kansas Base Flood Elevation Portal	97.045			27,574
Subtotal: Department of Homeland Security- Passthrough				<u>27,574</u>
Total: Department of Homeland Security				<u>35,072</u>
Total Other Programs				15,289,467
TOTAL EXPENDITURES OF FEDERAL AWARDS				\$ 123,153,185

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

Of the federal expenditures presented in this schedule, the Center provided federal awards to subrecipients as follows:

Program	Assistance Listing Number	Amount Provided
Research & Development Cluster	Various	\$ 12,712,180
University of Kansas IC Center for Academic Excellence (KU-ICCAE)	12.598	8,481
Study of the U. S. Institutes for Student Leaders on Womens Leadership	19.009	251,472
Natural History Mystery: Immersing families in a problem-solving game using museum collections	45.301	4,341
NRT-HDR: The Internet of Catalysis - Harnessing Data Science for Catalyst Design	47.076	26,264
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	5,944
Tiny K - Infant Toddler Assistive Technology Services	84.181	6,620
District of Columbia Statewide Inclusive Professional Learning Framework and Institute Proposal	84.323	68,579
The University of Kansas Child Care Access Means Parents in School Program (KU-CCAMPIS)	84.335	177,741
Project SEMILLA (Supporting Educators, Math Instructors, and Language Learners for Advancement)	84.365	1,024
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	89,915
Kansas Serves Native American Families - KSNAF	93.087	206,923
Kansas Program to Improve the Health of People with Mobility Limitations and Intellectual Disabilities	93.184	11,963
Kansas State Grant for Assistive Technology	93.464	93,140
Kansas State Plan for Assistive Technology	93.464	90,478
Coming Together and Moving Forward: Supporting Integrated, Community-Based Transition in Kansas	93.632	10,988
Kansas Self-Determined Transition Taskforce: Moving Forward To Enhance Transition Outcomes	93.632	21,935
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	119,134
Kansas Strong for Children and Families (Kansas Strong)	93.652	95,659
Assistive Technology for Kansans	93.778	55,080
Equipment Exchange: Increasing Access to Durable Medical Equipment (DME)	93.778	59,267
Medicaid Equipment Exchange	93.778	125,946
Assisting Medicaid Beneficiaries in Accessing Assistive Technology (ATK)	93.779	27,923
KU Post Baccalaureate Research Education Program (PREP)	93.859	27,186
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	22,378
Maternal, Infant and Early Childhood Home Visiting, The Institute Learning Management System	93.870	173,011
Total		\$ 14,493,572

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

NOTE 1 - ORGANIZATION

The University of Kansas Center for Research, Inc. (the Center) is the recipient of several federal grants. The accompanying schedule of expenditures of federal awards presents the activity of all federal awards programs of the Center for the year ended June 30, 2022. All federal awards received directly from federal agencies, as well as federal awards passed through other government agencies, are included on the schedule.

NOTE 2 - BASIS OF PRESENTATION

Expenditures reported on the Schedule are reported on the cash basis of accounting. Such expenditures are recognized following, as applicable, either the cost principles in OMB Circular A-122, Cost Principles for Non-Profit Organizations or the cost principles contained in Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years. The Center has elected not to use the 10-percent de minimis indirect cost rate as allowed under the Uniform Guidance.

NOTE 3 - COST SHARE

Local cost sharing, as defined by the Uniform Guidance is required by certain federal grants. The amount of cost sharing varies with each program. Only the federal share of expenditures is presented in the Schedule of Expenditures of Federal Awards.

NOTE 4 - ADDITIONAL AUDITS

Grantor agencies reserve the right to conduct additional audits of the Center's grant programs for economy and efficiency and program results which may result in disallowed costs to the Center. However, management does not believe such audits would result in any disallowed costs that would be material to the Center's financial position at June 30, 2022.

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER

<u>Department</u>	<u>AL Number</u>	<u>Amount</u>
U.S. Department of Agriculture	10.025	\$ 23,060
	10.310	489,379
	10.331	14,305
	10.580	184,503
	10.699	4,989
	10.902	116,326
		<u>832,562</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

<u>Department</u>	<u>AL Number</u>	<u>Amount</u>
U.S. Department of Commerce	11.303	\$ 141,957
	11.307	134,389
	11.431	4,026
	11.432	78,229
	11.459	57,688
	11.462	5,612
	11.609	101,145
	11.618	(6,877)
		<u>516,169</u>
U.S. Department of Defense	12.000	3,068,700
	12.006	73,688
	12.300	264,613
	12.357	1,170,248
	12.420	788,014
	12.431	985
	12.598	256,350
	12.630	68,846
	12.800	541,368
	12.903	99,770
	<u>6,332,582</u>	
U.S. Department of Education	84.015	314,857
	84.027	115,413
	84.116	5,049,881
	84.000	13,827
	84.015	1,396,999
	84.022	5,815
	84.027	339,570
	84.042	586,584
	84.044	541,626
	84.047	1,378,978
	84.066	597,385
	84.149	3,850
	84.181	525,975
	84.217	330,879
	84.229	193,864
	84.305	630,939
	84.323	279,371
84.324	5,913,362	
84.325	1,716,366	
84.326	954,069	

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

<u>Department</u>	<u>AL Number</u>	<u>Amount</u>
U.S. Department of Education (Continued)	84.327	\$, 1,998,572
	84.334	3,302,054
	84.335	230,704
	84.351	105,113
	84.356	162,277
	84.365	633,869
	84.368	490,892
	84.371	173,821
	84.407	2,824
	84.411	1,111,154
	84.425	128,875
		<u>29,229,765</u>
U.S. Department of Energy	81.000	899,166
	81.049	2,175,526
	81.086	88,812
	81.087	278,500
	81.089	1,111,582
	81.135	19,483
		<u>4,573,069</u>
U.S. Department of Health and Human Services	93.000	1,222,383
	93.048	46,921
	93.070	26,727
	93.077	10,998
	93.086	183,022
	93.087	598,629
	93.088	84,868
	93.103	16,789
	93.110	653,115
	93.113	174,898
	93.121	336,968
	93.136	310,878
	93.172	1,993
	93.173	1,407,351
	93.184	178,883
	93.224	44,850
93.226	341,749	
93.242	1,018,130	
93.243	268,298	
93.268	14,605	

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

<u>Department</u>	<u>ALN Number</u>	<u>Amount</u>
U.S. Department of Health and Human Services (Continued)	93.273	\$ 633,817
	93.279	247,230
	93.286	624,895
	93.310	242,101
	93.323	46,532
	93.325	11,604
	93.350	270,537
	93.351	80,376
	93.361	41,209
	93.387	18,442
	93.393	16,722
	93.394	763,157
	93.395	180,147
	93.397	178,520
	93.433	940,758
	93.434	3,683,851
	93.464	421,897
	93.505	(118)
	93.556	177,350
	93.575	987,704
	93.59	39,379
	93.590	278,643
	93.600	118,230
	93.631	270,439
	93.632	793,255
	93.648	158,852
	93.652	1,527,471
	93.654	635
	93.658	727,333
	93.670	202,116
	93.732	631,884
	93.762	36,580
	93.778	406,625
	93.779	27,923
	93.788	5,130
	93.829	147,838
93.837	3,173	
93.838	26,769	
93.846	8,883	
93.847	824,724	
93.853	1,769,063	
93.855	3,147,418	
93.859	9,643,460	
93.865	2,160,329	
93.866	4,225,338	
93.867	295,369	

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

<u>Department</u>	<u>AL Number</u>	<u>Amount</u>
U.S. Department of Health and Human Services (Continued)	93.870	\$ 1,250,617
	93.877	236,598
	93.910	175,544
	93.994	397,714
		<u>46,046,118</u>
U.S. Department of Justice	16.000	55,335
	16.540	203,745
	16.560	26,614
	16.710	24,672
	16.839	293,955
		<u>604,321</u>
U.S. Department of Transportation	20.000	32,330
	20.106	75,748
	20.109	476,393
	20.200	156,379
	20.205	284,439
	20.215	655,374
	20.509	218,101
	20.600	83,216
	20.616	46,034
	20.701	189,940
	20.703	13,620
		<u>2,231,574</u>
U.S. Department of the Interior	15.000	5,471
	15.159	4
	15.512	24,440
	15.514	7,416
	15.611	148,111
	15.634	20,820
	15.654	11,592
	15.805	49,098
	15.807	38,624
	15.808	6,373
	15.810	566,859
	15.814	100,317
	15.815	26,029
	15.904	13,081
	15.980	19,763
		<u>1,037,998</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

U.S. Department of the Treasury	21.009	\$ 32,530
	21.019	233,969
	21.027	503,419
		<u>769,918</u>
Institute of Museum and Library Services	45.024	90,571
	45.129	10,233
	45.130	1,185,354
	45.149	149,580
	45.160	140,117
	45.163	165,627
	45.164	53,783
	45.169	151,386
	45.301	147,143
	45.312	32,266
		<u>2,126,060</u>
National Aeronautics and Space Administration	43.000	507,360
	43.001	1,797,527
	43.008	525,760
	43.012	54,067
		<u>2,884,714</u>
National Science Foundation	47.000	314,526
	47.041	2,760,911
	47.049	2,821,728
	47.050	20,411
	47.050	2,038,044
	47.070	12,067
	47.070	1,589,604
	47.074	4,801,127
	47.075	718,697
	47.076	1,910,291
	47.078	501,930
	47.083	7,425,110
		<u>24,914,446</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2022

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER (Continued)

<u>Department</u>	<u>AL Number</u>	<u>Amount</u>
Veterans Administration	64.000	\$ <u>25,847</u>
Department of State	19.000	6,838
	19.009	547,444
	19.010	276,972
		<u>831,254</u>
Federal Communications Commission	32.000	<u>131,886</u>
Small Business Administration	59.037	<u>29,830</u>
U.S. Department of Homeland Security	97.043	7,498
	97.045	27,574
		<u>35,072</u>
TOTAL		\$ <u>123,153,185</u>



Crowe LLP
Independent Member Crowe Global

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND
ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

To the Board of Trustees
University of Kansas Center for Research, Inc.
Lawrence, Kansas

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the University of Kansas Center for Research, Inc. (the Center), a component unit of the University of Kansas, which comprise the statement of financial position as of June 30, 2022, and the related statements of activities, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated September 30, 2022.

Report on Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Center's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Center's internal control. Accordingly, we do not express an opinion on the effectiveness of the Center's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the Center's financial statements will not be prevented or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

(Continued)

Report on Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Center's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Crowe LLP

Indianapolis, Indiana
October 4, 2022



Crowe LLP
Independent Member Crowe Global

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE
FOR EACH MAJOR FEDERAL PROGRAM;
REPORT ON INTERNAL CONTROL OVER COMPLIANCE

To the Board of Trustees
University of Kansas Center for Research, Inc.
Lawrence, Kansas

Report on Compliance for Each Major Federal Program

Opinion on Each Major Federal Program

We have audited compliance with the types of compliance requirements identified as subject to audit in the OMB Compliance Supplement that could have a direct and material effect on each of University of Kansas Center for Research, Inc.'s (the Center), a component unit of the University of Kansas, major federal programs for the year ended June 30, 2022. The Center's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

In our opinion, the Center complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2022.

Basis for Opinion on Each Major Federal Program

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America (GAAS); the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States (*Government Auditing Standards*); and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Our responsibilities under those standards and the Uniform Guidance are further described in the Auditor's Responsibilities for the Audit of Compliance section of our report.

We are required to be independent of the Center and to meet our other ethical responsibilities, in accordance with relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on compliance for each major federal program. Our audit does not provide a legal determination of the Center's compliance with the compliance requirements referred to above.

Responsibilities of Management for Compliance

Management is responsible for compliance with the requirements referred to above and for the design, implementation, and maintenance of effective internal control over compliance with the requirements of laws, statutes, regulations, rules and provisions of contracts or grant agreements applicable to the Center's federal programs.

(Continued)

Auditor's Responsibilities for the Audit of Compliance

Our objectives are to obtain reasonable assurance about whether material noncompliance with the compliance requirements referred to above occurred, whether due to fraud or error, and express an opinion on the Center's compliance based on our audit. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance will always detect material noncompliance when it exists. The risk of not detecting material noncompliance resulting from fraud is higher than for that resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Noncompliance with the compliance requirements referred to above is considered material, if there is a substantial likelihood that, individually or in the aggregate, it would influence the judgment made by a reasonable user of the report on compliance about the Center's compliance with the requirements of each major federal program as a whole.

In performing an audit in accordance with GAAS, *Government Auditing Standards*, and the Uniform Guidance, we

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material noncompliance, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the Center's compliance with the compliance requirements referred to above and performing such other procedures as we considered necessary in the circumstances.
- Obtain an understanding of the Center's internal control over compliance relevant to the audit in order to design audit procedures that are appropriate in the circumstances and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of the Center's internal control over compliance. Accordingly, no such opinion is expressed.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and any significant deficiencies and material weaknesses in internal control over compliance that we identified during the audit.

Report on Internal Control Over Compliance

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the Auditor's Responsibilities for the Audit of Compliance section above and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies in internal control over compliance. Given these limitations, during our audit we did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, material weaknesses or significant deficiencies in internal control over compliance may exist that were not identified.

(Continued)

Our audit was not designed for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.



Crowe LLP

Indianapolis, Indiana
October 4, 2022

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 SCHEDULE OF FINDINGS AND QUESTIONED COSTS
 For the year ended June 30, 2022

Financial Statements

Type of auditor's report issued: Unmodified

Internal control over financial reporting:

Material weakness(es) identified? _____ Yes X No

Significant deficiencies identified not considered to be material weaknesses? _____ Yes X None Reported

Noncompliance material to financial statements noted? _____ Yes X No

Federal Awards

Internal Control over major programs:

Material weakness(es) identified? _____ Yes X No

Significant deficiencies identified not considered to be material weaknesses? _____ Yes X None Reported

Type of auditor's report issued on compliance for major programs: Unmodified

Any audit findings disclosed that are required to be reported in accordance with 2CFR 200.516(a)? _____ Yes X No

Identification of major programs:

<u>AL Number(s)</u>	<u>Name of Federal Program or Cluster</u>
Various	Research and Development Cluster
84.042/84.044/84.047/ 84.066/84.217	TRIO Cluster
84.334	Gear Up

Dollar threshold used to distinguish between Type A and Type B programs: \$3,000,000

Auditee qualified as low-risk auditee? X Yes _____ No

SECTION 2 – FINANCIAL STATEMENT FINDINGS

None

SECTION 3 – FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None

Board of Directors

Start Date	End date	RANK	Last Name	First Name	Title	Affiliation
July 1, 2019		trustee / officer	Atkinson	Simon	Vice Chancellor for Research/ KUCR President and Vice Chair	KU Center for Research, President
Feb. 24, 2020		trustee	Bichelmeyer	Barbara	Provost & Executive Vice Chancellor	KU - Provost's Office
Jul. 1, 2017		trustee/ officer	Girod	Doug	Chancellor/Chair of the Board	KU - Chancellor's Office
Mar. 16, 2014		officer (Sec/Tres)	Cregg	Gina	Executive Director, Fisc.Affairs	KU Center for Research, CFO
Mar.14, 2021		trustee	DeWitt	Jeffrey	CFO/Secretary-Treasurer of the Board	KU - Chancellor's Office
Jan. 5, 2021		trustee	Hornberger	Jason	VP of Finance	KU - Provost's Office

According to bylaws:

Section 1: The number of trustees of this corporation shall be five (5). They shall be the five persons holding each of the following positions at the University of Kansas: Chancellor, Vice Chancellor for Research (Lawrence campus), University Chief Financial Officer, Provost (Lawrence campus), and Vice Provost for Finance (Lawrence campus).

Section 2: The term of office of each trustee shall be co-existent with the holding of the designated position at the University of Kansas. A trustee may, however, be removed from office of this corporation by a majority vote of the Board of Trustees. Should one of the designated positions listed in Section 1 be vacant, the Trustees by majority vote may appoint a Trustee to serve until such time as the vacant position shall be filled.

JARED BARTON, PHD, MSW

Assistant Research Professor

Co-Director, Center for Research to Transform Systems for Family, Community, & Social Justice
Director, Results Oriented Management (ROM)
University of Kansas, School of Social Welfare

EDUCATION

Ph.D., Social Welfare, with Honors, August 2019

University of Kansas, Lawrence, KS

Dissertation/Thesis: "Development and Initial Validation of a Measure for Organizational Readiness for Data-Driven Decision-Making"

Master of Social Work, Administration and Advocacy Practice Concentration, May 2008

University of Kansas, Lawrence, KS

Bachelor of Social Work, August 2007

University of Kansas, Lawrence, KS

PROFESSIONAL EXPERIENCE

Assistant Research Professor, School of Social Welfare, University of Kansas, February 2020 – Present

- Conceptualize and design research programs to improve systems for child and family wellbeing.
- Direct and oversee the implementation of Results Oriented Management (ROM) Reporting project as Principal Investigator in the School of Social Welfare.
- Oversee functional and business relationships with leaders, data analysts, and program administrators in 12 state and local child welfare agencies.

Assistant Director, Center for Public Partnerships and Research, Achievement and Assessment Institute, University of Kansas, 2010 – 2020

- Lead business analysis and conceptual development of Data Application and Integration Solution for the Early Years (DAISEY). DAISEY is a web-based shared measurement system housed on a secure, HIPAA-compliant server at the University of Kansas. DAISEY is highly flexible, customizable, and a secure individual-level data system designed especially to handle large-scale evaluations and collective impact analysis.
- Oversee a functional business team of business analysts and implementation specialists supporting implementation of DAISEY across four states.
- Interfaced with partner organizations to plan specs and develop data collection plans and business intelligence reports using Tableau Professional and Tableau Server.

Data Analytics Specialist/Consultant, 2009 – 2016, East Central Kansas Economic Opportunity Corporation (ECKAN), Ottawa, KS

- Led data analysis and evaluation of a community-based non-profit's anti-poverty programs.
- Ensured organization's accountability, compliance, and continuous quality improvement to state and federal funders.
- Developed ad hoc reports to demonstrate organization's ongoing progress on outcomes and community impact.

Case Manager, 2008, Wyandot Center for Community Behavioral Health Care, Kansas City, KS

- Provided community-based mental and behavioral supports to families with children experiencing serious emotional disturbance.

Student Research Assistant, Office of Child Welfare and Children's Mental Health, School of Social Welfare, 2006 - 2008

- Developed a measure of client satisfaction for families of children experiencing serious emotional disturbance.
- Conducted survey of clients and families receiving services from Kansas community mental health centers.
- Analyzed survey data and compiled aggregated and individual research reports regarding client satisfaction with services from Kansas community mental health centers.

RESEARCH/SCHOLARSHIP

A. Research Publications

Published

Reviewed/Refereed

Journal Articles

1. Byers, K., Barton, J., Grube, W., Wesley, J., Akin, B., Hermesch, E., Felzke, E., Roosevelt, R. (2023). "I ran to make a point": Predicting and preventing youth absences from foster care. *Child and Adolescent Social Work*.
2. Barton, J., & Akin, B. (2022). Implementation Drivers as Practical Measures of Data-Driven Decision-Making for Early Childhood Programs: An Initial Validation Study. *Global Implementation Research and Applications*.
3. Barton, J., Naemi, P., Biggs, J., Garstka, T. A., & Ball, T. C. (2020). Strengthening family retention and relationships in home visiting programs through early screening and assessment practices. *Children and Youth Services Review, 118*.
4. Barton, J. (2016). Federal investments in evidence-based early childhood home visiting: A multiple streams analysis. *Poverty and Public Policy, 8*, 248-262. doi:10.1002/pop4.142
5. Barton, J. (2007). Affordable housing crisis: The impact of housing cost burdens. *The Community Psychologist, 40*(3), 30-31.

Works in Submission

Barton, J., Naemi Jimenez, P., Byers, K., Carr, K., & Akin, B. (under review). Initial implementation of a community-based fatherhood program: Perspectives from the field. *Evaluation and Program Planning*.

Kiani, S., Luo, B., Barton, J., Sushinsky, J., & Heimbach, L. (under review). Counterfactual prediction under selective confounding. *European Conference on Artificial Intelligence 2023*.

Works in Preparation

- Byers, K., Cizek, M., **Barton, J.**, Grube, W., Akin, B., Nasrazadani, A., & Erwin, K. (in preparation). Universal Prevention for Strong and Thriving Families: A Multi-Generational Community-Based Approach to Moving Child Welfare Systems Toward Child and Family Well-Being.
- Garstka, T.A., Sprague-Jones, J., Bash, K., **Barton, J.**, Zhao, Hu., & Dhaliwal. (in preparation). Early childhood services significantly protect against removals into foster care. *Journal of Public Child Welfare*.
- Youngren, L., Cornwell, P., Mendenhall, A., Pfannenstiel, A., Schuetz, N., Bennet, B., **Barton, J.**, Rathbun, C., & Akin, B. (in preparation). Measure what matters: Unlocking positive change with measurement-based care. *Families in Society*.
- Garstka, T., **Barton, J.**, Harms, R., Zhao, H., & Severin, L. (in preparation). Active implementation stages to support cross-sector referral networks for families in need: A social network analysis. *Implementation Research and Applications*.

Non-Peer Reviewed (Technical and Other Reports, Research Briefs, and Tools)

1. **Barton, J.**, Byers, K., Grube, W., Nasrazadani, A., & Erwin, K. (2023). *Family Strong Well-Being Matrix for Social Determinants of Health*. Lawrence, KS: Center for Research to Transform Systems for Family, Community, and Social Justice; School of Social Welfare, University of Kansas. [WEBLINK TO FAMILY STRONG SITE](#).
2. **Barton, J.**, Jimenez, P.N., Biggs, J., Garstka, T.A., Lewis, M., & Ball, T.C. (2023). *Asking the Right Questions: Screening as a Tool for Family Engagement in Early Home Visiting*. Lawrence, KS: Center for Research to Transform Systems for Families, Communities & Social Justice; Center for Community Engagement & Collaboration; School of Social Welfare, University of Kansas.
3. Byers, K., **Barton, J.**, Grube, W., Wesley, J., Akin, B.A., Hermes, E., Felzke, E., & Lewis, M. (2023). *"I had everything I needed except a decent home": Predicting and Preventing Youth Absences from Foster Care*. University of Kansas School of Social Welfare. Lawrence, KS.
4. **Barton, J.**, Nasrazadani, A., Byers, K., & Naemi-Jimenez, P. (2022, October). *Fatherhood FIRE Impact Evaluation: Year 1 Evaluation data overview*. Lawrence, KS: University of Kansas School of Social Welfare.
5. **Barton, J.**, Holmes, C., Byers, K., & Nasrazadani, A. (2022, October). *Children's Trust Fund FY2023 Continuous Quality Improvement Report: Child Sexual Abuse Prevention Program*. Lawrence, KS: University of Kansas School of Social Welfare.
6. **Barton, J.**, & Lewis, M. (2022, August). *Children's Trust Fund capacity building initiative: Evaluation report*. Lawrence, KS: University of Kansas School of Social Welfare.
7. Byers, K., Cizek, M., **Barton, J.**, Grube, W., Akin, B., Erwin, K.S., & Nasrazadani, A. (2022,

- August). *Family Strong universal primary prevention implementation and evaluation plan*. Lawrence, KS: University of Kansas, School of Social Welfare.
8. Byers, K., **Barton, J.**, Grube, W., Wesley, J., & Akin, B. (2022, May). *Youth absences from care: Final report of study findings*. Lawrence, KS: University of Kansas, School of Social Welfare.
 9. **Barton, J.**, & Lewis, M. (2021, January). 2020 Interim Findings for the Missouri Children's Trust Fund Capacity Building Initiative. *Evaluation Report*. Lawrence, KS: University of Kansas, School of Social Welfare.
 10. Garstka, T., **Barton, J.**, Harms, J., Palermo, M., & Hernandez, S. (2019). *Moving to What Matters: Cornerstones of Care Impact Plan*. Kansas City, MO: Prepared in partnership between the University of Kansas Center for Public Partnerships and Research and Cornerstones of Care for the Kauffman Foundation.
 11. **Barton, J.**, & Biggs, J. (2016). 2015 Community Needs Assessment. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
 12. **Barton, J.** (2012). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
 13. **Barton, J.**, & Ward, C. (2011). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
 14. **Barton, J.**, & Ward, C. (2010). ECKAN Community Needs Assessment Report. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
 15. O'Brien, M., Byrnes, K., Corrigan, S., **Barton, J.**, & Frehe, V. (2008). *Kansas Consumer Satisfaction Survey Children's Mental Health: Statewide Report*. Lawrence, KS: The University of Kansas School of Social Welfare and Children's Mental Health.
<http://www.socwel.ku.edu/occ/projects/articles/KS%20Consumer%20Sat.%20Round%2011.pdf>
 16. Beverly, S. G., & **Barton, J.** (2006). Barriers to asset accumulation for families in the SEED pre-school demonstration and impact assessment. *Seed Research Report Impact Assessment*. Lawrence, KS: University of Kansas School of Social Welfare.

B. Scholarly Presentations

National/International

1. Grube, W., Nasrazadani, A., **Barton, J.**, Cizek, M., Byers, K., Akin, B.A., & Flinders, J. (2023, September). *Family Strong: Leveraging Community Voice for Realizing Systems Change in Child Welfare*. The International Society for the Prevention of Child Abuse & Neglect. Edinburgh, Scotland.
2. Byers, K., Vanchy Kadavasal, P., Brown, A.R., **Barton, J.**, & Akin, B.A. (2023, June 2). *Achieving child and family well-being through primary prevention: Family First Prevention Services Impact Findings*. In J. McCrae & E. Monahan (Chair), *The Promise of Prevention*

through the Family First Prevention Services Act: Using Data from Identification to Impact, Examples from Three States [Symposium]. Society for Prevention Research 31st Annual Meeting. Washington, D.C.

3. Byers, K., Cizek, M., & **Barton, J.** (2023, May 24). *Universal Prevention for Strong and Thriving Families*. Presentation for the Family Support through Primary Prevention Grantee Meeting, Administration for Children and Families, Children's Bureau. (National, Invited)
4. Grube, W., **Barton, J.**, Nasrazadani, A., Cizek, M., Flinders, J., Sloan, S., Byers, K., Akin, B., & Erwin, K. (2023, May 24). *Connecting with Communities with the Prevention Framework: Universal Prevention for Strong & Thriving Families*. Paper presentation for the Family Supports for Prevention Grantee Meeting, Administration for Children and Families, Children's Bureau. (National, Invited)
5. **Barton, J.**, Byers, K., Naemi-Jimenez, P., Carr, K., Akin, B. A. (2023, January 12). *Initial Implementation of a Community-Based Fatherhood Program: Perspectives from the Field*. 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).
6. Byers, K., **Barton, J.**, Brown, A., Alford, D., Vanchy Kadavasal, P., Diaz, A., Akin, B. A. (2023, January 14). *Roundtable: Integrating Family First: Early Implementation, Outcomes, and Lessons Learned from Moving Child Welfare Upstream*. 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).
7. Grube, W., Wesley, J., Byers, K., **Barton, J.**, Akin, B. A. (2023, January 15). *"I Had Most of the Stuff I Needed Except a Decent Foster Home": Predictors of Youth Absences from Foster Care*. 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).
8. **Barton, J.**, Byers, K., & Akin, B. (2022, November 12). *Conditions for change in child welfare: How collective impact frameworks inform Family First implementation*. Counsel for Social Work Education Annual Program Meeting, Anaheim, CA (National/Accepted).
9. **Barton, J.**, Byers, K., Akin, B., Hermes, E., & Felzke, E. (2022, October 4). *"I ran to make a point and they didn't listen": Youth absences from care*. Kempe Center International Virtual Conference: A Call to Action to Change Child Welfare. (International/Accepted; virtual conference).
10. **Barton, J.**, Byers, K., Akin, B., & Alford, D. (2022, January 15). *Key conditions for change in child welfare: Applying a collective impact framework to inform Family First Prevention Services implementations*. Society for Social Work Research Conference, Washington, D.C. (National/Accepted; Presentation canceled due to COVID-19)
11. Wells, R., Bauer, A., **Barton, J.**, & Epp, P. (2021, Dec. 1). *Modernizing child welfare information systems: Discover the power of a modern information system*. Presentation for Advanced CareDirector Live Webinar. (International/Invited)
12. **Barton, J.**, Byers, K., & Bowling, A. (2021, Nov. 12). *Family first prevention services act data elements*. Invited presentation at the Casey Family Program Child Welfare Data Leaders Convening. (National/Invited; virtual conference)

13. **Barton, J.** (2021, July 26). *Machine learning to promote child and family wellbeing: A model for improving foster care placement decisions*. Invited presentation at the July 2021 Quarterly ROM Leadership Council Meeting. (National/Invited; virtual conference)
 14. **Barton, J.** (2021, April 20). COVID-19 pandemic's impact on time to permanency. Invited presentation at the April 2021 Quarterly ROM Leadership Council Meeting. (National/Invited; virtual conference)
 15. **Barton, J., & Kiani, S.** (2021, May 19). *Machine learning to promote child well-being: A model for improving foster care placement decisions*. Good Tech Fest 2021, Virtual Event. (International/Accepted)
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16. **Barton, J., & Akin, B.** (2019, September). *Implementation drivers as practical measures of data-driven decision-making in early childhood programs*. Storyboard presentation at the Global Implementation Conference, Glasgow, Scotland, United Kingdom. (International/Accepted)
 17. Hernandez, S., & **Barton, J.** (2019, February). *Show them the money: How Iowa's home visitor incentive program promotes the workforce*. MIECHV State, Territory, and Tribal All Grantee Meeting, Baltimore, MD. (National/Accepted)
 18. Garstka, T. A., **Barton, J., & Harms, R.** (2017, May). *Building a shared measurement system in early childhood*. The 2017 National Smart Start Conference, Greensboro, NC. (National/Accepted)
 19. **Barton, J.** (2016, June). *The problems, politics, and people of federal investments in evidence-based home visiting*. Influencing Social Policy's Policy Conference 2.0, St. Louis, MO. (National/Accepted)
 20. **Barton, J.** (2015, January). *Predictors and Effect of Service Dosage on Parental Involvement for Mothers enrolled in Home Visiting Programs*. Society for Social Work Research Annual Conference, New Orleans, LA. (National/Accepted)
 21. Garstka, T. A., **Barton, J., & Chang-Rios, K.** (2011). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. American Evaluators Association Conference, Anaheim, CA. (National/Accepted)

State, Regional, or Local

1. Byers, K., & **Barton, J.** (2022, April). *Supporting Families with Youth Children: Early Lessons Learned in Moving Child Welfare Upstream with Family First*. Kansas Association of Infant Mental Health Annual Conference, Newton, KS. (State/Invited Keynote).
2. Byers, K., & **Barton, J.** (2022, March). *Early Lessons Learned in Moving Child Welfare Upstream: Family First Prevention Services in Kansas*. CQI Statewide Conference for Child Welfare and Probation, Davis, CA. (State/Invited Keynote; virtual conference).
3. **Barton, J.,** Byers, K., Brown, A., Alford, D., Vancy, P., Sushinsky, J., & Shaver, C. (2022, March). *How the Kansas Family First Initiative Brings Together Data for CQI*. CQI

- Statewide Conference for Child Welfare and Probation, Davis, CA. (State/Invited; virtual conference).
4. Hernandez, S., & **Barton, J.** (2019, May). *Never fear, data help is near*. Prevent Child Abuse Iowa, Ankeny, IA. (State/Invited).
 5. **Barton, J.** (2018, October). *Maximizing the DAISEY system for program improvement*. Early Learning – Big Results for Little People, The Early Learning Communities Conference, Wichita, KS. (State/Invited).
 6. Garstka, T. A., & **Barton, J.** (2012). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. School of Education Spring Research Retreat at the University of Kansas, Lawrence, KS. (Local/Invited).
 7. Richardson, D., Garstka, T., **Barton, J.**, Spanhake, S., & Smith, P. (2011). *Designing a performance management system: The Kansas and Nebraska experience*. Region VII and Region VII joint meeting for MIECHV, Denver, CO. (Regional/Accepted)
 8. **Barton, J.**, & Looze, J. (2017, April). *Using data to make decisions: It's not as scary as you think*. EC 11 Summit, Topeka, KS. (State/Invited)
 9. Flinders, J., Lickvar, C., **Barton, J.**, Leopold, M., & Naemi, P. (2017, February). *Rethinking space through the rules of engagement: Collaboration at CPPR*. KU Professionals for Inclusion and Social Justice Graduate Research Conference, New Spaces: Opening Up Physical and Social Spaces in the 21st Century, Lawrence, KS. (Local/Accepted)
 10. Sprague-Jones, J., **Barton, J.**, & Biggs, J. (2016, July). *Demystifying cost analysis: Empowering non-profits to use cost analysis to demonstrate impact*. 2016 Kansas Conference on Poverty, Topeka, KS. (State/Accepted)
 11. Richardson, D., **Barton, J.**, Biggs, J., & Garstka, T. (2014, October). *Kansas Maternal, Infant, and Early Childhood Home Visiting Program: Highlights, Innovations, and Findings*. Conference workshop at the 38th Annual Governor's Conference for the Prevention of Child Abuse & Neglect, Wichita, KS. (State/Accepted)
 12. Richardson, D., Garstka, T., Biggs, J., & **Barton, J.** (2013, November). *What is MIECHV? The Maternal, Infant and Early Childhood Home Visiting Program in Kansas*. Conference workshop at the 37th Annual Governor's Conference for the Prevention of Child Abuse & Neglect, Topeka, KS. (State/Accepted)
 13. **Barton, J.** (2011). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. Midwest Research and Evaluation Exchange, Kansas City, MO. (Regional/Accepted)

C. Grants and/or Other Funded Projects

Externally-Funded Grant/Contract

Funded, 2021 Annual Review Year

1. Byers, K. (Principal), Akin, B.A. (Co-Principal), Mendenhall, A. (Co-Principal), Garstka, T. (Co-Principal), Cizek, M., **Barton, J.** (Co-Principal). *Community Resource Centers*. Kansas Department for Children and Families \$500,000, Submitted February 2023 (Awarded June 2023). (Invited Sole Source Contract).
2. Byers, K. (Principal), Akin, B.A. (Co-Principal), Mendenhall, A. (Co-Principal), Garstka, T. (Co-Principal), **Barton, J.** (Co-Principal). *Family First Prevention Services Act – Kansas Evaluation (FFPSA)*. Kansas Department for Children and Families \$849,016, Submitted May 2023 (Awarded July 1, 2023 – June 30, 2024). (Invited Sole Source Contract).
3. **Barton, J.** (Principal). *Results Oriented Management (ROM) for TFI Family Services*. 1002264, TFI Family Services \$130,647, (November 1, 2022 – October 31, 2023). (Sole-source contract)
4. **Barton, J.** (Principal). Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families. Connecticut Department of Children and Families \$101,315 (July 1, 2022 - June 30, 2023). (Sole-source contract)
5. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families*. 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families \$112,895 (July 1, 2022 – June 30, 2023). (Sole-source contract)
6. Naemi Jimenez, P. (Principal), **Barton, J.** (Co-PI), & Byers, K. (Co-PI). *Safe sleep grant program evaluation for the Missouri Children's Trust*. Children's Trust Fund of Missouri, \$248,528, October 1, 2021 – December 31, 2025). (Refereed/Competitive)
7. **Barton, J.** (Principal). *Interactive Reporting System for Child Welfare Administration and Management*. Proposal to the Ohio Department of Job and Family Service, Office of Families and Children. \$491,702, Submitted July 13, 2021 (August 1, 2021 – June 30, 2026). (Refereed/Competitive)
8. Byers, K. (Principal), **Barton, J.** (Co-Principal); Cizek, M. (Co-Principal), & Akin, B. (Co-Principal). *Universal Supports for Strong and Thriving Families (Family Strong)*. Family Support through Primary Prevention demonstration grant with the U.S. Department of Health and Human Services, Administration for Children and Families, Children's Bureau. \$3,750,000, Submitted July 2, 2021 (October 1, 2021 - September 30, 2026). (Refereed/Competitive)
9. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families*. Connecticut Department of Children and Families \$85,000 (July 1, 2021 - June 30, 2022). (Sole-source contract)
10. **Barton, J.** (Principal), & Byers, K. (Co-PI). *Evaluation of the Missouri Children's Trust Fund's child sexual abuse prevention initiative*. Children's Trust Fund of Missouri, \$230,954, Submitted December 23, 2020 (April 1, 2021 - January 31, 2025). (Refereed/Competitive)
11. **Barton, J.** (Principal). *Results Oriented Management (ROM) for the State of Iowa's*

- Department of Human Services. Iowa Department of Human Services \$385,174, Submitted December 23, 2020 (April 1, 2021 - December 31, 2026). (Sole-source contract)*
12. **Barton, J. (Principal).** Results Oriented Management (ROM) reporting system for the Iowa Department of Human Services. STE0074861, Iowa Department of Human Services \$15,954 (January 1, 2021 - March 31, 2021). (Sole-source contract)
 13. **Barton, J. (Principal).** *Results Oriented Management (ROM) reports system for the Oregon Department of Human Services.* STE0067405, Oregon Department of Human Services \$287,650 (January 1, 2021 - December 31, 2023). (Sole-source contract)
 14. **Barton, J. (Principal), Byers, K. (Co-Principal), & Akin, B. (Co-Principal).** *Impact Evaluation of the Saint Francis Community Services' Fatherhood FIRE Initiative (Family-Focused, Interconnected, Resilient, & Essential).* Healthy Marriage and Responsible Fatherhood (HMRF) contract with the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance., U.S. Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance \$867,856, Submitted July 1, 2020 (October 1, 2020 - September 30, 2025). (Refereed/Competitive)
 15. **Barton, J. (Principal).** *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families.* 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families \$216,850, July 1, 2020 (July 1, 2020 - Present). (Sole-source contract)
 16. **Barton, J. (Principal).** *Results Oriented Management (ROM) the State of New Mexico's Child, Youth, and Families Department.* New Mexico's Child, Youth, & Families Department \$621,750 (July 1, 2020 - June 30, 2027). (Sole-source contract)
 17. **Barton, J. (Principal).** Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services. 1001750, Wyoming Department of Family Services \$98,735 (July 1, 2020 - June 30, 2021). (Sole-source contract)
 18. **Barton, J. (Principal).** Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families. Connecticut Department of Children and Families \$84,775 (July 1, 2020 - June 30, 2021). (Sole-source contract)
 19. **Barton, J.* (Principal).** *Results Oriented Management (ROM) reporting system for the Vermont Department for Children and Families.* Vermont Department for Children and Families \$805,975 (October 1, 2015 - September 30, 2023). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
 20. **Barton, J. (Principal).** *Evaluation of the Missouri Children's Trust Capacity Building Project.* Children's Trust Fund of Missouri, Jefferson, City, MO \$35,000, (March 2020 - December 2022). (Refereed/Competitive)
 21. **Barton, J. (Principal).** *Results Oriented Management (ROM) for TFI Family Services.* 1002264, TFI Family Services \$151,350, (October 1, 2020 - September 30, 2022). (Sole-source contract)

22. **Barton, J.** (Principal). *Results Oriented Management (ROM) for the State of Maine's Department of Health and Human Services*. \$161,608 (July 1, 2020 - June 30, 2022). (Sole-source contract)
23. Byers, K. (Principal), **Barton, J.** (Co-Principal), & Akin, B. (Co-Principal). *Examination of Predictors of Youth Absent from Care*. TFI Family Services \$69,930, Submitted March 2020 (September 1, 2020 - August 31, 2021). (Sole-source contract)
24. Mendenhall, A. (Principal), Akin, B. (Co-Principal), & **Barton, J.** (Co-Principal). *Assessment of Client Functioning Across Populations and Programs*. Saint Francis Community Services \$63,820 (July 1, 2020 - June 30, 2021). (Sole-source contract)
25. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services*. 1001750, Wyoming Department of Family Services \$200,645 (July 1, 2021 - June 30, 2023). (Sole-source contract)
26. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for Montana State Department of Public Health and Human Services*. \$132,037.50 (July 1, 2020 - December 31, 2021). (Sole-source contract)
27. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families*. State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families \$277,150 (July 1, 2019 - June 30, 2021). (Sole-source contract)
 Current Status: Funded/Ongoing
 *Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
28. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Ohio Department of Job and Family Services*. 1001238, Ohio Department of Job and Family Services \$215,270 (July 1, 2019 – February 28, 2022). (Sole-source contract)
 Current Status: Funded/Ongoing
 *Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
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29. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *Performance Data Management Services for the Kansas Maternal, Infant, & Early Childhood Home Visiting Program*. Kansas Department of Health & Environment, Topeka, KS \$581,150 (October 2017 - February 2020). (Sole-source contract)
30. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *Kansas Early Head Start Data Reporting System*. Kansas Department of Children and Families, Topeka, KS \$102,767 (June 17, 2017 - February 2020). (Sole-source contract)
31. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *State of Iowa Family Support Program Performance Management Solution and Analytics; DAISEY: Data Application and Integration Solution for the Early Years*. Iowa Department of Public Health, Des Moines, IA \$1,681,683 (October 2015 - February 2020). (Sole-source contract)

32. Garstka, T. A. (Principal), & Barton, J. (Co-Principal). *Early Childhood Block Grant Performance Management System*. Douglas County Success by Six Coalition \$33,380 (2013 - 2014). (Sole-source contract)
33. Lemon, M. (Principal), Counts, J. (Co-Principal), & Barton, J. (Grant-Writer). *Kansas Enrichment Network: Technical Assistance for Kansas 21st Century Community Learning Center Grantees*. Kansas State Department of Education, Topeka, KS \$1,400,000 (July 2019 - June 2024). (Refereed/Competitive)
34. Barton, J.* (Principal). *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families*. 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families \$193,800 (December 1, 2018 – June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
35. Barton, J.* (Principal). *Results Oriented Management (ROM) the State of New Mexico's Child, Youth, and Families Department*. New Mexico's Child, Youth, & Families Department \$316,650 (November 1, 2016 – June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
36. Barton, J.* (Principal). *Results Oriented Management (ROM) reports system for the Oregon Department of Human Services*. STE0067405, Oregon Department of Human Services \$755,420 (January 1, 2011 - December 31, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
37. Barton, J.* (Principal). *Results Oriented Management (ROM) for the State of Maine's Department of Health and Human Services*. \$158,595 (July 1, 2018 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
38. Barton, J.* (Principal). *Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services*. 1001750, Wyoming Department of Family Services \$98,725 (July 1, 2019 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
39. Barton, J.* (Principal). *Results Oriented Management (ROM) reporting system for Montana State Department of Public Health and Human Services*. \$743,780 (July 1, 2013 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

40. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families*. Connecticut Department of Children and Families \$74,575 (July 1, 2019 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
41. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Iowa Department of Human Services*. STE0074861, Iowa Department of Human Services \$340,095 (January 1, 2015 – December 31, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

Submitted, Funding Pending

1. Byers, K. (Principal), **Barton, J.** (Co-Principal), Akin, B. A. (Co-Principal), & Grube, W. (Co-Principal). *Examination of Predictors of Youth Absences from Care – Texas Expansion*. TFI Family Services \$89,000, Submitted January 2023 (in review). (Invited Sole Source Contract).

Submitted, Not Funded

1. **Barton, J.** (Principal), Akin, B., & Byers, K. *Working in Community Toward Holistic Unwavering Support (WITH US): KYAC and RYAC Coordination and Facilitation*. Proposal to the Kansas Department for Children and Families (Event Bid: EVT0008919). \$495,349, Submitted January 26, 2023.
2. Sutley, E., **Barton, J.**, Han, Hye-Sung, Li, J., Husic, A., Davis, B., & Medina, M. (2022, April). *Rising homes: The future of sustainable housing*. Research Rising proposal to the University of Kansas Office of Research. (Refereed/Competitive)

SERVICE

School of Social Welfare

Member

Faculty Search Committee (elected). (May 2023 – Present)

Co-Chair

PRT Ad Hoc Scholarship Committee (volunteered). (September 2021 – May 2022)

Member

DSW Implementation Committee (elected). (April 2021 – May 2023)

Chair

Awards Committee (elected). (June 2020 – July 2023)

Mentor

MSW Research Scholar Program. Serve as faculty mentor for two MSW students receiving scholarships under the MSW Research Scholar Program.

Paige Richardson (October 1, 2020 – July 31, 2021)

Jessica Wesley (October 1, 2020 – December 31, 2021)

PROFESSIONAL SERVICE OUTSIDE THE UNIVERSITY

International

Reviewer, Ad Hoc

Journal of Child and Family Studies, Lawrence, KS, United States (2021)

Reviewer, Ad Hoc

Journal of Health Science and Education, Lawrence, KS, United States (2020)

National

Advisory/Expert Committee

Casey Family Programs Foundation - Child Welfare Data Partner, Seattle, Washington, United States. Participate in a national foundation workgroup providing consultation to child welfare data leaders across state jurisdictions. Contributed to the development of a Policy Brief on the importance of longitudinal data in child welfare. (June 2020 - Present) (Appointed)

Service Presentations

Barton, J. (2021, April 27). *Finding Your Flow: 5 Tips for Successful Transition to the Qualifying Paper and Dissertation*. Invited guest speaker in Dr. Becci Akin's SW 912 doctoral seminar. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

Barton, J. (2021, March 5). *Revisioning Child Welfare Reporting with a Racial Equity Lens to Promote Anti-Racist Practice*. Invited guest speaker for the Research Conversations series. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

Barton, J. (2020, April 28). *Experiences Earning a PhD and Working in Research Organizations*. Invited guest speaker in Dr. Becci Akin's SW 912 doctoral seminar. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

Barton, J. (2019, November 22). *Development and Initial Validation of Measure of Early Childhood Program Data-Driven Decision-Making*. Invited guest speaker in Dr. Neal Kingston's graduate research professional seminar. Lawrence, KS: University of Kansas School of Education. (Invited)

Barton, J. (2019, November 14). *Bringing Life to Survey Development and Validation*. Invited guest speaker in Dr. Jason Matejkowski's undergraduate social work research class. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

Barton, J. (2019, October 21). *The Problems, Politics, and People of Federal Investments in Home Visiting*. Invited to speak in Dr. Juliana Carlson's doctoral policy analysis class. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

CONTRACTOR NAME

Key Personnel

Name	Job Title	Salary	% Paid from this Contract	Amount Paid from this Contract
Jared Barton	Assistant Research Professor	\$100,800	5%	\$10,080

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Lori A. Shbinette
Commissioner

Joseph E. Ribsam, Jr.
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR CHILDREN, YOUTH & FAMILIES

129 PLEASANT STREET, CONCORD, NH 03301-3857
603-271-4451 1-800-852-3345 Ext. 4451
Fax: 603-271-4729 TDD Access: 1-800-735-2964 www.dhhs.nh.gov

June 15, 2021

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division for Children, Youth and Families, to amend an existing contract with University of Kansas Center for Research, Inc. (Vendor #253972), Lawrence, KS, for the use of the Results Oriented Management (ROM) web-based software product for the provision of data development, reporting and annual subscriptions, by exercising a contract renewal option by increasing the price limitation by \$174,975 from \$213,150 to \$388,125 and extending the completion date from June 30, 2021 to June 30, 2023, effective July 1, 2021, upon Governor and Council approval. 82% Federal Funds. 18% General Funds.

The original contract was approved by Governor and Council on February 25, 2015, item #9. It was subsequently amended with Governor and Council approval on November 8, 2017, item #16, and most recently amended with Governor and Council approval on November 25, 2019, item #10.

Funds are anticipated to be available in the following accounts for State Fiscal Years 2022 and 2023, upon the availability and continued appropriation of funds in the future operating budget, with the authority to adjust budget line items within the price limitation and encumbrances between state fiscal years through the Budget Office, if needed and justified.

See attached fiscal details.

EXPLANATION

The purpose of this request is to continue to have access to the ROM web-based management reporting application with accompanying software which is offered to child welfare agencies across the country for data development and reporting. The University of Kansas Center for Research, Inc., is the developer of Results Oriented Management software and the only vendor from which the State of New Hampshire can purchase product access. In order to utilize the web-based application provided by the vendor, subscription fees must be paid annually.

Additionally, the Department, as well as many federal and state partners, are using data to monitor the quality of services and continuously plan for improvements as best practices are identified. There are currently eleven states that belong to this organization. The Kansas University Center for Research (KU) will work collaboratively with the State of New Hampshire Department of Health and Human Services, Division for Children, Youth and Families (referenced as the Agency) to further develop, implement and maintain ROM Reports.

This reporting system provides data on the Agency's child welfare program outcomes, child counts, and other performance indicators. KU provides the use of and maintenance of the

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 2 of 3

ROM application software through regular update releases, and provides support on the use of the reporting system. Software updates are provided on a quarterly basis. Maintenance and support includes:

- Updates – KU continually updates the application and data preparation routines to respond to changes in technology and upgrades the system infrastructure for improving performance;
- Fix problems - KU fixes data preparation routines and calculations found to be in error and problems identified in the ROM Reports application software;
- Support – KU supports the use of the reporting application, including:
 - Technical assistance on the use of the administrative tools in the report system (over phone and webinar sessions);
 - Validation of the Agency's data extract and technical assistance in troubleshooting problems;
 - Advising Agency staff on mapping data to the ROM Base Working Tables and resolving mapping problems;
 - Implement changes in operational definitions in the help facility; and
 - Writing scripts to implement system wide changes to report labels and settings.

As referenced in Part 2, Section 1.3 Contract Terms of the original contract, the parties have the option to extend the agreement for up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and Governor and Council approval. The Department is exercising its option to renew services for two (2) of the five (5) years available.

Should the Governor and the Executive Council not approve this request, the Division would be unable to access the most current Child Welfare strategies for performance management and improved outcomes for the children and families of New Hampshire. Additionally, DCYF would not have access to data regarding its performance on key federal indicators, and data regarding critical program outcomes that are used by management to make informed decisions and continuous quality improvement, as well as support a number of grant requests for state agencies and community partners. Furthermore, without access to this product, the Division for Children, Youth and Families will require additional resources to ensure compliance with all the mandated requirements using a manual system and may incur financial penalties from the Administration for Children & Families.

Area served: Statewide

Source of Funds:

CFDA #93.659, FAIN #2101NHADPT;

CFDA #93.658, FAIN #2101NHFOST;

CFDA #94.558, FAIN #2101NHTANF; and

CFDA #93.778, FAIN #2101NHMedicaid.

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 3 of 3

The Department will request General Funds in the event that Federal Funds are no longer available and services are still needed.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Lori A. Shibinette". The signature is written in a cursive, flowing style.

Lori A. Shibinette
Commissioner

**05-095-42-421010-29600000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS:
HUMAN SERVICES DIV, CHILD PROTECTION; ORG'L LEARNING & QUALITY IMPRVMT (FoR ROM Software
application) 82% Federal, 18% General Funds**

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	067-500557	Contracts for Prog Servs	42106004	\$6,000	\$0	\$6,000
2016	067-500557	Contracts for Prog Servs	42106004	\$12,000	\$0	\$12,000
2017	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2018	067-500557	Contracts for Prog Servs	42106004	\$16,100	\$0	\$16,100
2019	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2020	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2021	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2022	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
2023	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
			Subtotal:	\$94,900	\$32,000	\$126,900

**05-95-42-421010-29560000 Health and Social Services, Health and Human Svcs Dept of, HHS: HUMAN
SERVICES, CHILD PROTECTION, OFFICE OF DIRECTOR – DCYF 35% Federal, 65% General Funds.**

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2016	026-500251	Organizational Dues	42105602	\$0	\$0	\$0
2017	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2018	026-500251	Organizational Dues	42105602	\$0	\$0	\$0

Fiscal Details - Amendment #3

Contract #2014-138

SS-2014-DCYF-02-RESUL-01-A03

2019	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42105602	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42015602	\$57,750	\$0	\$57,750
2021	026-500251	Organizational Dues	42105602	\$60,500	\$0	\$60,500
2022	026-500251	Organizational Dues	42015602	\$0	\$69,900	\$69,900
2023	026-500251	Organizational Dues	42015602	\$0	\$73,075	\$73,075
			Subtotal:	\$118,250	\$142,975	\$261,225

Total	\$213,150	\$174,975	\$388,125
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05-095-42-421010-29600000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES DIV, CHILD PROTECTION, ORG'L LEARNING & QUALITY IMPRVMT (FoR ROM Software application) 82% Federal, 18% General Funds

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	067-500557	Contracts for Prog Servs	42106004	\$6,000	\$0	\$6,000
2016	067-500557	Contracts for Prog Servs	42106004	\$12,000	\$0	\$12,000
2017	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2018	067-500557	Contracts for Prog Servs	42106004	\$16,100	\$0	\$16,100
2019	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2020	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2021	067-500557	Contracts for Prog Servs	42106004	\$16,000	\$0	\$16,000
2022	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
2023	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
			Subtotal:	\$94,900	\$32,000	\$126,900

05-95-42-421010-29560000 Health and Social Services, Health and Human Svcs Dept of, HHS: HUMAN SERVICES, CHILD PROTECTION, OFFICE OF DIRECTOR – DCYF 35% Federal, 65% General Funds.

University of Kansas Center for Research, Inc

Fiscal Details - Amendment #3

Contract #2014-138

SS-2014-DCYF-02-RESUL-01-A03



State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2016	026-500251	Organizational Dues	42105602	\$0	\$0	\$0
2017	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2018	026-500251	Organizational Dues	42105602	\$0	\$0	\$0
2019	026-500251	Organizational Dues	42015602	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42105602	\$0	\$0	\$0
2020	026-500251	Organizational Dues	42015602	\$57,750	\$0	\$57,750
2021	026-500251	Organizational Dues	42105602	\$60,500	\$0	\$60,500
2022	026-500251	Organizational Dues	42015602	\$0	\$69,900	\$69,900
2023	026-500251	Organizational Dues	42015602	\$0	\$73,075	\$73,075
			Subtotal:	\$118,250	\$142,975	\$261,225

Total	\$213,150	\$174,975	\$388,125
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STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY
27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doit

Denis Goulet
Commissioner

June 1, 2021

Lori A. Shabinette, Commissioner
Department of Health and Human Services
State of New Hampshire
129 Pleasant Street
Concord, NH 03301

Dear Commissioner Shabinette:

This letter represents formal notification that the Department of Information Technology (DoIT) has approved your agency's request to amend a **Sole Source** University of Kansas Center for Research, Inc., of Lawrence, KS as described below and referenced as DoIT No. 2014-138C.

The purpose of this request is to enter into a contract amendment with University of Kansas Center for Research, Inc., for the continued use of the Results Oriented Management (ROM) web-based software product for the provision of data development, reporting and annual subscriptions. The ROM software provides data on the Agency's child welfare program outcomes, child counts, and other performance indicators.

The funding amount for this amendment is \$174,975, increasing the current contract from \$213,150 to \$388,125 and by extending the completion date to June 30, 2023 from the original completion date of June 30, 2021. This amendment shall become effective upon the Governor and Executive Council approval through June 30, 2023.

A copy of this letter should accompany the Department of Health and Human Services' submission to the Governor and Executive Council for approval.

Sincerely,

Denis Goulet

DG/kaf
DoIT #2014-138C
RID: N/A
cc: Michael Williams, IT Manager, DoIT

**State of New Hampshire
Department of Health and Human Services
Amendment #3**

This Amendment to the Results Oriented Management (ROM) contract is by and between the State of New Hampshire, Department of Health and Human Services ("State" or "Department") and University of Kansas Center for Research, Inc., ("the Contractor").

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on February 25, 2015, (Item #9), as amended on November 8, 2017, (Item #16), as amended on November 25, 2019, (item #10) the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

WHEREAS, pursuant to Form P-37; General Provisions, Paragraph 18, the Contract may be amended upon written agreement of the parties and approval from the Governor and Executive Council; and

WHEREAS, the parties agree to extend the term of the agreement, increase the price limitation, or modify the scope of services to support continued delivery of these services; and

NOW THEREFORE, in consideration of the foregoing and the mutual covenants and conditions contained in the Contract and set forth herein, the parties hereto agree to amend as follows:

1. Form P-37 General Provisions, Block 1.7, Completion Date, to read:
June 30, 2023
2. Form P-37, General Provisions, Block 1.8, Price Limitation, to read:
\$388,125
3. Delete Consolidated Exhibits – Part 3, Exhibit B, Amendment #2 Price & Payment Schedule, Section 1. Deliverable Payment Schedule, Sub-section 1.1 Firm Fixed Price, in its entirety and replace with, Consolidated Exhibits – Part 3, Exhibit B – Amendment #3, Price & Payment Schedule, Section 1. Deliverable Payment Schedule, Sub-section 1.1 Firm Fixed Price and Sub-section 1.2 Annual Subscription Fee.
4. Modify Consolidated Exhibits Part 3, Exhibit B, Price & Payment Schedule, Section 2 Invoicing, subsection 2.3 only to read as follows:
2.3 Invoices shall be emailed to DCYFInvoices@dhhs.nh.gov.

All terms and conditions of the Contract and prior amendments not modified by this Amendment remain in full force and effect. This Amendment shall be effective July 1, 2021, subject to Governor and Executive Council approval.

IN WITNESS WHEREOF, the parties have set their hands as of the date written below,

State of New Hampshire
Department of Health and Human Services

6/14/2021

Date

DocuSigned by:

Joseph E. Ribsam, Jr.

Name: Joseph E. Ribsam, Jr.

Title: Director

University of Kansas Center for Research, Inc.

6/1/2021

Date

DocuSigned by:

Alicia Reed

Name: Alicia Reed

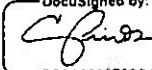
Title: Director, Research Administration/Assistant Vice Chancellor

The preceding Amendment, having been reviewed by this office, is approved as to form, substance, and execution.

OFFICE OF THE ATTORNEY GENERAL

6/14/2021

Date

DocuSigned by:


Name: Catherine Pinos

Title: Attorney

I hereby certify that the foregoing Amendment was approved by the Governor and Executive Council of the State of New Hampshire at the Meeting on: _____ (date of meeting)

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #3
PRICE & PAYMENT SCHEDULE

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price

This is a Firm Fixed Price (FFP) Contract. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:

Month	Year	Pricing/Payment	
January	2015	\$1,000	
February	2015	\$1,000	
March	2015	\$1,000	
April	2015	\$1,000	
May	2015	\$1,000	
June	2015	\$1,000	
		<i>Sub-Total SFY 2015</i>	\$6,000
July	2015	\$1,000	
August	2015	\$1,000	
September	2015	\$1,000	
October	2015	\$1,000	
November	2015	\$1,000	
December	2015	\$1,000	
January	2016	\$1,000	
February	2016	\$1,000	
March	2016	\$1,000	
April	2016	\$1,000	
May	2016	\$1,000	
June	2016	\$1,000	
		<i>Sub-Total SFY 2016</i>	\$12,000

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #3
PRICE & PAYMENT SCHEDULE**

July	2016	\$1,200	
August	2016	\$1,200	
September	2016	\$1,200	
October	2016	\$1,200	
November	2016	\$1,200	
December	2016	\$1,200	
January	2017	\$1,200	
February	2017	\$1,200	
March	2017	\$1,200	
April	2017	\$1,200	
May	2017	\$1,200	
June	2017	\$1,200	
		<i>Sub-total SFY 2017</i>	\$14,400
July	2017	\$1,200	
August	2017	\$1,200	
September	2017	\$1,200	
October	2017	\$1,200	
November	2017	\$1,200	
December	2017	\$2,900	
January	2018	\$1,200	
February	2018	\$1,200	
March	2018	\$1,200	
April	2018	\$1,200	
May	2018	\$1,200	
June	2018	\$1,200	
		<i>Sub-total SFY 2018</i>	\$16,100

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #3
PRICE & PAYMENT SCHEDULE**

July	2018	\$1,200	
August	2018	\$1,200	
September	2018	\$1,200	
October	2018	\$1,200	
November	2018	\$1,200	
December	2018	\$1,200	
January	2019	\$1,200	
February	2019	\$1,200	
March	2019	\$1,200	
April	2019	\$1,200	
May	2019	\$1,200	
June	2019	\$1,200	
		<i>Sub-total SFY 2019</i>	\$14,400
July	2019	\$1,333	
August	2019	\$1,333	
September	2019	\$1,333	
October	2019	\$1,333	
November	2019	\$1,333	
December	2019	\$1,333	
January	2020	\$1,333	
February	2020	\$1,333	
March	2020	\$1,333	
April	2020	\$1,333	
May	2020	\$1,333	
June	2020	\$1,337	
		<i>Sub-total SFY 2020</i>	\$16,000

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #3
PRICE & PAYMENT SCHEDULE**

July	2020	\$1,333	
August	2020	\$1,333	
September	2020	\$1,333	
October	2020	\$1,333	
November	2020	\$1,333	
December	2020	\$1,333	
January	2021	\$1,333	
February	2021	\$1,333	
March	2021	\$1,333	
April	2021	\$1,333	
May	2021	\$1,333	
June	2021	\$1,337	
		<i>Sub-total SFY 2021</i>	\$16,000
July	2021	\$1,333	
August	2021	\$1,333	
September	2021	\$1,333	
October	2021	\$1,333	
November	2021	\$1,333	
December	2021	\$1,333	
January	2022	\$1,333	
July	2022	\$1,333	
March	2022	\$1,333	
April	2022	\$1,333	
May	2022	\$1,333	
June	2022	\$1,337	
		<i>Sub-total SFY 2022</i>	\$16,000

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**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #3
PRICE & PAYMENT SCHEDULE**

July	2022	\$1,333	
August	2022	\$1,333	
September	2022	\$1,333	
October	2022	\$1,333	
November	2022	\$1,333	
December	2022	\$1,333	
January	2023	\$1,333	
February	2023	\$1,333	
March	2023	\$1,333	
April	2023	\$1,333	
May	2023	\$1,333	
June	2023	\$1,337	
		<i>Sub-total SFY 2023</i>	\$16,000
		Total	\$126,900

1.2 Annual Subscription Fee

1.2.1. The annual subscription shall ensure continued access to updates and improvements to this subscription based software application. The Contractor shall bill annually as follows:

July	2020	\$57,750	
July	2021	\$60,500	
July	2022	\$69,900	
July	2023	\$73,075	
		<i>Sub-total</i>	\$261,225
		TOTAL	\$388,125

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Mac



STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR CHILDREN, YOUTH & FAMILIES

129 PLEASANT STREET, CONCORD, NH 03301-3857
 603-271-4451 1-800-852-3345 Ext. 4451
 FAX: 603-271-4729 TDD Access: 1-800-735-2964 www.dhhs.nh.gov.

Jeffrey A. Meyers
 Commissioner

Joseph E. Ribsam, Jr.
 Director

October 25, 2019

His Excellency, Governor Christopher T. Sununu
 and the Honorable Council
 State House
 Concord, New Hampshire 03301

REQUESTED ACTIONS

Authorize the Department of Health and Human Services (DHHS), Division for Children, Youth and Families (DCYF) to retroactively exercise a renewal option and amend an existing sole source agreement with the University of Kansas Center for Research, Inc. (Vendor #253972), Youngsberg Hall, 2385 Irving Hill Road, Lawrence, KS 66045, for the use of the Results Oriented Management (ROM) web-based software product for the provision of data development, reporting and annual subscriptions by increasing the price limitation by \$150,250 from \$62,900 to \$213,150, upon the date of Governor and Executive approval, effective retroactively to June 30, 2019 through June 30, 2021.

This agreement was originally approved by the Governor and Executive Council on February 25, 2015, (Item #9, Vote 5 – 0) and amended on November 08, 2017, (Item #16, Vote 5-0). 82% Federal, 18% General, for ROM Web-Based. 35% Federal, 65% General, for ROM Subscription.

Funds to support this request are available in the following accounts in State Fiscal Years 2020 and 2021, with the ability to adjust amounts within the price limitation and adjust encumbrances between State fiscal years through the Budget Office, if needed and justified.

05-95-42-421010-29560000 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES, CHILD PROTECTION, ORG'L LEARNING & QUALITY IMPRVMT (FOR ROM SOFTWARE APPLICATION) 82% Federal, 18% General Funds

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2015	067-500557	Contracts for Prog Servs	42106004	\$6,000	\$0	\$6,000
2016	067-500557	Contracts for Prog Servs	42106004	\$12,000	\$0	\$12,000
2017	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2018	067-500557	Contracts for Prog Servs	42106004	\$16,100	\$0	\$16,100
2019	067-500557	Contracts for Prog Servs	42106004	\$14,400	\$0	\$14,400
2020	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
2021	067-500557	Contracts for Prog Servs	42106004	\$0	\$16,000	\$16,000
Subtotal:				\$62,900	\$32,000	\$94,900

His Excellency, Governor Christopher T. Sununu
and the Honorable Executive Council
Page 2 of 3

05-95-42-421010-29560000 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES, CHILD PROTECTION, OFFICE OF DIRECTOR – DCYF (FOR ROM SOFTWARE SUBSCRIPTION) 35% Federal, 65% General Funds.

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2020	026-500251	Organizational Dues	42015602	\$0	\$57,750	\$57,750
2021	026-500251	Organizational Dues	42105602	\$0	\$60,500	\$60,500
			<i>Subtotal:</i>	\$0	\$118,250	\$118,250
			Total:	\$62,900	\$150,250	\$213,150

EXPLANATION

This request is **retroactive** due to the volume of new contracts being processed by the Department at the end of State Fiscal Year 2019, which caused a delay in this vendor receiving the contract amendment documents prior to the contract end date of June 30, 2019. Further delays ensued when more time was needed to negotiate and finalize the scope of work prior to the vendor's Board of Directors review and approval of the contract amendment at their most recent quarterly meeting, which was held on October 17, 2019.

Interruption in accessing the ROM web-based management reporting application and accompanying software would result in DCYF losing valuable mapped data and reports. The mapped data enables the Department to continuously monitor and improve the quality of data entered into the NH Bridges computer information system and to generate a wide range of reports, updates and improvements. ROM provides regular reports on Federal Performance measures, which are critical to the Department's compliance with federal requirements and avoidance of financial penalties.

The Contracts Unit has made changes to procurement procedures that include monthly project monitoring meetings between program areas, division leadership, the finance team and the Contracts Unit in order that proper project planning and management form timely procurements, including amendments to current contracts. Ongoing projects will be monitored for expiration dates to determine whether a contract can be allowed to expire, needs an amendment renewal or reprocurement. It is anticipated that these procedures result in timely submissions to the Governor and Executive Council.

This request is **sole source** because the University of Kansas Center for Research, Inc., is the developer of Results Oriented Management software and the only vendor from which the State of New Hampshire can purchase product access. In order to utilize the web-based application provided by the vendor, subscription fees must be paid annually.

The purpose of this request is to continue to have access to the ROM web-based management reporting application with accompanying software which is offered to child welfare agencies across the country for data development and reporting. Additionally, the Department, as well as many federal and state partners, are using data to monitor the quality of services and continuously plan for improvements as best practices are identified. There are currently eleven states that belong to this organization. The Kansas University Center for Research (KU) will work collaboratively with the State of New Hampshire Department of Health and Human Services, Division for Children, Youth and Families (referenced as the Agency) to further develop, implement and maintain ROM Reports.

His Excellency, Governor Christopher T. Sununu
and the Honorable Executive Council
Page 3 of 3

This reporting system provides data on the Agency's child welfare program outcomes, child counts, and other performance indicators. KU shall provide the use of and maintenance of the ROM application software through regular update releases, and shall provide support on the use of the reporting system. In order for the Department to have access to the web-based services of ROM, a subscription dues must be paid on an annual basis. Software updates are provided on a quarterly basis. Maintenance and support include the following:

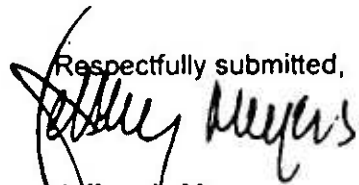
- *Updates* – KU shall continually update the application and data preparation routines to respond to changes in technology and upgrade the system infrastructure for improving performance.
- *Fix problems* - KU shall fix data preparation routines and calculations found to be in error and problems identified in the ROM Reports application software
- *Support* – KU shall support the use of the reporting application, including:
 - Technical assistance on the use of the administrative tools in the report system (over phone and webinar sessions)
 - Validation of the Agency's data extract and technical assistance in troubleshooting problems
 - Advising Agency staff on mapping data to the ROM Base Working Tables and resolving mapping problems
 - Implement changes in operational definitions in the help facility
 - Writing scripts to implement system wide changes to report labels and settings

Should the Governor and the Executive Council not approve this request, the Division would be unable to access the most current Child Welfare strategies for performance management and improved outcomes for the children and families of New Hampshire. Additionally, DCYF would not have access to data regarding its performance on key federal indicators, and data regarding critical program outcomes that are used by management to make informed decisions and continuous quality improvement, as well as support a number of grant requests for state agencies and community partners. Furthermore, without access to this product, the Division for Children, Youth and Families will require additional resources to ensure compliance with all the mandated requirements using a manual system and may incur financial penalties from the Administration for Children & Families:

Geographic Area: Statewide

Source of Funds: ROM Web-Based 82% Federal, 18% General. ROM Subscription 35% Federal, 65% General.

Respectfully submitted,



Jeffrey A. Meyers
Commissioner



STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY
27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doit

Denis Goulet
Commissioner

September 23, 2019

Jeffrey A. Meyers, Commissioner
Department of Health and Human Services
State of New Hampshire
129 Pleasant Street
Concord, NH 03301

Dear Commissioner Meyers:

This letter represents formal notification that the Department of Information Technology (DoIT) has approved your agency's request to enter into a retroactive, sole source contract amendment with University of Kansas Center for Research, Inc., of Lawrence, KS, as described below and referenced as DoIT No. 2014-138A.

The purpose of this request is to enter into a contract amendment with University of Kansas Center for Research, Inc., for the use of the Results Oriented Management web-based software product for the provision of data development, reporting and annual subscriptions.

The funding amount for this amendment is \$150,250, increasing the current contract from \$62,900 to \$213,150. This amendment is retroactive to June 30, 2019 through June 30, 2021, upon Governor and Executive Council approval.

A copy of this letter should accompany the Department of Health and Human Services' submission to the Governor and Executive Council for approval.

Sincerely,

Denis Goulet

DG/kaf/ck
DoIT #2014-138A

cc: Bruce Smith, IT Manager, DoIT



**New Hampshire Department of Health and Human Services
Results Oriented Management (ROM)**

**State of New Hampshire
Department of Health and Human Services
Amendment #2 to the Results Oriented Management Contract**

This 2nd Amendment to the Results Oriented Management contract (hereinafter referred to as "Amendment #2") is by and between the State of New Hampshire, Department of Health and Human Services (hereinafter referred to as the "State" or "Department") and University of Kansas for Research, Inc., (hereinafter referred to as "the Contractor"), a nonprofit with a place of business at 2385 Irving Hill Road, Lawrence, KS 66045.

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on February 25, 2015, (Item #9), as amended on November 8, 2017, (Item #16); the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

WHEREAS, the State and the Contractor have agreed to make changes to the scope of work, payment schedules or terms and conditions of the contract; and

WHEREAS, pursuant to Form P-37, General Provisions, Paragraph 18, the Contract may be amended upon written agreement of the parties and approval from the Governor and Executive Council; and

WHEREAS, the parties agree to extend the term of the agreement, increase the price limitation, and modify the scope of services to support continued delivery of these services; and

WHEREAS, all terms and conditions of the Contract and prior amendments not inconsistent with this Amendment #2 remain in full force and effect; and

NOW THEREFORE, in consideration of the foregoing and the mutual covenants and conditions contained in the Contract and set forth herein, the parties hereto agree to amend as follows:

1. Form P-37 General Provisions, Block 1.7, Completion Date, to read:
June 30, 2021.
2. Form P-37, General Provisions, Block 1.8, Price Limitation, to read:
\$213,150.
3. Form P-37, General Provisions, Block 1.9, Contracting Officer for State Agency; to read:
Nathan D. White, Director.
4. Form P-37, General Provisions, Block 1.10, State Agency Telephone Number, to read:
603-271-9631.
5. Contract Agreement -- Part 2, Section 3 Contract Management, Sub-section 3.1, The Vendor's Contract Manager, Paragraph 3.2.1, to read:
3.2.1. The Vendor shall assign a Contract Manager who shall be responsible for all Contract authorization and administration. The Vendor's Contract Manager to read:
Alicia Reed
Director, Research Administration
2385 Irving Hill Road, Lawrence, KS 66045
Tel: 785-864-7231
Email: amreed@ku.edu
6. Contract Agreement -- Part 2, Section 3 Contract Management, Sub-section 3.2 The Vendor's



**New Hampshire Department of Health and Human Services
Results Oriented Management (ROM)**

Project Manager, Paragraph 3.2.5. The Contract Project Manager to read:

3.2.5. The Contract Project Manager is:

Becci Akin, PhD.
Associate Professor, PhD Program Director
2385 Irving Hill Road, Lawrence, KS 66045
Tel: 785-864-2647
beccia@ku.edu

7. Contract Agreement – Part 2, Section Contract Management, Sub-section 3.3 The Contracted Vendor Key Project Staff, Paragraph 3.3.3.1; The Contracted Vendor's Key Project Staff to read:

3.3.3.1. The Vendor Key Project Staff shall consist of the following individuals in the roles identified below:

The Contracted Vendor's Key Project Staff:

<u>Key Member(s)</u>	<u>Title</u>
Becci Akin, PhD	PhD Program Director

8. Contract Agreement – Part 2, Section 3, Contract Management, Sub-section 3.4 State Contract Manager to read:

3.4 STATE CONTRACT MANAGER

The State shall assign a Contract Manager who shall function as the State's representative with regard to Contract administration. The State Contract Manager is:

Nathan D. White, Director
Department of Health & Human Services
Contracts Unit
129 Pleasant Street
Concord, NH 03301
Tel: (603) 271-9631
Email: Nathan.white@dhhs.nh.gov

9. Add Consolidated Exhibits – Part 3, Exhibit A-1 Amendment #2.

10. Delete Consolidated Exhibits – Part 3, Exhibit B, Price & Payment Schedule, Section 1: Deliverable Payment Schedule, Sub-section 1.1 Firm Fixed Price, in its entirety and replace with, Consolidated Exhibits – Part 3, Exhibit B – Amendment #2, Price & Payment Schedule, Section 1, Deliverable Payment Schedule, Sub-section 1.1 Firm Fixed Price and Sub-section 1.2 Annual Subscription Fee.

11. Consolidated Exhibits – Part 3, Exhibit B, Price & Payment Schedule; Section 2: Invoicing, to read:

2. INVOICING

2.1. The Vendor shall submit correct invoices to the state for all amounts to be paid by the State. All invoices submitted shall be subject to the State's prior written approval, which shall not be unreasonably withheld. The Vendor shall only submit invoices for services or deliverables as permitted by the Contract. Invoices must be in a format as determined by



**New Hampshire Department of Health and Human Services
Results Oriented Management (ROM)**

the State and contain detailed information, including without limitation:

Itemization of each deliverable and identification of the deliverable for which payment is sought, and the acceptance date triggering such payment; date of delivery and/or installation; monthly maintenance charges; any other project costs or retention amounts if applicable.

2.2 Upon acceptance of a deliverable, and properly documented and undisputed invoice, the State shall pay the correct and undisputed invoice within thirty (30) days of invoice receipt. Invoices shall not be backdated and shall be promptly dispatched.

2.3 Invoices shall be sent to:

NH Department of Health & Human Services
ATTN: Kelley Esdale, Financial Manager
Division for Children, Youth & Families
129 Pleasant Street
Concord, NH 03301

Kellie.esdale@dhhs.nh.gov

12: Add Exhibit K: DHHS Information Security Requirements.



**New Hampshire Department of Health and Human Services
Results Oriented Management (ROM)**

This amendment shall be retroactively effective to July 1, 2019, upon the date of Governor and Executive Council approval.

IN WITNESS WHEREOF, the parties have set their hands as of the date written below.

10/29/19
Date

State of New Hampshire
Department of Health and Human Services

Name: Joseph E. Ribsam, Jr.
Title: Director

10/21/19
Date

University of Kansas Center for Research, Inc.

Name: Alicia M. Reed
Title: Director, Research Administration

Acknowledgement of Contractor's signature:

State of Kansas, County of Douglas on 10-21-19, before the undersigned officer, personally appeared the person identified directly above, or satisfactorily proven to be the person whose name is signed above, and acknowledged that s/he executed this document in the capacity indicated above.

Signature of Notary Public or Justice of the Peace

Julie C Popiel, Executive Associate
Name and Title of Notary or Justice of the Peace



My Commission Expires: July 31, 2022

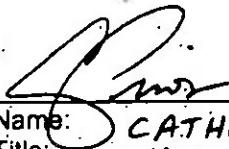


**New Hampshire Department of Health and Human Services
Results Oriented Management (ROM)**

The preceding Amendment, having been reviewed by this office, is approved as to form, substance, and execution.

OFFICE OF THE ATTORNEY GENERAL

10/31/19
Date


Name: CATHERINE PINOS
Title: Attorney

I hereby certify that the foregoing Amendment was approved by the Governor and Executive Council of the State of New Hampshire at the Meeting on: _____ (date of meeting)

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS – PART 3
EXHIBIT A-1 AMENDMENT #2 SUBSCRIPTION SERVICES

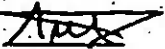
Subscription Services

1. Annual Subscription Fee

- 1.1. The annual subscription to Results Oriented management (ROM) Reports shall provide ongoing maintenance, hosting, support and enhancements of the ROM reporting application and the set of routines that process data to generate reports.
- 1.2. The Contractor shall provide use of and maintenance of the ROM application software through regular update releases and shall provide support on the use of the reporting system on a quarterly basis, which shall include, but not be limited to:
 - 1.2.1. Updates
 - 1.2.1.1. The Contractor shall continually update the application and data preparation routines to respond to changes in technology and upgrade the system infrastructure for improving performance.
 - 1.2.2. Fix problems
 - 1.2.2.1. The Contractor shall fix data preparation routines and calculations found to be in error and problems identified in the ROM Reports application software.
 - 1.2.3. Support
 - 1.2.3.1. The Contractor shall support the use of the reporting application, which shall include:
 - 1.2.3.1.1. Technical assistance on the use of the administrative tools in the report system, over phone and webinar sessions;
 - 1.2.3.1.2. Validating of the Department's data extract; and
 - 1.2.3.1.3. Technical assistance in troubleshooting problems;
 - 1.2.3.1.4. Advising Department staff on mapping data to the ROM Base Working Tables and resolving mapping problems;
 - 1.2.3.1.5. Implementing changes in operational definitions in the help facility; and
 - 1.2.3.1.6. Writing scripts to implement system wide changes to report labels and settings.
 - 1.2.4. Enhancements of ROM Reports and ROM Core
 - 1.2.4.1. The Contractor shall provide new development of ROM Reports including application and user interface and ROM Core calculations for outcomes which offer:
 - 1.2.4.1.1. Additional functionality;
 - 1.2.4.1.2. New reports; and

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- 1.2.4.1.3. New or updated features in response to requests from the Department.
- 1.2.5. Upcoming enhancement initiatives
 - 1.2.5.1. Upcoming enhancement initiatives identified as priorities shall be planned in accordance with available resources and include the following:
 - 1.2.5.1.1. Enhance data exception reports;
 - 1.2.5.1.2. Develop caseworker spreadsheet;
 - 1.2.5.1.3. Develop Multi-level crosstabs;
 - 1.2.5.1.4. Integrate new Adoption and Foster Care Analysis and Reporting System (AFCARS) and National Child Abuse and Neglect Data System (NCANDS) fields; and
 - 1.2.5.1.5. Enhance emailing of dashboard reports.



10/21/19

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 DEPARTMENT OF HEALTH & HUMAN SERVICES
 RESULTS ORIENTED MANAGEMENT
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 EXHIBIT B - AMENDMENT #2
 PRICE & PAYMENT SCHEDULE

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price.

This is a Firm Fixed Price (FFP) Contract. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:

Month	Year	Pricing/Payment	
January	2015	\$1,000	
February	2015	\$1,000	
March	2015	\$1,000	
April	2015	\$1,000	
May	2015	\$1,000	
June	2015	\$1,000	
		<i>Sub-Total SFY 2015</i>	\$6,000
July	2015	\$1,000	
August	2015	\$1,000	
September	2015	\$1,000	
October	2015	\$1,000	
November	2015	\$1,000	
December	2015	\$1,000	
January	2016	\$1,000	
February	2016	\$1,000	
March	2016	\$1,000	
April	2016	\$1,000	
May	2016	\$1,000	
June	2016	\$1,000	
		<i>Sub-Total SFY 2016</i>	\$12,000

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PRICE & PAYMENT SCHEDULE**

July	2016	\$1,200	
August	2016	\$1,200	
September	2016	\$1,200	
October	2016	\$1,200	
November	2016	\$1,200	
December	2016	\$1,200	
January	2017	\$1,200	
February	2017	\$1,200	
March	2017	\$1,200	
April	2017	\$1,200	
May	2017	\$1,200	
June	2017	\$1,200	
		<i>Sub-total SFY 2017</i>	\$14,400
July	2017	\$1,200	
August	2017	\$1,200	
September	2017	\$1,200	
October	2017	\$1,200	
November	2017	\$1,200	
December	2017	\$2,900	
January	2018	\$1,200	
February	2018	\$1,200	
March	2018	\$1,200	
April	2018	\$1,200	
May	2018	\$1,200	
June	2018	\$1,200	
		<i>Sub-total SFY 2018</i>	\$16,100

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PRICE & PAYMENT SCHEDULE**

July	2018	\$1,200	
August	2018	\$1,200	
September	2018	\$1,200	
October	2018	\$1,200	
November	2018	\$1,200	
December	2018	\$1,200	
January	2019	\$1,200	
February	2019	\$1,200	
March	2019	\$1,200	
April	2019	\$1,200	
May	2019	\$1,200	
June	2019	\$1,200	
		<i>Sub-total SFY 2019</i>	\$14,400
July	2019	\$1,333	
August	2019	\$1,333	
September	2019	\$1,333	
October	2019	\$1,333	
November	2019	\$1,333	
December	2019	\$1,333	
January	2020	\$1,333	
February	2020	\$1,333	
March	2020	\$1,333	
April	2020	\$1,333	
May	2020	\$1,333	
June	2020	\$1,337	
		<i>Sub-total SFY 2020</i>	\$16,000

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PRICE & PAYMENT SCHEDULE**

July	2020	\$1,333	
August	2020	\$1,333	
September	2020	\$1,333	
October	2020	\$1,333	
November	2020	\$1,333	
December	2020	\$1,333	
January	2021	\$1,333	
February	2021	\$1,333	
March	2021	\$1,333	
April	2021	\$1,333	
May	2021	\$1,333	
June	2021	\$1,337	
		<i>Sub-total SFY 2021</i>	\$16,000
		Sub-Total	\$94,900

1.2 Annual Subscription Fee

1.2.1. The annual subscription shall ensure continued access to updates and improvements to this subscription based software application. The Contractor shall bill annually as follows:

July	2020	\$57,750	
July	2021	\$60,500	
		<i>Sub-total</i>	\$118,250
		TOTAL	\$213,150

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DHHS Information Security Requirements



A. Definitions

The following terms may be reflected and have the described meaning in this document:

1. "Breach" means the loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access, or any similar term referring to situations where persons other than authorized users and for an other than authorized purpose have access or potential access to personally identifiable information, whether physical or electronic. With regard to Protected Health Information, "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
2. "Computer Security Incident" shall have the same meaning "Computer Security Incident" in section two (2) of NIST Publication 800-61, Computer Security Incident Handling Guide, National Institute of Standards and Technology, U.S. Department of Commerce.
3. "Confidential Information" or "Confidential Data" means all confidential information disclosed by one party to the other such as all medical, health, financial, public assistance benefits and personal information including without limitation, Substance Abuse Treatment Records, Case Records, Protected Health Information and Personally Identifiable Information.

Confidential Information also includes any and all information owned or managed by the State of NH - created, received from or on behalf of the Department of Health and Human Services (DHHS) or accessed in the course of performing contracted services - of which collection, disclosure, protection, and disposition is governed by state or federal law or regulation. This information includes, but is not limited to, Protected Health Information (PHI), Personal Information (PI), Personal Financial Information (PFI), Federal Tax Information (FTI), Social Security Numbers (SSN), Payment Card Industry (PCI), and or other sensitive and confidential information.

4. "End User" means any person or entity (e.g., contractor, contractor's employee, business associate, subcontractor, other downstream user, etc.) that receives DHHS data or derivative data in accordance with the terms of this Contract.
5. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereunder.
6. "Incident" means an act that potentially violates an explicit or implied security policy, which includes attempts (either failed or successful) to gain unauthorized access to a system or its data, unwanted disruption or denial of service, the unauthorized use of a system for the processing or storage of data; and changes to system hardware, firmware, or software characteristics without the owner's knowledge, instruction, or consent. Incidents include the loss of data through theft or device misplacement, loss or misplacement of hardcopy documents, and misrouting of physical or electronic mail.

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- all of which may have the potential to put the data at risk of unauthorized access, use, disclosure, modification or destruction.
7. "Open Wireless Network" means any network or segment of a network that is not designated by the State of New Hampshire's Department of Information Technology or delegate as a protected network (designed, tested, and approved, by means of the State, to transmit) will be considered an open network and not adequately secure for the transmission of unencrypted PI, PFI, PHI or confidential DHHS data.
 8. "Personal Information" (or "PI") means information which can be used to distinguish or trace an individual's identity, such as their name, social security number, personal information as defined in New Hampshire RSA 359-C:19, biometric records, etc., alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.
 9. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
 10. "Protected Health Information" (or "PHI") has the same meaning as provided in the definition of "Protected Health Information" in the HIPAA Privacy Rule at 45 C.F.R. § 160.103.
 11. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. Part 164, Subpart C, and amendments thereto.
 12. "Unsecured Protected Health Information" means Protected Health Information that is not secured by a technology standard that renders Protected Health Information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.

I. RESPONSIBILITIES OF DHHS AND THE CONTRACTOR

A. Business Use and Disclosure of Confidential Information.

1. The Contractor must not use, disclose, maintain or transmit Confidential Information except as reasonably necessary as outlined under this Contract. Further, Contractor, including but not limited to all its directors, officers, employees and agents, must not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
2. The Contractor must not disclose any Confidential Information in response to a request

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for disclosure on the basis that it is required by law, in response to a subpoena, etc., without first notifying DHHS so that DHHS has an opportunity to consent or object to the disclosure.

3. If DHHS notifies the Contractor that DHHS has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Contractor must be bound by such additional restrictions and must not disclose PHI in violation of such additional restrictions and must abide by any additional security safeguards.
4. The Contractor agrees that DHHS Data or derivative there from disclosed to an End User must only be used pursuant to the terms of this Contract.
5. The Contractor agrees DHHS Data obtained under this Contract may not be used for any other purposes that are not indicated in this Contract.
6. The Contractor agrees to grant access to the data to the authorized representatives of DHHS for the purpose of inspecting to confirm compliance with the terms of this Contract.

II. METHODS OF SECURE TRANSMISSION OF DATA

1. Application Encryption. If End User is transmitting DHHS data containing Confidential Data between applications, the Contractor attests the applications have been evaluated by an expert knowledgeable in cyber security and that said application's encryption capabilities ensure secure transmission via the internet.
2. Computer Disks and Portable Storage Devices. End User may not use computer disks or portable storage devices, such as a thumb drive, as a method of transmitting DHHS data.
3. Encrypted Email. End User may only employ email to transmit Confidential Data if email is encrypted and being sent to and being received by email addresses of persons authorized to receive such information.
4. Encrypted Web Site. If End User is employing the Web to transmit Confidential Data, the secure socket layers (SSL) must be used and the web site must be secure. SSL encrypts data transmitted via a Web site.
5. File Hosting Services, also known as File Sharing Sites. End User may not use file hosting services, such as Dropbox or Google Cloud Storage, to transmit Confidential Data.
6. Ground Mail Service. End User may only transmit Confidential Data via *certified* ground mail within the continental U.S. and when sent to a named individual.
7. Laptops and PDA. If End User is employing portable devices to transmit Confidential Data said devices must be encrypted and password-protected.
8. Open Wireless Networks. End User may not transmit Confidential Data via an open

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wireless network. End User must employ a virtual private network (VPN) when remotely transmitting via an open wireless network.

9. Remote User Communication. If End User is employing remote communication to access or transmit Confidential Data, a virtual private network (VPN) must be installed on the End User's mobile device(s) or laptop from which information will be transmitted or accessed.
10. SSH File Transfer Protocol (SFTP), also known as Secure File Transfer Protocol. If End User is employing an SFTP to transmit Confidential Data, End User will structure the Folder and access privileges to prevent inappropriate disclosure of information. SFTP folders and sub-folders used for transmitting Confidential Data will be coded for 24-hour auto-deletion cycle (i.e. Confidential Data will be deleted every 24 hours).
11. Wireless Devices. If End User is transmitting Confidential Data via wireless devices, all data must be encrypted to prevent inappropriate disclosure of information.

III. RETENTION AND DISPOSITION OF IDENTIFIABLE RECORDS

The Contractor will only retain the data and any derivative of the data for the duration of this Contract. After such time, the Contractor will have 30 days to destroy the data and any derivative in whatever form it may exist, unless, otherwise required by law or permitted under this Contract. To this end, the parties must:

A. Retention

1. The Contractor agrees it will not store, transfer or process data collected in connection with the services rendered under this Contract outside of the United States. This physical location requirement shall also apply in the implementation of cloud computing, cloud service or cloud storage capabilities, and includes backup data and Disaster Recovery locations.
2. The Contractor agrees to ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
3. The Contractor agrees to provide security awareness and education for its End Users in support of protecting Department confidential information.
4. The Contractor agrees to retain all electronic and hard copies of Confidential Data in a secure location and identified in section IV.A.2
5. The Contractor agrees Confidential Data stored in a Cloud must be in a FedRAMP/HITECH compliant solution and comply with all applicable statutes and regulations regarding the privacy and security. All servers and devices must have currently-supported and hardened operating systems, the latest anti-viral, anti-hacker, anti-spam, anti-spyware, and anti-malware utilities. The environment, as a whole, must have aggressive intrusion-detection and firewall protection.

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6. The Contractor agrees to and ensures its complete cooperation with the State's Chief Information Officer in the detection of any security vulnerability of the hosting infrastructure.

B. Disposition

1. If the Contractor will maintain any Confidential Information on its systems (or its sub-contractor systems), the Contractor will maintain a documented process for securely disposing of such data upon request or contract termination; and will obtain written certification for any State of New Hampshire data destroyed by the Contractor or any subcontractors as a part of ongoing, emergency, and or disaster recovery operations. When no longer in use, electronic media containing State of New Hampshire data shall be rendered unrecoverable via a secure wipe program in accordance with industry-accepted standards for secure deletion and media sanitization, or otherwise physically destroying the media (for example, degaussing) as described in NIST Special Publication 800-88, Rev 1, Guidelines for Media Sanitization, National Institute of Standards and Technology, U. S. Department of Commerce. The Contractor will document and certify in writing at time of the data destruction, and will provide written certification to the Department upon request. The written certification will include all details necessary to demonstrate data has been properly destroyed and validated. Where applicable, regulatory and professional standards for retention requirements will be jointly evaluated by the State and Contractor prior to destruction.
2. Unless otherwise specified, within thirty (30) days of the termination of this Contract, Contractor agrees to destroy all hard copies of Confidential Data using a secure method such as shredding.
3. Unless otherwise specified, within ninety (90) days of the of the termination of this Contract, Contractor agrees to completely destroy all electronic Confidential Data by means of data erasure, also known as secure data wiping.

IV. PROCEDURES FOR SECURITY

- A. Contractor agrees to safeguard the DHHS Data received under this Contract, and any derivative data or files, as follows:
 1. The Contractor will maintain proper security controls to protect Department confidential information collected, processed, managed, and/or stored in the delivery of contracted services.
 2. The Contractor will maintain policies and procedures to protect Department confidential information throughout the information lifecycle, where applicable, (from creation, transformation, use, storage and secure destruction) regardless of the media used to store the data (i.e., tape, disk, paper, etc.).

[Handwritten Signature]

New Hampshire Department of Health and Human Services

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3. The Contractor will maintain appropriate authentication and access controls to contractor systems that collect, transmit, or store Department confidential information where applicable.
4. The Contractor will ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
5. The Contractor will provide regular security awareness and education for its End Users in support of protecting Department confidential information.
6. If the Contractor will be sub-contracting any core functions of the engagement supporting the services for State of New Hampshire, the Contractor will maintain a program of an internal process or processes that defines specific security expectations; and monitoring compliance to security requirements that at a minimum match those for the Contractor; including breach notification requirements.
7. The Contractor will work with the Department to sign and comply with all applicable State of New Hampshire and Department system access and authorization policies and procedures, systems access forms, and computer use agreements as part of obtaining and maintaining access to any Department system(s). Agreements will be completed and signed by the Contractor and any applicable sub-contractors prior to system access being authorized.
8. If the Department determines the Contractor is a Business Associate pursuant to 45 CFR 160.103, the Contractor will execute a HIPAA Business Associate Agreement (BAA) with the Department and is responsible for maintaining compliance with the agreement.
9. The Contractor will work with the Department at its request to complete a System Management Survey. The purpose of the survey is to enable the Department and Contractor to monitor for any changes in risks, threats, and vulnerabilities that may occur over the life of the Contractor engagement. The survey will be completed annually, or an alternate time frame at the Departments discretion with agreement by the Contractor, or the Department may request the survey be completed when the scope of the engagement between the Department and the Contractor changes.
10. The Contractor will not store, knowingly or unknowingly, any State of New Hampshire or Department data offshore or outside the boundaries of the United States unless prior express written consent is obtained from the Information Security Office leadership member within the Department.
11. Data Security Breach Liability. In the event of any security breach Contractor shall make efforts to investigate the causes of the breach, promptly take measures to prevent future breach and minimize any damage or loss resulting from the breach. The State shall recover from the Contractor all costs of response and recovery from the breach.

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including but not limited to: credit monitoring services, mailing costs and costs associated with website and telephone call center services necessary due to the breach.

12. Contractor must comply with all applicable statutes and regulations regarding the privacy and security of Confidential Information, and must in all other respects maintain the privacy and security of PI and PHI at a level and scope that is not less than the level and scope of requirements applicable to federal agencies, including, but not limited to, provisions of the Privacy Act of 1974 (5 U.S.C. § 552a), DHHS Privacy Act Regulations (45 C.F.R. §5b), HIPAA Privacy and Security Rules (45 C.F.R. Parts 160 and 164) that govern protections for individually identifiable health information and as applicable under State law.
13. Contractor agrees to establish and maintain appropriate administrative, technical, and physical safeguards to protect the confidentiality of the Confidential Data and to prevent unauthorized use or access to it. The safeguards must provide a level and scope of security that is not less than the level and scope of security requirements established by the State of New Hampshire, Department of Information Technology. Refer to Vendor Resources/Procurement at <https://www.nh.gov/doi/vendor/index.htm> for the Department of Information Technology policies, guidelines, standards, and procurement information relating to vendors.
14. Contractor agrees to maintain a documented breach notification and incident response process. The Contractor will notify the State's Privacy Officer and the State's Security Officer of any security breach immediately, at the email addresses provided in Section VI. This includes a confidential information breach, computer security incident, or suspected breach which affects or includes any State of New Hampshire systems that connect to the State of New Hampshire network.
15. Contractor must restrict access to the Confidential Data obtained under this Contract to only those authorized End Users who need such DHHS Data to perform their official duties in connection with purposes identified in this Contract.
16. The Contractor must ensure that all End Users:
 - a. comply with such safeguards as referenced in Section IV A. above, implemented to protect Confidential Information that is furnished by DHHS under this Contract from loss, theft or inadvertent disclosure;
 - b. safeguard this information at all times.
 - c. ensure that laptops and other electronic devices/media containing PHI, PI, or PFI are encrypted and password-protected.
 - d. send emails containing Confidential Information only if encrypted and being sent to and being received by email addresses of persons authorized to receive such information.

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- e. limit disclosure of the Confidential Information to the extent permitted by law.
- f. Confidential Information received under this Contract and individually identifiable data derived from DHHS Data, must be stored in an area that is physically and technologically secure from access by unauthorized persons during duty hours as well as non-duty hours (e.g., door locks, card keys, biometric identifiers, etc.).
- g. only authorized End Users may transmit the Confidential Data, including any derivative files containing personally identifiable information, and in all cases, such data must be encrypted at all times when in transit, at rest, or when stored on portable media as required in section IV above.
- h. in all other instances Confidential Data must be maintained, used and disclosed using appropriate safeguards, as determined by a risk-based assessment of the circumstances involved.
- i. understand that their user credentials (user name and password) must not be shared with anyone. End Users will keep their credential information secure. This applies to credentials used to access the site directly or indirectly through a third party application.

Contractor is responsible for oversight and compliance of their End Users. DHHS reserves the right to conduct onsite inspections to monitor compliance with this Contract, including the privacy and security requirements provided in herein, HIPAA, and other applicable laws and Federal regulations until such time the Confidential Data is disposed of in accordance with this Contract.

V. LOSS REPORTING

The Contractor must notify the State's Privacy Officer and Security Officer of any Security Incidents and Breaches immediately, at the email addresses provided in Section VI.

The Contractor must further handle and report Incidents and Breaches involving PHI in accordance with the agency's documented Incident Handling and Breach Notification procedures and in accordance with 42 C.F.R. §§ 431.300 - 306. In addition to, and notwithstanding, Contractor's compliance with all applicable obligations and procedures, Contractor's procedures must also address how the Contractor will:

1. Identify Incidents;
2. Determine if personally identifiable information is involved in Incidents;
3. Report suspected or confirmed Incidents as required in this Exhibit or P-37;
4. Identify and convene a core response group to determine the risk level of Incidents and determine risk-based responses to Incidents; and
5. Determine whether Breach notification is required, and, if so, identify appropriate Breach notification methods, timing, source, and contents from among different

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options, and bear costs associated with the Breach notice as well as any mitigation measures.

Incidents and/or Breaches that implicate PI must be addressed and reported, as applicable, in accordance with NH RSA 359-C:20.

VI. PERSONS TO CONTACT

A. DHHS Privacy Officer:

DHHSPrivacyOfficer@dhhs.nh.gov

B. DHHS Security Officer:

DHHSInformationSecurityOffice@dhhs.nh.gov



Jeffrey A. Meyers
Commissioner
Christine Tappan
Interim Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF HUMAN SERVICES
DIVISION FOR CHILDREN, YOUTH & FAMILIES

129 PLEASANT STREET, CONCORD, NH 03301-3857
603-271-4461 1-800-852-3346 Ext. 4461
FAX: 603-271-4729 TDD Access: 1-800-735-2964 www.dbhs.nh.gov

October 6, 2017

Item # 16
G & C Approved
November 8/2017
mac

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division for Children, Youth and Families, to enter into a **Sole Source** Amendment with the University of Kansas Center for Research, Inc. (Vendor #253972), Youngberg Hall, 2385 Irving Hill Road, Lawrence KS 66045, by increasing the Price Limitation by \$1,700 from \$61,200 to an amount not to exceed \$62,900 with no change to the completion date of June 30, 2019, to provide minor customizations of the Results Oriented Management public face website, effective upon the date of Governor and Council approval. This agreement was originally approved by Governor and Council on February 25, 2015, Item #9. 32% Federal Funds, 68% General Funds.

Funds are available in the following account for SFY 2018 upon the availability and continued appropriation of funds in the future operating budgets, with authority to adjust amounts within the price limitation and adjust encumbrances between State Fiscal Years through the Budget Office without further approval of the Governor and Executive Council, if needed and justified.

05-95-42-421010-29600000 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVS DEPT OF, HHS: HUMAN SERVICES, CHILD PROTECTION, ORG'L LEARNING & QUALITY IMPRVMT

Fiscal Year	Class/ Account	Class Title	Job Number	Current Modified Budget	Increased (Decreased)	Revised Modified Budget
2015	067-500557	Contracts for Prog Servs	42106004	\$ 6,000	\$ 0	\$ 6,000
2016	067-500557	Contracts for Prog Servs	42106004	\$ 12,000	\$ 0	\$ 12,000
2017	067-500557	Contracts for Prog Servs	42106004	\$ 14,400	\$ 0	\$ 14,400
2018	067-500557	Contracts for Prog Servs	42106004	\$ 14,400	\$ 1,700	\$ 16,100
2019	067-500557	Contracts for Prog Servs	42106004	\$ 14,400	\$ 0	\$ 14,400
			Total	\$61,200	\$1,700	\$62,900

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
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EXPLANATION

This request is sole source as the University of Kansas Center for Research Inc. is the developer of the Results Oriented Management software and the only vendor from which the State of New Hampshire can purchase these services.

Funds in this amendment will be used to enable the Department to make necessary customized changes to ensure the public facing website properly and correctly displays the Division of Children Youth and Families District Office data. The Department has requested to rename and combine administrative levels in the public instance of Results Oriented Management. District office data is not inherently useful to a public audience and this modification will group district offices together to form more meaningful regions for the public application. Some of the specific district offices this request pertains to previously stood on their own entity, had other names, and/or covered different catchment areas. This request will also reduce the effect of masking small numbers in some district offices and allow for more transparency throughout the public reporting system.

The Results Oriented Management product provides a simple and inexpensive way to access child protection and juvenile justice data. Results Oriented Management also allows quicker and better access to high quality data and provides a significant reduction in staff time. The Department is ready to move forward with the release of the public site for the Division for Children, Youth and Families which includes providing many reports through Results Oriented Management to fulfill the need for transparency among stakeholders.

The Federal Administration for Children and Families along with the Office of Juvenile Justice and Delinquency Prevention requires that state agencies collect and report accurate quantitative and qualitative data and to ensure that data is available to the public. The Department is also required to demonstrate the process provides a clear way to identify and resolve data quality issues are consistently and properly implemented across the entire state. The Department is also required to demonstrate that the process is consistent and properly implemented across the entire state and that the process provides a clear way to identify and resolve data quality issues.

Results Oriented Management is a well-tested system that was developed by the University of Kansas and is currently being used in many states. Originally the system was developed for the New Hampshire Department of Health and Human Services, Division for Children, Youth and Families, which was the first agency to add Juvenile Justice Services' data to the system.

Results Oriented Management system provides tools that enable the Department to continuously monitor and improve the quality of the data entered into the New Hampshire Bridges computer information system. The Results Oriented Management system provides regular reports on Federal Performance measures, which are critical to the Department's compliance with federal requirements and avoidance of financial penalties. The Department, as well as many federal and state partners, is using data at an increasing level to monitor the quality of services and continuously plan for improvements as best practices are identified.

The Department of Information Technology is aware of this amendment and has verified that the amendment does not include changes to any technology component in the scope of services. As such, a new approval letter from the Department of Information Technology is not required.

Should Governor and Executive Council not authorize this Request, the Division of Children Youth and Families District Office configurations and location information may not be displayed on the public website which could be misleading and/or confusing to the public.

His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 3

Area served: Statewide

Source of Funds: 32% Federal Funds, 68% General Funds, CFDA# 93.658, Department of Health and Human Services, Administration for Children and Families, Foster Care Title IV-E.

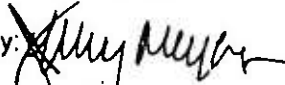
In the event that the Federal (or Other) Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Christine Tappan,
Interim Director

Approved by:



Jeffrey A. Meyers
Commissioner



**New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

**State of New Hampshire
Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

This 1st Amendment to the Result Orientated Management (ROM) contract (hereinafter referred to as "Amendment #1") dated this 31st day of July, 2017, is by and between the State of New Hampshire, Department of Health and Human Services (hereinafter referred to as the "State" or "Department") and University of Kansas Center for Research, Inc. (hereinafter referred to as "the Contractor"), a Non-Profit company with a place of business at 2385 Irving Hill Road, Lawrence KS 66045.

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on February 25, 2015 (Item #9), the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

WHEREAS, the State and the Contractor have agreed to make changes to the scope of work, payment schedules and terms and conditions of the contract; and

WHEREAS, pursuant to the P-37 General Provisions, Paragraph 18, this agreement may be amended by the parties, in writing, with Governor and Executive Council approval pursuant to the Contract Agreement – Part 2, Paragraph 8 'Change Orders' the State may make changes or revisions at any time by written Change Order.

WHEREAS the State and the Contractor have agreed to amend the contract;

NOW THEREFORE, in consideration of the foregoing and the mutual covenants and conditions contained in the Contract and set forth herein, the parties hereto agree to amend as follows:

1. Form P-37, General Provisions, Block 1.8, Price Limitation to read:
\$62,900
2. Form P-37, General Provisions, Block 1.9, Contracting Officer for State Agency to read:
E. Maria Reinemann, Esq., Director
3. Contract Agreement – Part 2, Section 3.4, State Contract Manager to read:
Director, Bureau of Contracts and Procurement
Department of Health and Human Services
129 Pleasant Street
Concord, NH 03303
Tel: (603) 271-9330
Fax: (603) 271-8431
4. Contract Agreement – Part 2, Section 3.5, State Project Manager to read:
The State shall assign a Project Manager. The State Project Manager's duties shall include the following:
 - a. Leading the Project;
 - b. Engaging and managing all the Contracted Vendors;



**New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

- c. Managing significant issues and risks;
- d. Reviewing and accepting Contract Deliverables;
- e. Invoice sign-offs;
- f. Review and approval of change proposals; and
- g. Managing stakeholders' concerns.

The State Project Manager is:

Allison Parent, Senior Data Manager
Department of Health and Human Services
Division for Children, Youth and Families
129 Pleasant Street
Concord, NH 03303
Tel: (603) 271-5163
Fax: (603) 271-8431
Email: Allison.Parent@dhhs.nh.gov

- 5. Consolidated Exhibits – Part 3, Exhibit B, Price & Payment Schedule, Section 1. Deliverable Payment Schedule, Section 1.1 Firm Fixed Price to read:

This is a Firm Fixed Price (FFP) Contract totaling \$62,900 for the period between the Contract Effective Date through June 30, 2019. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:



**New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

6. Consolidated Exhibits – Part 3, Exhibit H, Requirement Responses to add Table C-3 “Consolidated System Enhancements” as follows:

The requested updates to the existing levels shall be implemented within thirty (30) days of the approval of Amendment #1.

Table C-3, Consolidated System Enhancements

Existing Levels	New Levels
Adoption	Not included in Public
Berlin	Berlin
Claremont	Claremont
Concord	Concord
Conway	Conway
Independent Living	Not included in Public
Keene	Keene
Laconia	Laconia
Littleton	Littleton
Manchester	Manchester
Nashua (OBSOLETE)	Southern
Rochester	Rochester
Salem	Southern Telework/Londonderry
Seacoast	Seacoast
Southern	Southern
Southern Telework	Southern Telework/Londonderry
Special Investigations	Not included in Public
Sununu Youth Services Center	Not included in Public
UNASSIGNED	Not Specified
Unknown	Not Specified
YDC	Not included in Public
YDSU	Not included in Public

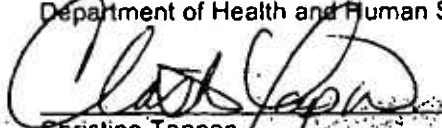


**New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

This amendment shall be effective upon the date of Governor and Executive Council approval.


IN WITNESS WHEREOF, the parties have set their hands as of the date written below.

State of New Hampshire
Department of Health and Human Services


Christine Tappan
Interim Director/Office of Human Services
Division for Children, Youth & Families

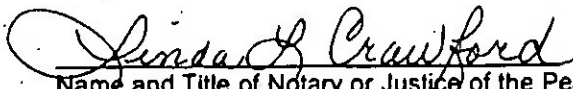
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Date

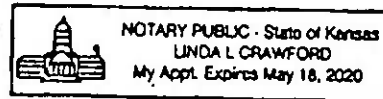
University of Kansas Center for Research, Inc.:


Name: Alicia M. Reed
Title: Interim Director, Research Administration

8-23-2017
Date

Acknowledgement:
State of Kansas, County of Douglas on 8/23/2017, before the undersigned officer, personally appeared the person identified above, or satisfactorily proven to be the person whose name is signed above, and acknowledged that s/he executed this document in the capacity indicated above.
Signature of Notary Public or Justice of the Peace


Name and Title of Notary or Justice of the Peace





**New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract**

The preceding Amendment, having been reviewed by this office, is approved as to form, substance, and execution.

OFFICE OF THE ATTORNEY GENERAL

10/14/17
Date

[Signature]
Name: Lindsay Lusk
Title: attorney

I hereby certify that the foregoing Amendment was approved by the Governor and Council of the State of New Hampshire at the Meeting on: _____ (date of meeting)

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:



Nicholas A. Toumpas
Commissioner

Mary Ann Cooney
Associate Commissioner

FEB12'15 PM 2:08 DAS

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR CHILDREN, YOUTH & FAMILIES

129 PLEASANT STREET, CONCORD, NH 03301-3857
603-271-4451 1-800-832-3345 Ext. 4451
FAX: 603-271-4729 TDD Access: 1-800-735-2964

YU Item # 9
GA approved
February 25, 2015

January 20, 2015

Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council
State House
Concord, NH 03301

Sole Source

REQUESTED ACTION

Authorize the New Hampshire Department of Health and Human Services, Division for Children, Youth and Families to enter into a **sole source** agreement with the University of Kansas Center for Research, Inc. (Vendor # 253972), Youngberg Hall, 2385 Irving Hill Road, Lawrence KS 66045, for the use of the Result Oriented Management web-based software product called Results Oriented Management for the provision of data development and reporting, in an amount not to exceed \$61,200, effective January 1, 2015, or date of Governor and Executive Council approval, whichever is later, through June 30, 2019. 100% General Funds.

Funds to support this request are available in the following account in State Fiscal Year 2015, and anticipated to be available in State Fiscal Years 2016, 2017, 2018 and 2019, with the ability to adjust encumbrances between State Fiscal Years through the Budget Office without further approval of the Governor and Executive Council, if needed and justified.

05-95-42-421010-29600000 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES, CHILD PROTECTION, ORG'L LEARNING & QUALITY IMPRVMT

SFY	Class/Object	Class Title	Activity Number	Budget
2015	067-500557	Contracts for Program Services	42106004	\$ 6,000
2016	067-500557	Contracts for Program Services	42106004	\$12,000
2017	067-500557	Contracts for Program Services	42106004	\$14,400
2018	067-500557	Contracts for Program Services	42106004	\$14,400
2019	067-500557	Contracts for Program Services	42106004	\$14,400
			Total:	\$61,200

Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council
Page 2 of 3

EXPLANATION

This request is sole source because the University of Kansas Center for Research Inc. is the developer of Results Oriented Management software and the only vendor from which the State of New Hampshire can purchase product access.

The purpose of this request is to enable the Department to have access to a web-based software application that is offered to child welfare agencies across the country for data development and reporting. The Results Oriented Management product provides a simple and inexpensive way to access to child protection and juvenile justice data. Results Oriented Management also allows quicker and better access to high quality data and provides significant time savings for staff.

The federal Administration for Children and Families and the Office of Juvenile Justice and Delinquency Prevention require states to collect and report accurate quantitative and qualitative data and ensure that data is available to the public. The Department is also required to demonstrate that the process is consistently and properly implemented across the entire state and that the process provides a clear way to identify and resolve data quality issues.

Results Oriented Management is a well-tested system that was developed by the University of Kansas and is being used in many states. Originally the system was developed for the New Hampshire Department of Health and Human Services, Division for Children, Youth and Families, which was the first agency to add Juvenile Justice Services' data to that system. The Division of Children, Youth and Families' partner, Casey Family Services invested \$140,000 on New Hampshire's behalf into the development of the New Hampshire Results Oriented Management system. Additionally, the Department invested substantial internal resources to ensure that the system was put in place.

The Results Oriented Management system provides tools that enable the Department to continuously monitor and improve the quality of the data entered into the NH Bridges computer information system. Additionally, the Results Oriented Management system provides regular reports on Federal Performance measures, which are critical to the Department's compliance with federal requirements and avoidance of financial penalties. Additionally, the Department and many federal and state partners are using data at an increasing level to monitor the quality of services and continuously plan for improvements as best practices are identified.

The contract between Casey Family Services and the University of Kansas only covered the initial set up of the system and core reports; however, the ongoing cost of hosting the system was not covered. Without this ongoing access to this product, all data will have to be collected manually using reports produced by running queries in Access. These reports are run by different data analysts using potentially different criteria, which might yield different results and lead to inconsistencies in the reported data. Some of these reports take hours to run.

Without access to this product the Division for Children, Youth and Families will require additional resources to ensure compliance with all the mandated requirements

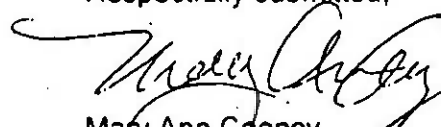
Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council
Page 3 of 3

using a manual system and may incur financial penalties to the Administration for
Children & Families.

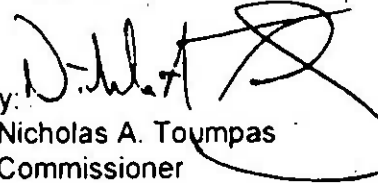
Area Served: Statewide.

Source of Funds: 100% General Funds.

Respectfully submitted,



Mary Ann Cooney
Associate Commissioner

Approved By: 
Nicholas A. Toumpas
Commissioner



STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY
27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doit

Steven J. Kelleher
Acting Commissioner

February 4, 2014

Nicholas Toumpas, Commissioner
State of New Hampshire
Department of Health and Human Services
129 Pleasant Street
Concord, NH 03301-3857

Dear Commissioner Toumpas:

This letter represents formal notification that the Department of Information Technology (DoIT) has approved your agency's request to enter into a contract with the University of Kansas Center for Research, Inc. (KUCR), Youngberg Hall, 2385 Irving Hill Road, Lawrence KS 66045, for the services described below and referenced as DoIT No. 2014-138.

The purpose of this contract is to enable the Division for Children, Youth, and Families to utilize the KUCR Result Oriented Management (ROM) web-based software application for the provision of data development and reporting, in an amount not to exceed \$61,200, effective January 1, 2015, or date of Governor and Executive Council approval, whichever is later, through June 30, 2019. The Result Oriented Management application provides a simple, efficient, and inexpensive way to access juvenile justice data resulting in significant time savings for staff.

A copy of this letter should accompany the Department of Health and Human Services' submission to the Governor and Executive Council for approval.

Sincerely,

A handwritten signature in cursive script that reads "Steven J. Kelleher".

Steven J. Kelleher

SJK/lm
Contract 2014-138

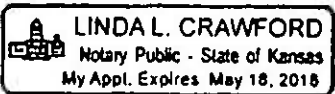
cc: Eric Borrin, DHHS
Leslie Mason, DoIT

Subject: Results Oriented Management (ROM)

CONTRACT 2014-138
AGREEMENT - PART I

AGREEMENT
The State of New Hampshire and the Contractor hereby mutually agree as follows:
GENERAL PROVISIONS

I. IDENTIFICATION.

1.1 State Agency Name Department of Health & Human Services Division for Children, Youth & Families		1.2 State Agency Address 129 Pleasant St Concord, NH 03301	
1.3 Contractor Name University of Kansas Center for Research, Inc.		1.4 Contractor Address 2385 Irving Hill Road Lawrence, KS 66045	
1.5 Contractor Phone Number (785) 864-3441	1.6 Account Number	1.7 Completion Date June 30, 2019	1.8 Price Limitation \$61,200
1.9 Contracting Officer for State Agency Eric D. Borrin		1.10 State Agency Telephone Number (603) 271-9558	
1.11 Contractor Signature <i>Kristi M. Billinger</i>		1.12 Name and Title of Contractor Signatory Kristi Billinger Director, Research Administration	
1.13 Acknowledgement: State of <u>KS</u> , County of <u>Douglas</u> On <u>2/10/15</u> , before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.			
1.13.1 Signature of Notary Public or Justice of the Peace <i>Linda L. Crawford</i> [Seal]			
1.13.2 Name and Title of Notary or Justice of the Peace			
1.14 State Agency Signature <i>Mary Ann Cooney</i>		1.15 Name and Title of State Agency Signatory <i>Mary Ann Cooney</i> Associate Commissioner	
1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.17 Approval by the Attorney General (Form, Substance and Execution) By: <i>Megan A. York</i> On: <u>2/10/15</u>			
1.18 Approval by the Governor and Executive Council By: _____ On: _____			

2. EMPLOYMENT OF CONTRACTOR/SERVICES TO BE PERFORMED. The State of New Hampshire, acting through the agency identified in block 1.1 ("State"), engages contractor identified in block 1.3 ("Contractor") to perform, and the Contractor shall perform, the work or sale of goods, or both, identified and more particularly described in the attached EXHIBIT A which is incorporated herein by reference ("Services").

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, this Agreement, and all obligations of the parties hereunder, shall not become effective until the date the Governor and Executive Council approve this Agreement ("Effective Date").
3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor must complete all Services by the Completion Date specified in block 1.7.

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including, without limitation, the continuance of payments hereunder, are contingent upon the availability and continued appropriation of funds, and in no event shall the State be liable for any payments hereunder in excess of such available appropriated funds. In the event of a reduction or termination of appropriated funds, the State shall have the right to withhold payment until such funds become available, if ever, and shall have the right to terminate this Agreement immediately upon giving the Contractor notice of such termination. The State shall not be required to transfer funds from any other account to the Account identified in block 1.6 in the event funds in that Account are reduced or unavailable.

5. CONTRACT PRICE/PRICE LIMITATION/PAYMENT.

5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT B which is incorporated herein by reference.
5.2 The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete compensation to the Contractor for the Services. The State shall have no liability to the Contractor other than the contract price.
5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.

5.4 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8.

6. COMPLIANCE BY CONTRACTOR WITH LAWS AND REGULATIONS/ EQUAL EMPLOYMENT OPPORTUNITY.

6.1 In connection with the performance of the Services, the Contractor shall comply with all statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal opportunity laws. In addition, the Contractor shall comply with all applicable copyright laws.
6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of race, color, religion, creed, age, sex, handicap, sexual orientation, or national origin and will take affirmative action to prevent such discrimination.
6.3 If this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all the provisions of Executive Order No. 11246 ("Equal Employment Opportunity"), as supplemented by the regulations of the United States Department of Labor (41 C.F.R. Part 60), and with any rules, regulations and guidelines as the State of New Hampshire or the United States issue to implement these regulations. The Contractor further agrees to permit the State or United States access to any of the Contractor's books, records and accounts for the purpose of ascertaining compliance with all rules, regulations and orders, and the covenants, terms and conditions of this Agreement.

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor warrants that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.
7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire, and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this Agreement. This provision shall survive termination of this Agreement.
7.3 The Contracting Officer specified in block 1.9, or his or her successor, shall be the State's representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer's decision shall be final for the State.

8. EVENT OF DEFAULT/REMEDIES.

8.1 Any one or more of the following acts or omissions of the Contractor shall constitute an event of default hereunder ("Event of Default");

8.1.1 failure to perform the Services satisfactorily or on schedule;

8.1.2 failure to submit any report required hereunder; and/or

8.1.3 failure to perform any other covenant, term or condition of this Agreement.

8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:

8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) days from the date of the notice; and if the Event of Default is not timely remedied, terminate this Agreement, effective two (2) days after giving the Contractor notice of termination;

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall never be paid to the Contractor;

8.2.3 set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or

8.2.4 treat the Agreement as breached and pursue any of its remedies at law or in equity, or both.

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

9.1 As used in this Agreement, the word "data" shall mean all information and things developed or obtained during the performance of, or acquired or developed by reason of, this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.

9.2 All data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason.

9.3 Confidentiality of data shall be governed by N.H. RSA chapter 91-A or other existing law. Disclosure of data requires prior written approval of the State.

10. TERMINATION. In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall deliver to the Contracting Officer, not later than fifteen (15) days after the date of termination, a report ("Termination Report") describing in detail all Services performed, and the contract price earned, to and including the date of termination. The form, subject matter, content, and number of copies of the Termination

Report shall be identical to those of any Final Report described in the attached EXHIBIT A.

11. CONTRACTOR'S RELATION TO THE STATE. In the performance of this Agreement the Contractor is in all respects an independent contractor, and is neither an agent nor an employee of the State. Neither the Contractor nor any of its officers, employees, agents or members shall have authority to bind the State or receive any benefits, workers' compensation or other emoluments provided by the State to its employees.

12. ASSIGNMENT/DELEGATION/SUBCONTRACTS. The Contractor shall not assign, or otherwise transfer any interest in this Agreement without the prior written consent of the N.H. Department of Administrative Services. None of the Services shall be subcontracted by the Contractor without the prior written consent of the State.

13. INDEMNIFICATION. The Contractor shall defend, indemnify and hold harmless the State, its officers and employees, from and against any and all losses suffered by the State, its officers and employees, and any and all claims, liabilities or penalties asserted against the State, its officers and employees, by or on behalf of any person, on account of, based or resulting from, arising out of (or which may be claimed to arise out of) the acts or omissions of the Contractor. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant in paragraph 13 shall survive the termination of this Agreement.

14. INSURANCE.

14.1 The Contractor shall, at its sole expense, obtain and maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:

14.1.1 comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$250,000 per claim and \$2,000,000 per occurrence; and

14.1.2 fire and extended coverage insurance covering all property subject to subparagraph 9.2 herein, in an amount not less than 80% of the whole replacement value of the property.

14.2 The policies described in subparagraph 14.1 herein shall be on policy forms and endorsements approved for use in the State of New Hampshire by the N.H. Department of Insurance, and issued by insurers licensed in the State of New Hampshire.

14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or his or her successor, a certificate(s) of insurance for all insurance required under this Agreement. Contractor shall also furnish to the Contracting Officer identified in block 1.9, or his or her successor, certificate(s) of insurance for all renewal(s) of insurance required under this Agreement no later than fifteen (15) days prior to the expiration date of each of the insurance policies. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference. Each

Contractor Initials: Kym P
Date: 12/19/14

certificate(s) of insurance shall contain a clause requiring the insurer to endeavor to provide the Contracting Officer identified in block 1.9, or his or her successor, no less than ten (10) days prior written notice of cancellation or modification of the policy.

15. WORKERS' COMPENSATION.

15.1 By signing this agreement, the Contractor agrees, certifies and warrants that the Contractor is in compliance with or exempt from, the requirements of N.H. RSA chapter 281-A ("Workers' Compensation").

15.2 To the extent the Contractor is subject to the requirements of N.H. RSA chapter 281-A, Contractor shall maintain, and require any subcontractor or assignee to secure and maintain, payment of Workers' Compensation in connection with activities which the person proposes to undertake pursuant to this Agreement. Contractor shall furnish the Contracting Officer identified in block 1.9, or his or her successor, proof of Workers' Compensation in the manner described in N.H. RSA chapter 281-A and any applicable renewal(s) thereof, which shall be attached and are incorporated herein by reference. The State shall not be responsible for payment of any Workers' Compensation premiums or for any other claim or benefit for Contractor, or any subcontractor or employee of Contractor, which might arise under applicable State of New Hampshire Workers' Compensation laws in connection with the performance of the Services under this Agreement.

16. WAIVER OF BREACH. No failure by the State to enforce any provisions hereof after any Event of Default shall be deemed a waiver of its rights with regard to that Event of Default, or any subsequent Event of Default. No express failure to enforce any Event of Default shall be deemed a waiver of the right of the State to enforce each and all of the provisions hereof upon any further or other Event of Default on the part of the Contractor.

17. NOTICE. Any notice by a party hereto to the other party shall be deemed to have been duly delivered or given at the time of mailing by certified mail, postage prepaid, in a United States Post Office addressed to the parties at the addresses given in blocks 1.2 and 1.4, herein.

18. AMENDMENT. This Agreement may be amended, waived or discharged only by an instrument in writing signed by the parties hereto and only after approval of such amendment, waiver or discharge by the Governor and Executive Council of the State of New Hampshire.

19. CONSTRUCTION OF AGREEMENT AND TERMS.

This Agreement shall be construed in accordance with the laws of the State of New Hampshire, and is binding upon and inures to the benefit of the parties and their respective successors and assigns. The wording used in this Agreement is the wording chosen by the parties to express their mutual intent, and no rule of construction shall be applied against or in favor of any party.

20. THIRD PARTIES. The parties hereto do not intend to benefit any third parties and this Agreement shall not be construed to confer any such benefit.

21. HEADINGS. The headings throughout the Agreement are for reference purposes only, and the words contained therein shall in no way be held to explain, modify, amplify or aid in the interpretation, construction or meaning of the provisions of this Agreement.

22. SPECIAL PROVISIONS. Additional provisions set forth in the attached EXHIBIT C are incorporated herein by reference.

23. SEVERABILITY. In the event any of the provisions of this Agreement are held by a court of competent jurisdiction to be contrary to any state or federal law, the remaining provisions of this Agreement will remain in full force and effect.

24. ENTIRE AGREEMENT. This Agreement, which may be executed in a number of counterparts, each of which shall be deemed an original, constitutes the entire Agreement and understanding between the parties, and supersedes all prior Agreements and understandings relating hereto.

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TERMS AND DEFINITIONS

The following general contracting terms and definitions apply except as specifically noted elsewhere in this document.

Acceptance	Notice from the State that a Deliverable has satisfied Acceptance Test or Review.
Acceptance Letter	An Acceptance Letter provides notice from the State that a Deliverable has satisfied Acceptance Tests or Review.
Acceptance Test Plan	The Acceptance Test Plan provided by the Vendor and agreed to by the State that describes at a minimum, the specific Acceptance process, criteria, and Schedule for Deliverables.
Acceptance Test and Review	Testis performed to determine that no Defects exist in the application Software or the System
Access Control	Supports the management of permissions for logging onto a computer or network
Agreement	A contract duly executed and legally binding.
Appendix	Supplementary material that is collected and appended at the back of a document
Audit Trail Capture and Analysis	Supports the identification and monitoring of activities within an application or system
Best and Final Offer (BAFO)	For negotiated procurements, a Vendor's final offer following the conclusion of discussions.
CCP	Change Control Procedures
CR	Change Request
COTS	Commercial Off-The-Shelf Software
CM	Configuration Management
Certification	The Vendor's written declaration with full supporting and written Documentation (including without limitation test results as applicable) that the Vendor has completed development of the Deliverable and certified its readiness for applicable Acceptance Testing or Review.
Change Control	Formal process for initiating changes to the proposed solution or process once development has begun.
Change Order	Formal documentation prepared for a proposed change in the Specifications.
Completion Date	End date for the Contract
Confidential Information	Information required to be kept Confidential from unauthorized disclosure <i>under the Contract</i>
Contract	This Agreement between the State of New Hampshire and a Vendor, which creates binding obligations for each party to perform as specified in the Contract Documents.
Contract Conclusion	Refers to the conclusion of the Contract, for any reason, including but not limited to, the successful Contract completion, termination for convenience, or termination for default.
Contract Documents	Documents that comprise this Contract (See Contract Agreement, Section 1.1)

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Contract Managers	The persons identified by the State and the Vendor who shall be responsible for all contractual authorization and administration of the Contract. These responsibilities shall include but not be limited to processing Contract Documentation, obtaining executive approvals, tracking costs and payments, and representing the parties in all Contract administrative activities. (See Section 4: <i>Contract Management</i>)
Contracted Vendor/Vendor	The Vendor whose proposal or quote was awarded the Contract with the State and who is responsible for the Services and Deliverables of the Contract.
Conversion Test	A test to ensure that a Data conversion process correctly takes Data from a legacy system and successfully converts it to a form that can be used by the new System.
COTS	Commercial off the Shelf
Cure Period	The thirty (30) day period following written notification of a default within which a contracted vendor must cure the default identified.
Custom Code	Code developed by the Vendor specifically for this project for the State of New Hampshire
Custom Software	Software developed by the Vendor specifically for this project for the State of New Hampshire
Data	State's records, files, forms, Data and other documents or information, in either electronic or paper form, that will be used /converted by the Vendor during the Contract Term
DBA	Database Administrator
Deficiencies/Defects	<p>A failure, deficiency or defect in a Deliverable resulting in a Deliverable, the Software, or the System, not conforming to its Specifications.</p> <p>Class A Deficiency – Software - Critical, does not allow System to operate, no work around, demands immediate action; <i>Written Documentation</i> - missing significant portions of information or unintelligible to State; <i>Non Software</i> - Services were inadequate and require re-performance of the Service.</p> <p>Class B Deficiency – Software - important, does not stop operation and/or there is a work around and user can perform tasks; <i>Written Documentation</i> - portions of information are missing but not enough to make the document unintelligible; <i>Non Software</i> - Services were deficient, require reworking, but do not require re-performance of the Service.</p> <p>Class C Deficiency – Software - minimal, cosmetic in nature, minimal effect on System, low priority and/or user can use System; <i>Written Documentation</i> - minimal changes required and of minor editing nature; <i>Non Software</i> - Services require only minor reworking and do not require re-performance of the Service.</p>
Deliverable	A Deliverable is any Written, Software, or Non-Software Deliverable (letter, report, manual, book, other), provided by the

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	Vendor to the State or under the terms of a Contract requirement.
Department	An agency of the State
Department of Information Technology (DoIT)	The Department of Information Technology established under RSA 21-R by the Legislature effective September 5, 2008.
Documentation	All information that describes the installation, operation, and use of the Software, either in printed or electronic format.
Digital Signature	Guarantees the unaltered state of a file
Effective Date	The Contract and all obligations of the parties hereunder shall become effective on the date the Governor and the Executive Council of the State of New Hampshire approves the Contract
Encryption	Supports the encoding of data for security purposes
Enhancements	Updates, additions, modifications to, and new releases for the Software, and all changes to the Documentation as a result of Enhancements, including, but not limited to, Enhancements produced by Change Orders
Firm Fixed Price Contract	A Firm-Fixed-Price Contract provides a price that is not subject to increase, i.e., adjustment on the basis of the Vendor's cost experience in performing the Contract
Fully Loaded	Rates are inclusive of all allowable expenses, including, but not limited to: meals, hotel/housing, airfare, car rentals, car mileage, and out of pocket expenses
GAAP	Generally Accepted Accounting Principles
Governor and Executive Council	The New Hampshire Governor and Executive Council.
Harvest	Software to archive and/or control versions of software
Identification and Authentication	Supports obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users
Implementation	The process for making the System fully operational for processing the Data.
Implementation Plan	Sets forth the transition from development of the System to full operation, and includes without limitation, training, business and technical procedures.
Information Technology (IT)	Refers to the tools and processes used for the gathering, storing, manipulating, transmitting, sharing, and sensing of information including, but not limited to, Data processing, computing, information systems, telecommunications, and various audio and video technologies.
Input Validation	Ensure the application is protected from buffer overflow, cross-site scripting, SQL injection, and canonicalization
Intrusion Detection	Supports the detection of illegal entrance into a computer system
Invoking Party	In a dispute, the party believing itself aggrieved
Key Project Staff	Personnel identified by the State and by the contracted Vendor as essential to work on the Project.

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Licensee	The State of New Hampshire
Non Exclusive Contract	A contract executed by the State that does not restrict the State from seeking alternative sources for the Deliverables or Services provided under the Contract.
Non-Software Deliverables	Deliverables that are not Software Deliverables or Written Deliverables, e.g., meetings, help support, services, other
Normal Business Hours	Normal Business Hours – 8:00 a.m. to 5:00 p.m. EST, Monday through Friday excluding State of New Hampshire holidays. State holidays are: New Year's Day, Martin Luther King Day, President's Day, Memorial Day, July 4 th , Labor Day, Veterans Day, Thanksgiving Day, the day after Thanksgiving Day, and Christmas Day. Specific dates will be provided
Notice to Proceed (NTP)	The State Contract Manager's written direction to the Vendor to begin work on the Contract on a given date and time
Open Data Formats	A data format based on an underlying Open Standard.
Open Source Software	Software that guarantees the user unrestricted use of the Software as defined in RSA 21-R:10 and RSA 21-R:11.
Open Standards	Specifications for the encoding and transfer of computer data that is defined in RSA 21-R:10 and RSA 21-R:13.
Operating System	System is fully functional, all Data has been loaded into the System, is available for use by the State in its daily operations.
Operational	Operational means that the System is operating and fully functional, all Data has been loaded; the System is available for use by the State in its daily operations, and the State has issued an Acceptance Letter.
Order of Precedence	The order in which Contract/Documents control in the event of a conflict or ambiguity. A term or condition in a document controls over a conflicting or ambiguous term or condition in a document that is lower in the Order of Precedence
Project	The planned undertaking regarding the entire subject matter of an RFP and Contract and the activities of the parties related hereto.
Project Team	The group of State employees and contracted Vendor's personnel responsible for managing the processes and mechanisms required such that the Services are procured in accordance with the Work Plan on time, on budget and to the required specifications and quality
Project Management Plan	A document that describes the processes and methodology to be employed by the Vendor to ensure a successful Project.
Project Managers	The persons identified who shall function as the State's and the Vendor's representative with regard to Review and Acceptance of Contract Deliverables, invoice sign off, and review and approval of Change Requests (CR) utilizing the Change Control Procedures (CCP)
Project Staff	State personnel assigned to work with the Vendor on the Project
Proposal	The submission from a Vendor in response to the Request for a Proposal or Statement of Work
Regression Test Plan	A plan integrated into the Work Plan used to ascertain whether

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	fixes to Defects have caused errors elsewhere in the application/process.
Review	The process of reviewing Deliverables for Acceptance
Review Period	The period set for review of a Deliverable. If none is specified then the Review Period is five (5) business days.
RFP (Request for Proposal)	A Request For Proposal solicits Proposals to satisfy State functional requirements by supplying data processing product and/or Service resources according to specific terms and conditions
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network
SaaS- Software as a Service	Occurs where the COTS application is hosted but the State does not own the license or the code. The vendor allows the use of the software as a part of their service.
Schedule	The dates described in the Work Plan for deadlines for performance of Services and other Project events and activities under the Contract
Service Level Agreement (SLA)	A signed agreement between the Vendor and the State specifying the level of Service that is expected of, and provided by, the Vendor during the term of the Contract.
Services	The work or labor to be performed by the Vendor on the Project as described in the Contract.
Software	All custom Software and COTS Software provided by the Vendor under the Contract
Software Deliverables	COTS Software and Enhancements
Software License	Licenses provided to the State under this Contract
Solution	The Solution consists of the total Solution, which includes, without limitation, Software and Services, addressing the requirements and terms of the Specifications. The off-the-shelf Software and configured Software customized for the State provided by the Vendor in response to this RFP.
Specifications	The written Specifications that set forth the requirements which include, without limitation, this RFP, the Proposal, the Contract, any performance standards, Documentation, applicable State and federal policies, laws and regulations, State technical standards, subsequent State-approved Deliverables, and other Specifications and requirements described in the Contract Documents. The Specifications are, by this reference, made a part of the Contract as though completely set forth herein.
State	STATE is defined as: State of New Hampshire Department of Health & Human Services 129 Pleasant St. Concord, NH 03301 Reference to the term "State" shall include applicable agencies
Statement of Work (SOW)	A Statement of Work clearly defines the basic requirements and objectives of a Project. The Statement of Work also defines a high level view of the architecture, performance and design requirements, the roles and responsibilities of the State and the

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	Vendor. The Contract Agreement SOW defines the results that the Vendor remains responsible and accountable for achieving.
State's Confidential Records	State's information regardless of its form that is not subject to public disclosure under applicable state and federal laws and regulations, including but not limited to <u>RSA Chapter 91-A</u>
State Data	Any information contained within State systems in electronic or paper format.
State Fiscal Year (SFY)	The New Hampshire State Fiscal Year extends from July 1 st through June 30 th of the following calendar year
State Project Leader	State's representative with regard to Project oversight
State's Project Manager (PM)	State's representative with regard to Project management and technical matters. Agency Project Managers are responsible for review and Acceptance of specific Contract Deliverables, invoice sign off, and Review and approval of a Change Proposal (CP).
Subcontractor	A person, partnership, or company not in the employment of, or owned by, the Vendor, which is performing Services under this Contract under a separate Contract with or on behalf of the Vendor
System	All Software, specified hardware, and interfaces and extensions, integrated and functioning together in accordance with the Specifications.
TBD	To Be Determined
Technical Authorization	Direction to a Vendor, which fills in details, clarifies, interprets, or specifies technical requirements. It must be: (1) consistent with Statement of Work within statement of Services; (2) not constitute a new assignment; and (3) not change the terms, documents of specifications of the Contract Agreement
Test Plan	A plan, integrated in the Work Plan, to verify the code (new or changed) works to fulfill the requirements of the Project. It may consist of a timeline, a series of tests and test data, test scripts and reports for the test results as well as a tracking mechanism.
Term	Period of the Contract from the Effective Date through termination.
Transition Services	Services and support provided when the contracted vendor is supporting System changes.
UAT	User Acceptance Test
Unit Test	Developers create their own test data and test scenarios to verify the code they have created or changed functions properly as defined.
User Acceptance Testing	Tests done by knowledgeable business users who are familiar with the scope of the Project. They create/develop test cases to confirm the System was developed according to specific user requirements. The test cases and scripts/scenarios should be mapped to business requirements outlined in the user requirements documents.
User Management	Supports the administration of computer, application and network accounts within an organization
Vendor/ Contracted Vendor	The Vendor whose proposal or quote was awarded the Contract with

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	the State and who is responsible for the Services and Deliverables of the Contract.
Verification	Supports the confirmation of authority to enter a computer system, application or network
Walk Through	A step-by-step review of a Specification, usability features or design before it is handed off to the technical team for development
Warranty Period	A period of coverage during which the Contracted Vendor is responsible for providing a guarantee for products and Services delivered as defined in the Contract.
Warranty Releases	Code releases that are done during the Warranty Period.
Warranty Services	The Services to be provided by the Vendor during the Warranty Period.
Work Hours	Vendor personnel shall work normal business hours between 8:00 am and 5:00 pm, eight (8) hour days, forty (40) hour weeks, excluding State of New Hampshire holidays. Changes to this schedule may be made upon agreement with the State Project Manager.
Work Plan	The overall plan of activities for the Project created in accordance with the Contract. The plan and delineation of tasks, activities and events to be performed and Deliverables to be produced under the Project as specified in Appendix C. The Work Plan shall include a detailed description of the Schedule, tasks/activities, Deliverables, critical events, task dependencies, and the resources that would lead and/or participate on each task.
Written Deliverables	Non-Software written deliverable Documentation (letter, report, manual, book, other) provided by the Vendor either in paper or electronic format.

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INTRODUCTION

This Contract is by and between the State of New Hampshire, acting through the Department of Health & Human Services (hereinafter referred to as the "State"), and the University of Kansas Center for Research, Inc., a nonprofit corporation affiliated with the University of Kansas, (hereinafter referred to as the "Vendor"), with its principal place of business at 2385 Irving Hill Road, Lawrence, Kansas 66045.

The Vendor shall host Result Oriented Management system software to produce Juvenile Justice System (JJS) specific reports that will enhance the ability to track and analyze trends, needs and services for the New Hampshire JJS population. The Result Oriented Management system provides tools that enable the agency to continuously monitor and improve the quality of the data input into the NH Bridges computer information system, which is vital to the Department's successful operation and Continuous Quality Improvement activities. Additionally, the Result Oriented Management system provides regular reports on Federal Performance measures, which are critical to the Department's compliance with federal requirements. Costs related to the maintenance, support, and development of the ROM system are handled in a separate contract.

RECITALS

The State desires to have the Vendor provide a software system and associated research services for the Department of Health & Human Services;

The Vendor wishes to provide a software system and associated research services for the State.

The parties therefore agree as follows:

1. CONTRACT DOCUMENTS

1.1. CONTRACT DOCUMENTS

This Contract is comprised of the following documents (Contract Documents):

- A. Part 1 – State Terms and Conditions contained in the Form P-37
- B. Part 2 – The Contract Agreement
- C. Part 3 – Consolidated Exhibits
 - Exhibit A- Contract Deliverables
 - Exhibit B- Price and Payment Schedule
 - Exhibit C- Special Provisions
 - Exhibit D- Administrative Services
 - Exhibit E- Implementation Services
 - Exhibit F- Testing Services
 - Exhibit G- Maintenance and Support Services
 - Exhibit H- Requirement Responses
 - Exhibit I- Work Plan
 - Exhibit J- Software License and related Terms
 - Exhibit K- Warranty and Warranty Services
 - Exhibit L- Training Services
 - Exhibit M- Agency RFP with Addendums, by reference
 - Exhibit N- The Vendor Proposal, by reference

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Exhibit O- Certificates and Attachments

1.2. ORDER OF PRECEDENCE

In the event of conflict or ambiguity among any of the text of the Contract Documents, the following Order of Precedence shall govern:

- a. *The State of New Hampshire Terms and Conditions, Form P-37-Contract Agreement Part 1*
- b. *State of New Hampshire, Department of Health & Human Services Contract 2014-138.*

1.3. CONTRACT TERM

The Contract and all obligations of the parties hereunder shall become effective after full execution by the parties, and the receipt of required governmental approvals, including, but not limited to, Governor and Executive Council of the State of New Hampshire approval ("Effective Date").

The Contract shall begin on the Effective Date and extend through June 30, 2019. The Term may be extended up to seven (7) years, ("Extended Term") at the sole option of the State, subject to the parties prior written agreement on applicable fees for each extended term, up to but not beyond June 30, 2026.

The Vendor shall commence work upon issuance of a Notice to Proceed by the State.

The State does not require the Vendor to commence work prior to the Effective Date; however, if the Vendor commences work prior to the Effective Date and a Notice to Proceed, such work shall be performed at the sole risk of the Vendor. In the event that the Contract does not become effective, the State shall be under no obligation to pay the Vendor for any costs incurred or services performed; however, if the Contract becomes effective, all costs incurred prior to the Effective Date shall be paid under the terms of the Contract.

The Vendor shall use all reasonable efforts to complete its obligations under the Contract in accordance with the dates outlined in Form P-37, General Provisions.

2. COMPENSATION

2.1. CONTRACT PRICE

The Contract price, method of payment, and terms of payment are identified and more particularly described in Contract Exhibit B: *Price and Payment Schedule*.

2.2. NON-EXCLUSIVE, FIRM FIXED PRICE (FFP) CONTRACT

This is a Non-Exclusive Firm Fixed Price (FFP) Contract with price and term limitations as set forth in the Contract.

The State reserves the right, at its discretion, to retain other contractors to provide any of the services or deliverables identified under this procurement or make an award by item, part or portion of an item, group of items, or total proposal. The Vendor shall not be responsible for any delay,

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act, or omission of such other contractors, except that the Vendor shall be responsible for any delay, act, or omission if such delay, act, or omission is caused by or due to the fault of the.

3. CONTRACT MANAGEMENT

The Project will require the coordinated efforts of a Project Team consisting of both the Vendor and State personnel. The Vendor shall provide all necessary resources to perform its obligations under the Contract. The Vendor shall be responsible for managing the Project to its successful completion.

3.1. THE VENDOR'S CONTRACT MANAGER

3.2.1 The Vendor shall assign a Contract Manager who shall be responsible for all Contract authorization and administration. The Vendor's Contract Manager is:

Kristi Billinger
Director, Research Administration
2385 Irving Hill Road, Lawrence, KS 66045
Tel: 785-864-3441
Fax: 785-864-5049
Email: kristib@ku.edu

3.2. THE VENDOR'S PROJECT MANAGER

3.2.2 Contract Project Manager

The Vendor shall assign a Project Manager who meets the requirements of the Contract. The Vendor's selection of the Contract Project Manager shall be subject to the prior written approval of the State. The State's approval process may include, without limitation, at the State's discretion, review of the proposed the Contract Project Manager's resume, qualifications, references, and background checks, and an interview. The State may request removal or reassignment of the Contract Project Manager who, in the sole judgment of the State, is found unacceptable or is not performing to the State's satisfaction.

3.2.2 The Contract Project Manager must be qualified to perform the obligations required of the position under the Contract, shall have full authority to make binding decisions under the Contract, and shall function as the Vendor's representative for all administrative and management matters. The Contract Project Manager shall perform the duties required under the Contract, including, but not limited to, those set forth in Contract Exhibit I, Section 2. The Contract Project Manager must be available to promptly respond during Normal Business Hours within twenty-four (24) hours to inquiries from the State, and be at the site as needed. The Contract Project Manager must work diligently and use his/ her best efforts on the Project.

3.2.3 The Vendor shall notify the State of a change in its assignment of the Contract Project Manager and provide the State with a written justification of the change. State approvals for replacement of the Contract Project Manager shall not be unreasonably withheld. The replacement Contract Project Manager shall have comparable or greater skills than the Contract Project Manager being replaced; meet the requirements of the Contract; and be subject to reference and background checks described above in Contract Agreement Part

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2, Section 3.2.1: *Contract Project Manager*, and in Contract Agreement Part 2, Section 3.6: *Reference and Background Checks*, below. The Vendor shall assign a replacement Contract Project Manager within thirty (30) business days of the departure of the prior the Contract Project Manager, and the Vendor shall continue during the thirty (30) business day period to provide competent Project management services through the assignment of a qualified interim the Contract Project Manager.

3.2.4 Notwithstanding any other provision of the Contract, the State shall have the option, at its discretion, to terminate the Contract, declare the Vendor in default and pursue its remedies at law and in equity, if the Vendor fails to assign a the Contract Project Manager meeting the requirements and terms of the Contract.

3.2.5 The Contract Project Manager is:

Terry Moore
Director of Results Oriented Management
2385 Irving Hill Road, Lawrence, KS 66045
Tel: 785-864-3441
Fax: 785-864-5049
TerryM@KU.edu

3.3. THE CONTRACTED VENDOR KEY PROJECT STAFF

3.3.1 The Vendor shall assign Key Project Staff who meet the requirements of the Contract, and can implement the Software Solution meeting the requirements set forth in RFP Appendix C: *System Requirements and Deliverables*, Table C.1: *System Requirements and Deliverables-Vendor Response Checklist*. The State may conduct reference and background checks on the Vendor Key Project Staff. The State reserves the right to request removal or reassignment of the Vendor's Key Project Staff who are found unacceptable to the State. Any background checks shall be performed in accordance with the Contract Agreement Section 4.10: *Background Checks*.

3.3.2 The Vendor shall notify the State of a change in any the Vendor Key Project Staff commitments and provide the State written justification and of the change. State approvals for replacement of the Vendor Key Project Staff will not be unreasonably withheld. The replacement the Vendor Key Project Staff shall have comparable or greater skills than the Vendor Key Project Staff being replaced; meet the requirements of the Contract, including but not limited to the requirements set forth in RFP Appendix C: *System Requirements and Deliverables* and be subject to reference and background checks described in Contract Agreement-Part 2, Section 3.6: *Reference and Background Checks*,

3.3.3 Notwithstanding any other provision of the Contract to the contrary, the State shall have the option to terminate the Contract, declare the Vendor in default and to pursue its remedies at law and in equity, if the Vendor fails to assign Key Project Staff meeting the requirements and terms of the Contract or if it is dissatisfied with the Vendor's replacement Project staff.

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3.3.3.1 The Vendor Key Project Staff shall consist of the following individuals in the roles identified below:

The Contracted Vendor's Key Project Staff:

Key Member(s)

Title

Terry Moore

Director of Results
Oriented Management

3.4. STATE CONTRACT MANAGER

The State shall assign a Contract Manager who shall function as the State's representative with regard to Contract administration. The State Contract Manager is:

Eric D. Borrin, Director
Department of Health & Human Services
129 Pleasant Street
Concord, NH 03301
Tel: (603) 271-9558
Fax: (603) 271-8431
Email: Eric.Borrin@dhhs.state.nh.us

3.5. STATE PROJECT MANAGER

The State shall assign a Project Manager. The State Project Manager's duties shall include the following:

- a. Leading the Project;
- b. Engaging and managing all the Contracted Vendors;
- c. Managing significant issues and risks.
- d. Reviewing and accepting Contract Deliverables;
- e. Invoice sign-offs;
- f. Review and approval of change proposals; and
- g. Managing stakeholders' concerns.

The State Project Manager is:

Anastasiya B. Vanyukevych, Senior Data Manager
Department of Health & Human Services
Division for Children, Youth and Families
129 Pleasant Street
Concord, NH 03301
Tel: (603) 271-7317
Email: Anastasiya.Vanyukevych@dhhs.state.nh.us

3.6. REFERENCE AND BACKGROUND CHECKS

The State may, at its sole expense, conduct reference and background screening of the Contract Project Manager and the Vendor Key Project Staff. The State shall maintain the confidentiality of background screening results in accordance with the Contract Agreement, Part 2-Section 11: *Use of State's Information, Confidentiality.*

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4. DELIVERABLES

4.1 Vendor Responsibilities

The Vendor shall be solely responsible for meeting all requirements, and terms and conditions specified in this Contract, regardless of whether or not a Subcontractor is used.

The Vendor may subcontract services subject to the provisions of the Contract. The Vendor must submit all information and documentation relating to the Subcontractor, including terms and conditions consistent with this Contract. The State will consider the Vendor to be wholly responsible for the performance of the Contract and the sole point of contact with regard to all contractual matters, including payment of any and all charges resulting from the Contract.

4.2 Deliverables and Services

The Vendor shall provide the State with the deliverables and services in accordance with the time frames in the Work Plan for this Contract, and as more particularly described in Contract Exhibit A: *Contract Deliverables*.

Upon its submission of a deliverable or service, the Vendor represents that it has performed its obligations under the Contract associated with the deliverable or service.

4.3 Non-Software and Written Deliverables Review and Acceptance

After receiving written certification from the Vendor that a non-software or written deliverable is final, complete, and ready for review, the State will review the deliverable to determine whether it meets the specifications outlined in the Contract. The State will notify the Vendor in writing of its acceptance or rejection of the deliverable within five (5) business days of the State's receipt of the Vendor's written certification. If the State rejects the deliverable, the State shall notify the Vendor of the nature and class of the deficiency and the Vendor shall correct the deficiency within the period identified in the work plan. If no period for the Vendor's correction of the deliverable is identified, the Vendor shall use its best efforts to correct the deficiency in the deliverable within five (5) business days. Upon receipt of the corrected deliverable, the State shall have five (5) business days to review the deliverable and notify the Vendor of its acceptance or rejection thereof, with the option to extend the review period up to five (5) additional business days. If the Vendor fails to correct the deficiency within the allotted period of time, the State may, at its option, continue reviewing the deliverable and require the Vendor to continue until the deficiency is corrected, or immediately terminate the Contract, declare the Vendor in default, and pursue its remedies at law and in equity.

4.4 System/Software Testing and Acceptance

System/Software Testing and Acceptance shall be performed as set forth in the Test Plan and more particularly described in Exhibit F: *Testing Services*.

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4.5 Security

The State must ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of its information technology resources, information, and services. State resources, information, and services must be available on an ongoing basis, with the appropriate infrastructure and security controls to ensure business continuity and safeguard State networks, systems and data.

IT Security involves all functions pertaining to the securing of State data and systems through the creation and definition of security policies, procedures and controls covering such areas as identification, authentication and non-repudiation.

All components of the software shall be reviewed and tested to ensure they protect the State's hardware and software and its related data assets. See *Contract Agreement -Part 3 - Exhibit F: Testing* for detailed information on requirements for Security testing.

5. SOFTWARE

RESERVED

6. WARRANTY

The Vendor shall provide the Warranty and Warranty Services set forth in the Contract, and particularly described in Exhibit K: *Warranty and Warranty Services*.

7. SERVICES

The Vendor shall provide the Services required under the contract documents. All Services shall meet, and be performed, in accordance with the Specifications.

7.1 Administrative Services

The Vendor shall provide the State with the administrative services set forth in the Contract, and particularly described in Exhibit D: *Administrative Services*.

7.2 Implementation Services

The Vendor shall provide the State with the Implementation Services set forth in the Contract, and particularly described in Exhibit E: *Implementation Services*.

7.3 Testing Services

The Vendor shall perform testing Services for the State set forth in the Contract, and particularly described in Exhibit F: *Testing Services*.

8. CHANGE ORDERS

The State may make changes or revisions at any time by written Change Order. The State originated changes or revisions shall be approved by the Department of Information Technology. Within five (5) business days of the Vendor's receipt of a Change Order, the Vendor shall advise the State, in detail, of any impact on cost (e.g., increase or decrease), the schedule, or the Work Plan.

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The Vendor may request a change within the scope of the Contract by written Change Order, identifying any impact on cost, the Schedule, or the Work Plan. The State shall attempt to respond to the Vendor's requested Change Order within five (5) business days. The State Agency, as well as the Department of Information Technology, must approve all Change Orders in writing. The State shall be deemed to have rejected the Change Order if the parties are unable to reach an agreement in writing.

All Change Order requests from the Vendor to the State, and the State acceptance of the Vendor's estimate for a State requested change, will be acknowledged and responded to, either acceptance or rejection, in writing. If accepted, the Change Order(s) shall be subject to the Contract amendment process, as determined to apply by the State.

9. INTELLECTUAL PROPERTY

The Vendor shall own and hold all title and rights in the Results Oriented Software.

In no event shall the Vendor be precluded from developing for it, or for others, materials that are competitive with, or similar to custom software, modifications developed in connection with performance of obligations under the Contract. In addition, the Vendor shall be free to use its general knowledge, skills, experience, and any other ideas, concepts, know-how, and techniques that are acquired or used in the course of its performance under this agreement

10.1 State's Data

All rights, title and interest in State data shall remain with the State.

10.2 Vendor's Materials

Subject to the provisions of this Contract, the Contracted Vendor may develop for itself, or for others, materials that are competitive with, or similar to, the Deliverables. In accordance with the confidentiality provision of this Contract, the Contracted Vendor shall not distribute any products containing or disclose any State Confidential Information. the Contracted Vendor shall be free to use its general knowledge, skills and experience, and any ideas, concepts, know-how, and techniques that are acquired or used in the course of its performance under this Contract, provided that such is not obtained as the result of the deliberate memorization of the State Confidential Information by the Contracted Vendor employees or third party consultants engaged by the Contracted Vendor.

Without limiting the foregoing, the parties agree that the general knowledge referred to herein cannot include information or records not subject to public disclosure under New Hampshire RSA Chapter 91-A, which includes but is not limited to the following: records of grand juries and petit juries; records of parole and pardon boards; personal school records of pupils; records pertaining to internal personnel practices, financial information, test questions, scoring keys and other examination data use to administer a licensing examination, examination for employment, or academic examination and personnel, medical, welfare, library use, video tape sale or rental, and other files containing personally identifiable information that is private in nature.

10.3 State Website Copyright

WWW Copyright and Intellectual Property Rights

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All right, title and interest in the State's WWW site, including copyright to all data and information, shall remain with the State. The State shall also retain all right, title and interest in any user interfaces and computer instructions embedded within the WWW pages. All WWW pages and any other data or information shall, where applicable, display the State's copyright.

10.4 Survival

This Contract Agreement Section 10: *Intellectual Property* shall survive the termination of the Contract.

10. USE OF STATE'S INFORMATION, CONFIDENTIALITY

11.1 Use of State's Information

In performing its obligations under the Contract, the Vendor may gain access to information of the State, including State Confidential Information. "State Confidential Information" shall include, but not be limited to, information exempted from public disclosure under New Hampshire RSA Chapter 91-A: *Access to Public Records and Meetings* (see e.g. RSA Chapter 91-A: 5 *Exemptions*); the Contracted Vendor shall not use the State Confidential Information developed or obtained during the performance of, or acquired, or developed by reason of the Contract, except as directly connected to and necessary for the Vendor's performance under the Contract. State Confidential Information provided to Vendor shall be reduced to written or other tangible form and marked "Confidential." Vendor retains the right to refuse to accept State Confidential Information it deems, in agreement with DHHS, not applicable to its obligations under the Contract.

11.2 State Confidential Information

The Vendor shall maintain the confidentiality of and protect from unauthorized use, disclosure, publication, and reproduction (collectively "release"), all State Confidential Information provided to the Vendor in connection with its performance under the Contract.

Subject to applicable federal or State laws and regulations, Confidential Information shall not include information which: (i) shall have otherwise become publicly available other than as a result of disclosure by the receiving party in breach hereof; (ii) was disclosed to the receiving party on a non-confidential basis from a source other than the disclosing party, which the receiving party believes is not prohibited from disclosing such information as a result of an obligation in favor of the disclosing party; (iii) is developed by the receiving party independently of, or was known by the receiving party prior to, any disclosure of such information made by the disclosing party; or (iv) is disclosed with the written consent of the disclosing party. A receiving party also may disclose Confidential Information to the extent required by law or an order of a court of competent jurisdiction.

Any disclosure of the State Confidential Information shall require the prior written approval of the State. The Vendor shall immediately notify the State if any request, subpoena or other legal process is served upon the Vendor regarding the State Confidential Information, and the Vendor shall cooperate with the State in any effort the State lawfully undertakes to contest the request, subpoena or other legal process, at no additional cost to the State.

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In the event of the unauthorized release of State Confidential Information, the Vendor shall immediately notify the State, and the State may immediately be entitled to pursue any remedy at law and in equity, including, but not limited to, injunctive relief.

11.3 Vendor Confidential Information

Insofar as the Vendor seeks to maintain the confidentiality of its confidential or proprietary information, the Vendor must clearly identify in writing all information it claims to be confidential or proprietary. Notwithstanding the foregoing, the State acknowledges that the Vendor considers the Software and Documentation to be Confidential Information, the Vendor acknowledges that the State is subject to State and federal laws governing disclosure of information including, but not limited to, RSA Chapter 91-A. The State shall maintain the confidentiality of the identified Confidential Information insofar as it is consistent with applicable State and federal laws or regulations, including but not limited to, RSA Chapter 91-A. In the event the State receives a request for the information identified by the Vendor as confidential, the State shall notify the Vendor and specify the date the State will be releasing the requested information. At the request of the State, the Vendor shall cooperate and assist the State with the collection and review of the Vendor's information, at no additional expense to the State. Any effort to prohibit or enjoin the release of the information shall be the Vendor's sole responsibility and at the Vendor's sole expense. If the Vendor fails to obtain a court order enjoining the disclosure, the State shall release the information on the date specified in the State's notice to the Vendor, without any liability to the Vendor.

11.4 Survival

This Contract Agreement Section 11, *Use of State's Information, Confidentiality*, shall survive termination or conclusion of the Contract.

12. LIMITATION OF LIABILITY

12.1. STATE

Subject to applicable laws and regulations, in no event shall the State be liable for any consequential, special, indirect, incidental, punitive, or exemplary damages. Subject to applicable laws and regulations, the State's liability to the Contracted Vendor shall not exceed the total Contract price set forth in Contract Agreement, Section 1.8 of the *Contract Agreement -Part 1-General Provisions*.

Notwithstanding the foregoing and any provision of this Contract to the contrary, in no event does the State waive its sovereign immunity or any applicable defenses or immunities.

12.2. THE VENDOR

Subject to applicable laws and regulations, in no event shall the Vendor be liable for any consequential, special, indirect, incidental, punitive or exemplary damages and the Vendor's liability to the State shall not exceed two times (2X) the total Contract price set forth in Contract Agreement, Section 1.8 of the *Contract Agreement -Part 1-General Provisions*.

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Notwithstanding the foregoing, the limitation of liability in this SOW Section 12.2 shall not apply to the Vendor's indemnification obligations set forth in the *Contract Agreement Part 1-Section 13: Indemnification* and confidentiality obligations in *Contract Agreement-Part 2-Section 11: Use of State's Information, Confidentiality*, which shall be unlimited.

12.3. STATE'S IMMUNITY

Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant shall survive termination or Contract conclusion.

12.4. SURVIVAL

This *Contract Agreement- Part 2-Section 12: Limitation of Liability* shall survive termination or Contract conclusion.

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13. TERMINATION

This Section 13 shall survive the termination or Contract Conclusion.

13.1. TERMINATION FOR DEFAULT

Any one or more of the following acts or omissions of the Vendor shall constitute an event of default hereunder ("Event of Default")

- a. Failure to perform the Services on schedule;
- b. Failure to submit any report required; and/or
- c. Failure to perform any other covenant, term or condition of the Contract

13.2. Upon the occurrence of any Event of Default, the State may take any one or more, or all, of the following actions:

13.2.1. Unless otherwise provided in the Contract, the State shall provide the Vendor written notice of default. The State may terminate the Contract effective two (2) days after giving the Vendor notice of termination, at its sole discretion, treat the Contract as breached and pursue its remedies at law or in equity or both.

13.2.2. Give the Vendor a written notice specifying the Event of Default and suspending all payments to be made under the Contract and ordering that the portion of the Contract price which would otherwise accrue to the Vendor during the period from the date of such notice until such time as the State determines that the Vendor has cured the Event of Default shall not be paid to the Vendor until cured.

13.2.3. Set off against any other obligations the State may owe to the Vendor any damages the State suffers by reason of any Event of Default;

13.2.4. Treat the Contract as breached and pursue any of its remedies at law or in equity, or both.

13.3. The Vendor shall provide the State with written notice of default, and the State shall cure the default within thirty (30) days.

13.4. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the sovereign immunity of the State, which immunity is hereby reserved to the State. This covenant shall survive termination or Contract Conclusion.

13.5. TERMINATION FOR CONVENIENCE

13.5.1. Either party may, at its sole discretion, terminate the Contract for convenience, in whole or in part, by thirty (30) days written notice to the Vendor. In the event of a termination for convenience, the State shall pay the Vendor the agreed upon price, if separately stated in this Contract, for deliverables for which acceptance has been given by the State. Amounts for

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services or deliverables provided prior to the date of termination for which no separate price is stated under the Contract shall be paid, in whole or in part, generally in accordance with Contract Exhibit B, Price and Payment Schedule, of the Contract.

- 13.5.2. During the thirty (30) day period, the Vendor shall wind down and cease Services as quickly and efficiently as reasonably possible, without performing unnecessary services or activities and by minimizing negative effects on the State from such winding down and cessation of Services.

13.6. TERMINATION FOR CONFLICT OF INTEREST

- 13.6.1. The State may terminate the Contract by written notice if it determines that a conflict of interest exists, including but not limited to, a violation by any of the parties hereto of applicable laws regarding ethics in public acquisitions and procurement and performance of Contracts.

In such case, the State shall be entitled to a pro-rated refund of any current development, support, and maintenance costs. The State shall pay all other contracted payments that would have become due and payable if the Vendor did not know, or reasonably did not know, of the conflict of interest.

- 13.6.2. In the event the Contract is terminated as provided above pursuant to a violation by the Vendor, the State shall be entitled to pursue the same remedies against the Vendor as it could pursue in the event of a default of the Contract by the Vendor.

13.7. TERMINATION PROCEDURE

- 13.7.1. Upon termination of the Contract, the State, in addition to any other rights provided in the Contract, may require the Vendor to deliver to the State any property, including without limitation, software and written deliverables, for such part of the Contract as has been terminated.

- 13.7.2. After receipt of a notice of termination, and except as otherwise directed by the State, the Vendor shall:

13.7.2.1. Stop work under the Contract on the date, and to the extent specified, in the notice;

13.7.2.2. Promptly, but in no event longer than thirty (30) days after termination, terminate its orders and subcontracts related to the work which has been terminated and settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the State to the extent required, which approval or ratification shall be final for the purpose of this Section;

13.7.2.3. Take such action as the State directs, or as necessary to preserve and protect the property related to the Contract which is in the

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possession of the Contracted Vendor and in which the State has an interest;

13.7.2.4. Transfer title to the State and deliver in the manner, at the times, and to the extent directed by the State, any property which is required to be furnished to the State and which has been accepted or requested by the State; and

13.7.2.5. Provide written Certification to the State that the Contracted Vendor has surrendered to the State all said property.

13.7.2.6. Assist in Transition Services, as reasonably requested by the State at no additional cost.

14. CHANGE OF OWNERSHIP

In the event that the Vendor should change ownership for any reason whatsoever, the State shall have the option of continuing under the Contract with the Vendor, its successors or assigns for the full remaining term of the Contract; continuing under the Contract with the Vendor, its successors or assigns for such period of time as determined necessary by the State; or immediately terminate the Contract without liability to the Vendor, its successors or assigns.

15. ASSIGNMENT, DELEGATION AND SUBCONTRACTS

15.1. With the exception of the subcontract allowance noted below, the Vendor shall not assign, delegate, subcontract, or otherwise transfer any of its interest, rights, or duties under the Contract without the prior written consent of the State. Such consent shall not be unreasonably withheld. Any attempted transfer, assignment, delegation, or other transfer made without the State's prior written consent shall be null and void, and may constitute an event of default at the sole discretion of the State. Exception for subcontract to LHHeimbach, Inc.: Contracted Vendor is hereby approved to subcontract a portion of the work under the contract to LHHeimbach, Inc.

15.2. The Vendor shall remain wholly responsible for performance of the entire Contract even if assignees, delegates, Subcontractors, or other transferees ("Assigns") are used, unless otherwise agreed to in writing by the State, and the assignees fully assumes in writing any and all obligations and liabilities under the Contract from the Effective Date. In the absence of a written assumption of full obligations and liabilities of the Contract, any permitted assignment, delegation, subcontract, or other transfer shall neither relieve the Vendor of any of its obligations under the Contract nor affect any remedies available to the State against the Vendor that may arise from any event of default of the provisions of the contract. The State shall consider the Vendor to be the sole point of contact with regard to all contractual matters, including payment of any and all charges resulting from the Contract.

15.3. Notwithstanding the foregoing, nothing herein shall prohibit the Vendor from assigning the Contract to the successor of all or substantially all of the assets or business of the Vendor provided that the successor fully assumes in writing all obligations and responsibilities under the Contract. In the event that the Vendor should change ownership, as permitted under this Contract Agreement Part 2, Section 14: Change of

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Ownership, the State shall have the option to continue under the Contract with the Vendor, its successors or assigns for the full remaining term of the Contract; continue under the Contract with the Vendor, its successors or assigns for such period of time as determined necessary by the State; or immediately terminating the Contract without liability to the Vendor, its successors or assigns.

16. DISPUTE RESOLUTION

Prior to the filing of any formal proceedings with respect to a dispute (other than an action seeking injunctive relief with respect to intellectual property rights or Confidential Information), the party believing itself aggrieved (the "Invoking Party") shall call for progressive management involvement in the dispute negotiation by written notice to the other party. Such notice shall be without prejudice to the Invoking Party's right to any other remedy permitted under the Contract.

The parties shall use reasonable efforts to arrange personal meetings and/or telephone conferences as needed, at mutually convenient times and places, between negotiators for the parties at the following successive management levels, each of which shall have a period of allotted time as specified below in which to attempt to resolve the dispute:

16.1. Dispute Resolution Responsibility and Schedule Table

LEVEL	VENDOR	STATE	CUMULATIVE ALLOTTED TIME
Primary	Project Manager	State Project Manager (PM)	5 Business Days
First	Director, Research Administration	State Project Management Team (PMT)	10 Business Days
Second	Director, Research Administration	Commissioner	15 Business Days

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The allotted time for the first level negotiations shall begin on the date the Invoking Party's notice is received by the other party. Subsequent allotted time is days from the date that the original Invoking Party's notice is received by the other party.

17. CODE

The Vendor agrees to provide a copy of any Custom Code developed for the State of New Hampshire that populates ROM Reports Base Working Tables from New Hampshire data for archival in the DoIT Harvest System. If created, code updates shall be provided on a quarterly basis as SQL files and placed on New Hampshire's SFTP drop folder which is concurrently used for New Hampshire's secured transmission of data to Vendor. New Hampshire will provide necessary credentials for Vendor to create SQL files in the drop folder.

18. GENERAL PROVISIONS

18.1. Travel Expenses

The State will not be responsible for any travel or out of pocket expenses incurred in the performance of the Services.

The Vendor must assume all travel and related expenses by "fully loading" the proposed labor rates to include, but not limited to: meals, hotel/housing, airfare, car rentals, car mileage, and out of pocket expenses.

18.2. Shipping and Delivery Fee Exemption

The State will not pay for any shipping or delivery fees unless specifically itemized in the Contract.

18.3. Project Workspace and Office Equipment

The State agency will work with the Vendor to determine the requirements for providing all necessary workspace and office equipment, including desktop computers for the Vendor's staff.

18.4. Access/Cooperation

As applicable, and reasonably necessary, and subject to the applicable State and federal laws and regulations and restrictions imposed by third parties upon the State, the State shall provide the Vendor with access to all program files, libraries, personal computer-based systems, software packages, network systems, security systems, and hardware as required to complete contracted services.

The State shall use reasonable efforts to provide approvals, authorizations, and decisions reasonably necessary to allow the Vendor to perform its obligations under the Contract.

18.5. Required Work Procedures

All work done must conform to standards and procedures established by the Department of Information Technology and the State.

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18.6. Computer Use

In consideration for receiving access to and use of the computer facilities, network, licensed or developed software, software maintained or operated by any of the State entities, systems, equipment, documentation, information, reports, or data of any kind (hereinafter "Information"), the Vendor understands and agrees to the following rules:

- 18.6.1. Every Authorized User has the responsibility to assure the protection of information from unauthorized access, misuse, theft, damage, destruction, modification, or disclosure.
- 18.6.2. That information shall be used solely for conducting official State business, and all other use or access is strictly forbidden including, but not limited to, personal, or other private and non-State use and that at no time shall the Contracted Vendor access or attempt to access any information without having the express authority to do so.
- 18.6.3. That at no time shall the Vendor access or attempt to access any information in a manner inconsistent with the approved policies, procedures, and /or agreements relating to system entry/access.
- 18.6.4. That all software licensed, developed, or being evaluated by the State cannot be copied, shared, distributed, sub-licensed, modified, reverse engineered, rented, or sold, and that at all times the Contracted Vendor must use utmost care to protect and keep such software strictly confidential in accordance with the license or any other Agreement executed by the State. Only equipment or software owned, licensed, or being evaluated by the State, can be used by the Contracted Vendor. Personal software (including but not limited to palmtop sync software) shall not be installed on any equipment.
- 18.6.5. That if the Vendor is found to be in violation of any of the above-stated rules, the User may face removal from the State Contract, and/or criminal or civil prosecution, if the act constitutes a violation of law.

18.7. Email Use

Mail and other electronic communication messaging systems are State of New Hampshire property and are to be used for business purposes only. Email is defined as "internal Email systems" or "State-funded Email systems". The Vendor understands and agrees that use of email shall follow State standard policy (available upon request).

18.8. Internet/Intranet Use

The Internet/Intranet is to be used for access to and distribution of information in direct support of the business of the State of New Hampshire according to State standard policy (available upon request).

18.9. Regulatory Government Approvals

The Vendor shall obtain all necessary and applicable regulatory or other governmental approvals necessary to perform its obligations under the Contract.

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18.10. Force Majeure

Neither the Contracted Vendor nor the State shall be responsible for delays or failures in performance resulting from events beyond the control of such party and without fault or negligence of such party. Such events shall include, but not be limited to, acts of God, strikes, lock outs, riots, and acts of war, epidemics, acts of government, fire, power failures, nuclear accidents, earthquakes, and unusually severe weather.

Except in the event of the foregoing, Force Majeure events shall not include the Vendor's inability to hire or provide personnel needed for the Vendor's performance under the Contract.

18.11. Insurance

18.11.1. The Vendor Insurance Requirement (See Contract Agreement Part 1-Form P-37 Section 14.)

18.11.2. The ACORD Insurance Certificate should note the Certificate Holder in the lower left hand block including State of New Hampshire, Department of Health & Human Services, 129 Pleasant St., Concord, NH 03301.

18.12. Exhibits

The Exhibits referred to, in and attached to the Contract are incorporated by reference as if fully included in the text.

18.13. Survival

The terms, conditions and warranties contained in the Contract that by their context are intended to survive the completion of the performance, cancellation or termination of the Contract shall so survive, including, but not limited to, the terms of the *Contract Agreement Exhibit D Section 3: Records Retention and Access Requirements*, *Contract Agreement Exhibit D Section 4: Accounting Requirements*, and *Contract Agreement Part 2-Section 11: Use of State's Information, Confidentiality* and *Contract Agreement Part 1- Section 13: Indemnification* which shall all survive the termination of the Contract.

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EXHIBIT A
CONTRACT DELIVERABLES

1. DELIVERABLES, MILESTONES AND ACTIVITIES

The Vendor shall provide the State with hosting services for Results Oriented Management (ROM), which will meet and perform in accordance with the specifications and deliverables that are in accordance with the time frames in the Work Plan.

Prior to the commencement of work on non-software and written deliverables, the Vendor shall provide to the State a template, table of contents, or agenda for review and prior approval by the State.

The deliverables are set forth in the schedule described below in Section 2. By unconditionally accepting a deliverable, the State reserves the right to request the Vendor revise and resubmit the deliverable, in whole or in part, through completion of all Acceptance Testing, including but not limited to, Software/System Acceptance Testing, and any extensions thereof.

Pricing for deliverables are set forth in Exhibit B: *Price and Payment Schedule*. Pricing will be effective for the term of this Contract, and any extensions thereof.

2. DELIVERABLES, MILESTONES, AND ACTIVITIES SCHEDULE

2.1 Implementation Schedule – Activities / Deliverables / Milestones

The Vendor will host the Results Oriented Management (ROM) reporting system using current data provided by the Division for Children, Youth and Families (DCYF). The following are the specific tasks and deliverables for the report system hosting operations being provided.

- Host Instances of the ROM Reports application necessary for internal reporting for DCYF operations, and for supporting public reporting as that is developed. This includes both production and test instances of all site reporting instances.
- Import Data Tables - Monitor and troubleshoot the regularly scheduled data upload process via SFTP into the SQL Server Production and Test databases on the ROM server. In the event of problems, the previous day's outcome tables shall be restored. Import the data tables into SQL Server Test database as needed in order to test any revisions made to the application.
- Run Data Preparation Routines - Schedule and execute the ROM Reports data preparation routines to populate reports on an agreed upon schedule, but no more often than weekly.
- Apply New Releases/Updates of ROM Reports and ROM Data Preparation – Apply new releases to DCYF test environments of ROM, and promote approved changes to production instances.
- Maintain Server Software and Hardware – Provide all required software and hardware for delivering ROM, and provide maintenance within defined maintenance windows.
- 24-7 System Secure Server Operations - The server that sits behind the Vendor's firewall meets HIPPA guidelines. These guidelines cover physical security, file level access, password security, and disposal of hard drives. This firewall requires each connection to be defined. The only available link to the outside world to this server is the https SSL port 443. This ensures the data is encrypted during transmissions. The Vendor's IT Services provides 24 hour system monitoring, physical plant

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maintenance, connection circuit installation, hardware maintenance management services, operations support hardware/software replacement, security checks, hardware problem resolution, disaster recovery, and backup support.

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EXHIBIT B
PRICE & PAYMENT SCHEDULE

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price

This is a Firm Fixed Price (FFP) Contract totaling \$61,200 for the period between the Contract Effective Date through June 30, 2019. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:

Month	Year	Pricing/Payment
January	2015	\$1,000
February	2015	\$1,000
March	2015	\$1,000
April	2015	\$1,000
May	2015	\$1,000
June	2015	\$1,000
July	2015	\$1,000
August	2015	\$1,000
September	2015	\$1,000
October	2015	\$1,000
November	2015	\$1,000
December	2015	\$1,000
January	2016	\$1,000
February	2016	\$1,000
March	2016	\$1,000
April	2016	\$1,000
May	2016	\$1,000
June	2016	\$1,000
July	2016	\$1,200

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August	2016	\$1,200
September	2016	\$1,200
October	2016	\$1,200
November	2016	\$1,200
December	2016	\$1,200
January	2017	\$1,200
February	2017	\$1,200
March	2017	\$1,200
April	2017	\$1,200
May	2017	\$1,200
June	2017	\$1,200
July	2017	\$1,200
August	2017	\$1,200
September	2017	\$1,200
October	2017	\$1,200
November	2017	\$1,200
December	2017	\$1,200
January	2018	\$1,200
February	2018	\$1,200
March	2018	\$1,200
April	2018	\$1,200
May	2018	\$1,200
June	2018	\$1,200
July	2018	\$1,200
August	2018	\$1,200
September	2018	\$1,200

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Exhibit A

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October	2018	\$1,200
November	2018	\$1,200
December	2018	\$1,200
January	2019	\$1,200
February	2019	\$1,200
March	2019	\$1,200
April	2019	\$1,200
May	2019	\$1,200
June	2019	\$1,200

2. INVOICING

The Vendor shall submit correct invoices to the State for all amounts to be paid by the State. All invoices submitted shall be subject to the State's prior written approval, which shall not be unreasonably withheld. The Vendor shall only submit invoices for services or deliverables as permitted by the Contract. Invoices must be in a format as determined by the State and contain detailed information, including without limitation: itemization of each deliverable and identification of the deliverable for which payment is sought, and the acceptance date triggering such payment; date of delivery and/or installation; monthly maintenance charges; any other project costs or retention amounts if applicable.

Upon acceptance of a deliverable, and a properly documented and undisputed invoice, the State will pay the correct and undisputed invoice within thirty (30) days of invoice receipt. Invoices will not be backdated and shall be promptly dispatched.

Invoices shall be sent to:

Attn: Dague Clark, Financial Manager
Division for Children, Youth & Family
129 Pleasant Street
Concord, NH 03301

dbclark@dhhs.state.nh.us

3. PAYMENT ADDRESS

All payments shall be sent to the following address:

University of Kansas Center for Research, Inc.
Financial Services
2385 Irving Hill Road

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Lawrence, KS 66045-7563
kucrcr@ku.edu

4. OVERPAYMENTS TO THE VENDOR

The Vendor shall promptly, but no later than fifteen (15) business days, return to the State the full amount of any overpayment or erroneous payment upon discovery or notice from the State.

5. CREDITS

The State may apply credits due to the State arising out of this Contract, against the Vendor's invoices with appropriate information attached.

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SPECIAL PROVISIONS

1. **EXTENSION**

This agreement has the option for a potential extension up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Executive Council.

2. **OTHER GENERAL PROVISIONS**

Vendor's Obligations: The Vendor covenants and agrees that all funds received by the Vendor under the Contract shall be used only as payment to the Vendor for services provided to eligible individuals and, in the furtherance of the aforesaid covenants, the Vendor hereby covenants and agrees as follows:

- 2.1. **Compliance with Federal and State Laws:** If the Contractor is permitted to determine the eligibility of individuals such eligibility determination shall be made in accordance with applicable federal and state laws, regulations, orders, guidelines, policies and procedures.
- 2.2. **Gratuities or Kickbacks:** The Contractor agrees that it is a breach of this Contract to accept or make a payment, gratuity or offer of employment on behalf of the Contractor, any Sub-Contractor or the State in order to influence the performance of the Scope of Work detailed in Exhibit A of this Contract. The State may terminate this Contract and any sub-contract or sub-agreement if it is determined that payments, gratuities or offers of employment of any kind were offered or received by any officials, officers, employees or agents of the Contractor or Sub-Contractor.
- 2.3. **Retroactive Payments:** Notwithstanding anything to the contrary contained in the Contract or in any other document, contract or understanding, it is expressly understood and agreed by the parties hereto, that no payments will be made hereunder to reimburse the Contractor for costs incurred for any purpose or for any services provided to any individual prior to the Effective Date of the Contract and no payments shall be made for expenses incurred by the Contractor for any services provided prior to the date on which the individual applies for services or (except as otherwise provided by the federal regulations) prior to a determination that the individual is eligible for such services.
- 2.4. **Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractors costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party funders for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party funders, the Department may elect to:
 - 2.4.1. Renegotiate the rates for payment hereunder, in which event new rates shall be established;

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- 2.4.2. Deduct from any future payment to the Contractor the amount of any prior reimbursement in excess of costs;
- 2.4.3. Demand repayment of the excess payment by the Contractor in which event failure to make such repayment shall constitute an Event of Default hereunder. When the Contractor is permitted to determine the eligibility of individuals for services, the Contractor agrees to reimburse the Department for all funds paid by the Department to the Contractor for services provided to any individual who is found by the Department to be ineligible for such services at any time during the period of retention of records established herein.
- 2.5. Maintenance of Records:** In addition to the eligibility records specified above, the Contractor covenants and agrees to maintain the following records during the Contract Period:
- 2.5.1. **Fiscal Records:** books, records, documents and other data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor during the Contract Period in the performance of the Contract, said records to be maintained in accordance with OMB Circular A-133.8.3. **Medical Records:** Where appropriate and as prescribed by the Department regulations, the Contractor shall retain medical records on each patient/recipient of services.
- 2.6. **Audit:** Contractor shall submit an annual audit to the Department within 60 days after the close of the agency fiscal year. It is recommended that the report be prepared in accordance with the provision of Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non Profit Organizations" and the provisions of Standards for Audit of Governmental Organizations, Programs, Activities and Functions, issued by the US General Accounting Office (GAO standards) as they pertain to financial compliance audits.
- 2.6.1. **Audit and Review:** During the term of this Contract and the period for retention hereunder, the Department, the United States Department of Health and Human Services, and any of their designated representatives shall have access to all reports and records maintained pursuant to the Contract for purposes of audit, examination, excerpts and transcripts.
- 2.6.2. **Audit Liabilities:** In addition to and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department, all payments made under the Contract to which exception has been taken or which have been disallowed because of such an exception.
- 2.7. **Confidentiality of Records:** All information, reports, and records owned by the Department, and maintained hereunder or provided by Department to Contractor, including any reports created from the data provided by the Department, in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directly connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is

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prohibited except on written consent of the recipient, his attorney or guardian. Should the Department request the production of a report that is intended for public display, prior to the production, release, or display of said report, the Department will identify for the Contractor what data or information is not considered confidential. The Contractor may then only release or display the information specifically identified by the Department in the requested report.

Notwithstanding anything to the contrary contained herein the covenants and conditions contained in the Paragraph shall survive the termination of the Contract for any reason whatsoever.

2.8. Reserved.

2.9. Credits: All documents, notices, press releases, research reports and other materials prepared during or resulting from the performance of the services of the Contract shall include the following statement:

2.9.1. The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, with funds provided in part by the State of New Hampshire and/or such other funding sources as were available or required, e.g., the United States Department of Health and Human Services.

2.10. Reserved.

2.11. Subcontractors: DHHS recognizes that the Contractor may choose to use subcontractors with greater expertise to perform certain health care services or functions for efficiency or convenience, but the Contractor shall retain the responsibility and accountability for the function(s). Prior to subcontracting, the Contractor shall evaluate the subcontractor's ability to perform the delegated function(s). This is accomplished through a written agreement that specifies activities and reporting responsibilities of the subcontractor and provides for revoking the delegation or imposing sanctions if the subcontractor's performance is not adequate. Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions. When the Contractor delegates a function to a subcontractor, the Contractor shall do the following:

- 2.11.1. Evaluate the prospective subcontractor's ability to perform the activities, before delegating the function
- 2.11.2. Have a written agreement with the subcontractor that specifies activities and reporting responsibilities and how sanctions/revocation will be managed if the subcontractor's performance is not adequate
- 2.11.3. Monitor the subcontractor's performance on an ongoing basis
- 2.11.4. Provide to DHHS an annual schedule identifying all subcontractors, delegated functions and responsibilities, and when the subcontractor's performance will be reviewed.
- 2.11.5. DHHS shall, at its discretion, review and approve all subcontracts. If the Contractor identifies deficiencies or areas for improvement are identified, the Contractor shall take corrective action.

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3. DEFINITIONS

As used in the Contract, the following terms shall have the following meanings:

COSTS: Shall mean those direct and indirect items of expense determined by the Department to be allowable and reimbursable in accordance with cost and accounting principles established in accordance with state and federal laws, regulations, rules and orders.

DEPARTMENT: NH Department of Health and Human Services.

FINANCIAL MANAGEMENT GUIDELINES: Shall mean that section of the Contractor Manual which is entitled "Financial Management Guidelines" and which contains the regulations governing the financial activities of contractor agencies which have contracted with the State of NH to receive funds.

PROPOSAL: If applicable, shall mean the document submitted by the Contractor on a form or forms required by the Department and containing a description of the Services to be provided to eligible individuals by the Contractor in accordance with the terms and conditions of the Contract and setting forth the total cost and sources of revenue for each service to be provided under the Contract.

UNIT: For each service that the Contractor is to provide to eligible individuals hereunder, shall mean that period of time or that specified activity determined by the Department and specified in Exhibit B of the Contract.

FEDERAL/STATE LAW: Wherever federal or state laws, regulations, rules, orders, and policies, etc. are referred to in the Contract, the said reference shall be deemed to mean all such laws, regulations, etc. as they may be amended or revised from the time to time.

CONTRACTOR MANUAL: Shall mean that document prepared by the NH Department of Administrative Services containing a compilation of all regulations promulgated pursuant to the New Hampshire Administrative Procedures Act. NH RSA Ch 541-A, for the purpose of implementing State of NH and federal regulations promulgated thereunder.

SUPPLANTING OTHER FEDERAL FUNDS: The Contractor guarantees that funds provided under this Contract will not supplant any existing federal funds available for these services.

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4. REVISIONS TO GENERAL PROVISIONS

- 4.1. SUBPARAGRAPH 2 of the General Provisions of this contract, Employment of Contractor/Services to be Performed, is replaced as follows:

2. EMPLOYMENT OF CONTRACTOR/SERVICES TO BE PERFORMED.

The State of New Hampshire, acting through the agency identified in block 1.1 ("Stat"), engages contractor identified in block 1.3 ("Contractor") to perform, and the Contractor shall perform, the research, development and hosting services identified and more particularly described in the attached EXHIBIT A which is incorporated herein by reference ("Services").

- 4.2. SUBPARAGRAPH 3 of the General Provisions of this contract, Effective Date/Completion of Services, is replaced as follows:

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, this Agreement, and all obligations of the parties hereunder, shall not become effective until the date the Governor and Executive Council approve this Agreement ("Effective Date").

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor shall use all reasonable efforts to complete all Services by the Completion Date specified in block 1.7.

- 4.3. SUBPARAGRAPH 4 of the General Provisions of this contract, Conditional Nature of Agreement, is replaced as follows:

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including without limitation, the continuance of payments, in whole or in part, under this Agreement are contingent upon continued appropriation or availability of funds, including any subsequent changes to the appropriation or availability of funds affected by any state or federal legislative or executive action that reduces, eliminates, or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope of Services provided in Exhibit A, Scope of Services, in whole or in part. In no event shall the State be liable for any payments hereunder in excess of appropriated or available funds. In the event of a reduction, termination or modification of appropriated or available funds, the State shall have the right to withhold payment until such funds become available, if ever. The State shall have the right to reduce, terminate or modify services under this Agreement immediately upon giving the Contractor notice of such reduction, termination or modification. The State shall not be required to transfer funds from any other source or account into the Account(s) identified in block 1.6 of the General Provisions, Account Number, or any other account, in the event funds are reduced or unavailable.

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4.4. SUBPARAGRAPH 7 of the General Provisions of this contract, Personnel, is replaced as follows:

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor agrees that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this Agreement. This provision shall survive termination of this Agreement.

7.3 The Contracting Officer specified in block 1.9, or his or her successor, shall be the State's representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer's decision shall be final for the State.

4.5. SUBPARAGRAPH 8 of the General Provisions of this contract, Event of Default, is replaced as follows:

8. EVENT OF DEFAULT/REMEDIES.

8.1 Any one or more of the following acts or omissions of the Contractor shall constitute and event of default hereunder ("Event of Default"):

8.1.1 failure to perform the Services on schedule;

8.1.2 failure to submit any report required hereunder; and/or

8.1.3 failure to perform any other covenant, term or condition of this Agreement.

8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:

8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) days from the date of the notice; and if the Event of Default is not timely remedied, terminate this Agreement, effective two (2) days after giving the Contractor notice of termination;

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall be withheld from the Contractor;

8.2.3 set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or

8.2.4 treat the Agreement as breached and pursue any of its remedies at law or in equity, or both.

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- 4.6. SUBPARAGRAPH 9 of the General Provisions of this contract, Data/Access/Confidentiality/Preservation, is replaced as follows:

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

9.1 As used in this Agreement, the word 'data' shall mean all information and things owned by the State and provided to the Contractor during the performance of this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.

9.2 All data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall become the property of the State and shall be returned to the State upon demand or upon termination of this Agreement for any reason.

9.3 Confidentiality of data shall be governed by N.H. RSA chapter 91-A or other existing law. Disclosure of data requires prior written approval of the State.

- 4.7. SUBPARAGRAPH 10 of the General Provisions of this contract, Termination, is replaced as follows:

10. TERMINATION.

10.1 In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall deliver to the Contracting Officer, not later than fifteen (15) days after the date of termination, a report ("Termination Report" describing in detail all Services performed, and the contract price earned, to and including the date of termination. The form, subject matter, content and number of copies of the Termination Report shall be identical to those of any Final Report described in the attached EXHIBIT A. In the event of early termination, the Contractor shall be reimbursed for all noncancelable obligations incurred prior to the effective date of termination.

10.2 Either party may terminate the Agreement at any time for any reason, at its sole discretion, 30 days after giving the other party written notice that it is exercising its option to terminate the Agreement.

10.3 In the event of early termination, the Contractor shall, within 15 days of notice of early termination, develop and submit to the State a Transition Plan for services under the Agreement, including but not limited to, identifying the present and future needs of clients receiving services under the Agreement and establishes a process to meet those needs.

10.4 The Contractor shall fully cooperate with the State and shall promptly provide detailed information to support the Transition Plan including, but not limited to, any information or data requested by the State related to the termination of the Agreement and Transition Plan and shall provide ongoing communication and revisions of the Transition Plan to the State as requested.

10.5 In the event that services under the Agreement, including but not limited to clients receiving services under the Agreement are transitioned to having services delivered by another entity including contracted providers or the State, the Contractor shall provide a process for uninterrupted delivery of services in the Transition Plan.

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10.6 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.

- 4.8. SUBPARAGRAPH 13 of the General Provisions, Indemnification, is replaced as follows:

13. INDEMNIFICATION.

Contractor agrees to accept the responsibility for injury or damage to any person or persons or property that arise solely out of the Contractor's negligent acts or omissions in connection with this project. Contractor further agrees that the State shall not be liable for damages arising solely from injuries or damages sustained by any person or persons or property resulting from the negligent performance or omission by the Contractor of this Agreement.

- 4.9. SUBPARAGRAPH 14 of the General Provisions, Insurance, is replaced as follows:

14. INSURANCE.

14.1 The Contractor agrees to maintain Comprehensive General Liability insurance including Person Injury Coverage and Contractual Liability, with the minimum combined single limit for Bodily Injury and Property Damage, in accordance with the Contractor's regular requirements and practices. All insurance policies, as required by this Agreement, must be issued by an insurance company licensed to do business in the United States.

14.2 The Contractor shall, at its sole expense, obtain and maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:

14.2.1 comprehensive general liability in the amount of \$1,000,000 for each occurrence; excess/umbrella liability in the amount of \$5,000,000 for each occurrence; and Errors and Omissions coverage in the amount of \$1,000,000.

- 4.10. SUBPARAGRAPH 15 of the General Provisions, Workers' Compensation, is replaced as follows:

15. WORKERS' COMPENSATION.

University of Kansas employees are covered by the Workers Compensation Act, K.S.A. 44-501, through the State of Kansas. The University is also covered by automobile liability insurance in accordance with the provisions of K.S.A. 74-4707. Claims arising from bodily injury or death occurring as a result of acts or omissions by University employees working on this project may be subject to the provisions of the Kansas Tort Claims Act, K.S.A. 75-6101 et seq. Contractor agrees that State shall not be liable for damages resulting from injuries or damages sustained by any person or persons or property resulting solely from the negligent performance or omission by Contractor or employee of this project.

- 4.11. SUBPARAGRAPH 19 OF THE General Provisions, Construction of Agreement and Terms is deleted.

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EXHIBIT D
ADMINISTRATIVE SERVICES

1. STATE MEETINGS AND REPORTS

The State believes that effective communication and reporting are essential to project success.

The Vendor's Key Project Staff shall participate in meetings over the phone as requested by the State, in accordance with the requirements and terms of this Contract.

- a. **Special Meetings:** Need may arise for a special meeting with State leaders or Project stakeholders to address specific issues.
- b. **Exit Meeting:** Participants will include Project leaders from the Vendor and the State. Discussion will focus on lessons learned from the Project and on follow up options that the State may wish to consider.

The State expects the Vendor to prepare agendas and background for and minutes of meetings. Background for each status meeting must include an updated Work Plan. Drafting of formal presentations, such as a presentation for the kickoff meeting, will also be the Vendor's responsibility.

As reasonably requested by the State, the Vendor shall provide the State with information or reports regarding the Project. The Vendor shall prepare special reports and presentations relating to Project Management, and shall assist the State in preparing reports and presentations, as reasonably requested by the State, all at no additional cost to the State.

2. STATE-OWNED DOCUMENTS AND DATA

The Vendor shall provide the State access to all State-owned documents, State Data, State-owned materials, State-owned reports, and other State-owned work in progress relating to the Contract that State has provided to Vendor ("State Owned Documents"). Upon expiration or termination of the Contract with the State, the Vendor shall turn over all State-owned documents, material, reports, and work in progress relating to the Contract to the State at no additional cost to the State. State-owned Documents provided to the Vendor in electronic format must be returned to State in electronic format. State-owned Documents provided to the Vendor in paper format must be returned to State in paper format upon State's request.

3. RECORDS RETENTION AND ACCESS REQUIREMENTS

The Vendor shall agree to the conditions of all applicable State and federal laws and regulations, which are incorporated herein by reference, regarding retention and access requirements, including without limitation, retention policies consistent with the OMB circulars A-21, A-110, or A-133, as applicable.

The Vendor and its Subcontractors shall maintain books, records, documents, and other evidence of accounting procedures and practices, which properly and sufficiently reflect all direct and indirect costs invoiced in the performance of their respective obligations under the Contract. The Vendor and its Subcontractors shall retain all such records for three (3) years following termination of the Contract, including any extensions. Records relating to any litigation matters regarding the Contract shall be kept for one (1) year following the termination of all litigation, including the termination of all appeals or the expiration of the appeal period.

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Upon prior notice and subject to reasonable time frames, all such records shall be subject to inspection, examination, audit and copying by personnel so authorized by the State and federal officials so authorized by law, rule, regulation or Contract, as applicable. Access to these items shall be provided within Merrimack County of the State of New Hampshire, unless otherwise agreed by the State. Delivery of and access to such records shall be at no cost to the State during the three (3) year period following termination of the Contract and one (1) year term following litigation relating to the Contract, including all appeals or the expiration of the appeal period. The Vendor shall include the record retention and review requirements of this section in any of its subcontracts.

The State agrees that books, records, documents, and other evidence of accounting procedures and practices related to the Vendor's cost structure and profit factors shall be excluded from the State's review unless the cost of any other Services or Deliverables provided under the Contract is calculated or derived from the cost structure or profit factors.

4. ACCOUNTING REQUIREMENTS

The Vendor shall maintain an accounting system in accordance with generally accepted accounting principles. The costs applicable to the Contract shall be ascertainable from the accounting system and the Vendor shall maintain records pertaining to the Services and all other costs and expenditures.

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IMPLEMENTATION SERVICES

RESERVED

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EXHIBIT E-1
SECURITY AND INFRASTRUCTURE

1. SECURITY

The Vendor shall ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of the State's Information Technology resources, information, and services. The Vendor shall provide the State resources, information, and services during the term of the contract, with the appropriate infrastructure and security controls to ensure business continuity and to safeguard the confidentiality and integrity of State networks, systems and data.

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EXHIBIT F
TESTING SERVICES**

The Vendor shall provide the following products and services, which include but are not limited to:

1. TESTING AND ACCEPTANCE

1.1 Security Review and Testing

IT Security involves all functions pertaining to the securing of State data and systems through the creation and definition of security policies, procedures and controls covering such areas as identification, authentication and non-repudiation.

All components of the Software shall be reviewed and tested to ensure they protect the State's data assets.

Tests shall focus on the technical, administrative and physical security controls that have been designed into the system architecture in order to provide the necessary confidentiality, integrity and availability. Tests shall, at a minimum, cover each of the service components. Test procedures may include Penetration Tests (pen test) or Code Analysis and Review.

Service Component	Defines the set of capabilities that:
Identification and Authentication	Supports obtaining information about those parties attempting to log onto a system or application for security purposes and the validation of users
Access Control	Supports the management of permissions for logging onto a computer or network
Encryption	Supports the encoding of data for security purposes
Intrusion Detection	Supports the detection of illegal entrance into a computer system
Verification	Supports the confirmation of authority to enter a computer system, application or network
Digital Signature	Guarantees the unaltered state of a file
User Management	Supports the administration of computer, application and network accounts within an organization.
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network
Audit Trail Capture and Analysis	Supports the identification and monitoring of activities within an application or system
Input Validation	Ensures the application is protected from buffer overflow, cross-site scripting, SQL injection, and unauthorized access of files and/or directories on the server.

The Vendor must acknowledge its responsibilities for security testing.

The Vendor may be required to provide 3rd party testing. All Software and hardware shall be free of malicious code (malware).

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EXHIBIT G
MAINTENANCE AND SUPPORT SERVICES

RESERVED

STATE OF NEW HAMPSHIRE
 DEPARTMENT OF HEALTH & HUMAN SERVICES
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 EXHIBIT H
 REQUIREMENT RESPONSES

Table C-2 General System Requirements

The hosting service provided by the University of Kansas must conform to the information technology Privacy, and security standards of the University of Kansas, which include but are not limited to:

University of Kansas Security Standards

The primary information can be found at:

KORA – Kansas Open Records Act
<http://www.privacy.ku.edu/resources/hipaa.shtml>

Information Access and Technology Policies
<http://www.policy.ku.edu/infoaccess.shtml>

Specific Documents:	
<p>Information Access Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Circulation Policies and Procedures, KU Libraries Code of Conduct for Library Users, KU Libraries Confidentiality Agreement for Use of Alumni Information System Content Management System Policy Data Classification and Handling Policy Data Classification and Handling Procedures Guide Guest Access to Wireless Network Index to Policies and Procedures, KU Libraries Information Access Control Policy Internal Audit Charter Investigative Contact by Law Enforcement, Policy and Procedures KLETC Open Records Request Policy KU Alumni Association E-mail Policy KU Card Center - Obtaining the KU Card</p>	<p>Privacy & Security Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Clinic Policies and Procedures Regarding Privacy & Security of Patient Information Code of Conduct for Library Users, KU Libraries Confidentiality of Proposals and Awards Credit Card Information Data Center and Server Room Policy Data Center and Server Room Standards Data Classification and Handling Policy Data Classification and Handling Procedures Guide Education Credential Files: University Career Center Electronic Data Disposal Policy Electronic Data Disposal Procedure Gramm-Leach-Bliley Student Financial Information Security Program Health Information Privacy Policy: Watkins Health Services</p>

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 EXHIBIT H
 REQUIREMENT RESPONSES

<p>KU Card Center - Request for Release of Photo KU Card Center - Terms and Conditions of the KU Card KU Libraries: Access, Circulation, and Request Services - Requirements for KU Students, Faculty, Staff, and Affiliates on the Lawrence and Edwards Campuses KU Libraries: Access, Circulation, and Request Services for KU Faculty, Staff, and Affiliates KU Libraries: Access, Circulation, and Request Services for KU Graduate Students KU Libraries: Access, Circulation, and Request Services for KU Undergraduate and Law Students KU Libraries: Code of Conduct for Library Users Library Services for Other Users Maintenance of Alumni Records Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs Open Access Policy for University of Kansas Scholarship Records Retention Schedule Requests for Alumni Records Safety and Security of Funds Student Record Policy Primary Records Custodians Student Records Policy: Office of the University Registrar Systems Development Life Cycle (SDLC) Policy Systems Development Life Cycle (SDLC) Standard Undergraduate Admission Records Retention Policy: Office of Admissions and Scholarships Virtual Private Network (VPN) Remote Access Procedure Virtual Private Network (VPN) Service on the University of Kansas Data Network</p>	<p>Identity Theft Prevention Program Information Access Control Policy Information Technology Security Policy Instructions for a lost, stolen, or damaged KU Card KU Card Center - Disclosure Statement KU Card Center - Report KU Card Lost or Stolen KU Card Center - Request for Release of Photo KU Libraries: Code of Conduct for Library Users KU Libraries: Privacy and Confidentiality KUMC Computer Security Incident Response KUMC Computer Security Policy KUMC Gramm-Leach-Bliley Act KUMC Mobile Device Security KUMC Password Policy KUMC Payment Card Acceptance KUMC Secure Application Development KUMC Sensitive Information in Electronic and Paper-Based Systems KUMC Vulnerability Management KUMC Working with Vendor Systems Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs Password Policy Privacy Policy, General Privacy Policy: Counseling and Psychological Services Record Confidentiality Records Retention Schedule Roles and Responsibilities for Information Management Policy Safety and Security of Funds Security Policy Procedure: Risk and Vulnerability Guidelines Security Policy: Assessment for Local IT Environments and Outline for Risk and Vulnerability Assessments Student Record Policy Primary Records Custodians Student Records Policy: Office of the University Registrar Systems Development Life Cycle (SDLC) Policy</p>
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**STATE OF NEW HAMPSHIRE
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EXHIBIT H
REQUIREMENT RESPONSES**

	Systems Development Life Cycle (SDLC) Standard Unauthorized Peer-to-Peer File Sharing ..
<p>Information Technology Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Acceptable Use of Electronic Information Resources Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Code of Conduct for Library Users, KU Libraries Content Management System Policy Data Center and Server Room Policy Data Center and Server Room Standards Electronic Mail Policy Internet-Based Credit Card Processing Policy KUMC Computer Equipment Disposal and Media Sanitization KUMC Copyright Policy and Guidelines KUMC Email Use KUMC Internet Use KUMC Ownership of Computing Hardware and Software KUMC Roles of Technical Support Associates KUMC Social Media KUMC Software Licensing KUMC Student Email Use KUMC Web Resource Accessibility KUMC Web Server Appropriate Use KUMC Working with Vendor Systems Mobile Communication & Information Devices Network Policy Server Registration & Centralization Telecommunications Physical Infrastructure Telecommunications Wiring Policy Unauthorized Peer-to-Peer File Sharing Visual Identity (Web Standards) Manual for the University of Kansas Wireless Local Area Network (LAN) Systems Policy</p>	

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
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EXHIBIT H
REQUIREMENT RESPONSES

Specific Documents:

Data Classification and Handling Policy

<https://documents.ku.edu/policies/IT/DataClassificationandHandlingPolicy.htm>

Data Classification and Handling Guide

<https://documents.ku.edu/policies/IT/DataClassificationandHandlingProceduresGuide.htm>

Data Center and Server Room Policy

https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Policy.htm

Data Center and Server Room Standards

https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Standards.htm

Data Disposal Policy

<https://documents.ku.edu/policies/IT/DataDisposalPolicy.htm>

Data Disposal Procedure

<https://documents.ku.edu/policies/IT/DataDisposalProcedure.htm>

Information Access Control Policy

<https://documents.ku.edu/policies/IT/InformationAccessControlPolicy.htm>

STATE OF NEW HAMPSHIRE
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EXHIBIT I
WORK PLAN

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
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EXHIBIT J
SOFTWARE LICENSE

1. RESTRICTIONS

Except as otherwise permitted under the Contract, the State agrees not to:

- a. Remove or modify any program markings or any notice of the Vendor's proprietary rights;
- b. Make the programs or materials available in any manner to any third party for use in the third party's business operations, except as permitted herein; or
- c. Cause or permit reverse engineering, disassembly or recompilation of the programs.

2. TITLE

Title, right, and interest (including all ownership and intellectual property rights) in the software, and its associated documentation, shall remain with the Vendor.

3. VIRUSES

The Vendor shall host software that shall not contain any viruses, destructive programming, or mechanisms designed to disrupt the performance of the software in accordance with the specifications.

As a part of its internal development process, the Vendor will use reasonable efforts to test the software for viruses.

4. AUDIT

Upon forty-five (45) days written notice, the Vendor may audit the State's use of the programs at the Vendor's sole expense. The State agrees to cooperate with the Vendor's audit and provide reasonable assistance and access to information. The State agrees that the Vendor shall not be responsible for any of the State's reasonable costs incurred in cooperating with the audit. Notwithstanding the foregoing, the Vendor's audit rights are subject to applicable State and federal laws and regulations.

5. SOFTWARE NON-INFRINGEMENT

The Vendor agrees that it has good title to, or the right to allow the State to use all services, equipment, and software ("Material") provided under this Contract, and that such services, equipment, and software do not violate or infringe any patent, trademark, copyright, trade name or other intellectual property rights or misappropriate a trade secret of any third party.

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
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EXHIBIT K
WARRANTY AND WARRANTY SERVICES**

1. WARRANTIES

1.1. Services

The Vendor agrees that the system will operate to conform to the specifications, terms, and requirements of the Contract.

1.2. Non-Infringement

The Vendor agrees that it has good title to, or the right to allow the State to use, all services, equipment, and software ("Material") provided under this Contract, and that such services, equipment, and software do not violate or infringe any patent, trademark, copyright, trade name or other intellectual property rights or misappropriate a trade secret of any third party.

1.3. Viruses; Destructive Programming.

The Vendor warrants that the Hosted Environment shall not contain any viruses, destructive programming, or mechanisms designed to disrupt the performance of the software in accordance with the specifications.

1.4. Services

The Vendor agrees that the services provided to State under this Agreement will be reasonably accurate in accordance with scientifically accepted standards. THE VENDOR DISCLAIMS ALL WARRANTIES INCLUDING ALL IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

1.5. Personnel

The Vendor agrees that all personnel engaged in the Services shall be qualified to perform the services, and, if applicable, shall be properly licensed and otherwise authorized to do so under all applicable laws.

1.6. Breach of Data

The Vendor shall be solely liable for costs associated with any breach of State data housed at their location(s) including, but not limited to, notification and any damages assessed by the courts.

2. WARRANTY PERIOD

The Warranty Period shall remain in effect until the conclusion or termination of this Contract and any extensions, with the exception of the warranty for non-infringement, which shall survive the termination of this Contract.

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EXHIBIT L
TRAINING SERVICES

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
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EXHIBIT M
NH DIVISION FOR CHILDREN, YOUTH & FAMILY RFP

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**STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
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EXHIBIT N
VENDOR QUOTES BY REFERENCE**

The Vendor's Quotes to the Division for Children, Youth & Family is incorporated herein by reference, as follows:

- January 1, 2015 – June 30, 2016 - \$18,000
- July 1, 2016 – June 30, 2019 - \$43,200

**STATE OF NEW HAMPSHIRE
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EXHIBIT O
SPECIAL EXHIBITS, ATTACHMENTS, AND CERTIFICATES**

Attached are:

- A. Certificate of Good Standing
- B. Vendor's Certificate of Vote/Authority
- C. Vendor's Certificate of Insurance
- D. Department of Health & Human Services Exhibits D through J



New Hampshire Department of Health and Human Services
Exhibit D

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

**US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS**

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.). The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), and require certification by grantees (and by inference, sub-grantees and sub-contractors), prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee (and by inference, sub-grantees and sub-contractors) that is a State may elect to make one certification to the Department in each federal fiscal year in lieu of certificates for each grant during the federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment. Contractors using this form should send it to:

Commissioner
NH Department of Health and Human Services
129 Pleasant Street,
Concord, NH 03301-6505

1. The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - 1.1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - 1.2. Establishing an ongoing drug-free awareness program to inform employees about
 - 1.2.1. The dangers of drug abuse in the workplace;
 - 1.2.2. The grantee's policy of maintaining a drug-free workplace;
 - 1.2.3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 1.2.4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - 1.3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - 1.4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1.4.1. Abide by the terms of the statement; and
 - 1.4.2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - 1.5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 1.4.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency



New Hampshire Department of Health and Human Services
Exhibit D

has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- 1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted
 - 1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - 1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- 1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.

2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code) (list each location)

Check if there are workplaces on file that are not identified here.

Contractor Name: University of Kansas
Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration



New Hampshire Department of Health and Human Services
Exhibit E

CERTIFICATION REGARDING LOBBYING

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Section 319 of Public Law 101-121, Government wide Guidance for New Restrictions on Lobbying, and 31 U.S.C. 1352, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

Programs (indicate applicable program covered):

- *Temporary Assistance to Needy Families under Title IV-A
- *Child Support Enforcement Program under Title IV-D
- *Social Services Block Grant Program under Title XX
- *Medicaid Program under Title XIX
- *Community Services Block Grant under Title VI
- *Child Care Development Block Grant under Title IV

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor).
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor), the undersigned shall complete and submit Standard Form LLL, (Disclosure Form to Report Lobbying, in accordance with its instructions, attached and identified as Standard Exhibit E-1.)
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Contractor Name: University of Kansas
Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

New Hampshire Department of Health and Human Services
Exhibit F



**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS**

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Executive Office of the President, Executive Order 12549 and 45 CFR Part 76 regarding Debarment, Suspension, and Other Responsibility Matters, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal (contract), the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services' (DHHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when DHHS determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, DHHS may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the DHHS agency to whom this proposal (contract) is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549: 45 CFR Part 76. See the attached definitions.
6. The prospective primary participant agrees by submitting this proposal (contract) that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by DHHS.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by DHHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or involuntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and



New Hampshire Department of Health and Human Services
Exhibit F

information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

- 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, DHHS may terminate this transaction for cause or default.

PRIMARY COVERED TRANSACTIONS

- 11. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - 11.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - 11.2. have not within a three-year period preceding this proposal (contract) been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or a contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - 11.3. are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (11)(b) of this certification; and
 - 11.4. have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- 12. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal (contract).

LOWER TIER COVERED TRANSACTIONS

- 13. By signing and submitting this lower tier proposal (contract), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:
 - 13.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - 13.2. where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal (contract).
- 14. The prospective lower tier participant further agrees by submitting this proposal (contract) that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Contractor Name: University of Kansas
Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

New Hampshire Department of Health and Human Services
Exhibit G



**CERTIFICATION OF COMPLIANCE WITH REQUIREMENTS PERTAINING TO
FEDERAL NONDISCRIMINATION, EQUAL TREATMENT OF FAITH-BASED ORGANIZATIONS AND
WHISTLEBLOWER PROTECTIONS**

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Contractor will comply, and will require any subgrantees or subcontractors to comply, with any applicable federal nondiscrimination requirements, which may include:

- the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Section 3789d) which prohibits recipients of federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act requires certain recipients to produce an Equal Employment Opportunity Plan;
- the Juvenile Justice Delinquency Prevention Act of 2002 (42 U.S.C. Section 5672(b)) which adopts by reference, the civil rights obligations of the Safe Streets Act. Recipients of federal funding under this statute are prohibited from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act includes Equal Employment Opportunity Plan requirements;
- the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin in any program or activity);
- the Rehabilitation Act of 1973 (29 U.S.C. Section 794), which prohibits recipients of Federal financial assistance from discriminating on the basis of disability, in regard to employment and the delivery of services or benefits, in any program or activity;
- the Americans with Disabilities Act of 1990 (42 U.S.C. Sections 12131-34), which prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities, and transportation;
- the Education Amendments of 1972 (20 U.S.C. Sections 1681, 1683, 1685-86), which prohibits discrimination on the basis of sex in federally assisted education programs;
- the Age Discrimination Act of 1975 (42 U.S.C. Sections 6106-07), which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. It does not include employment discrimination;
- 28 C.F.R. pt. 31 (U.S. Department of Justice Regulations – OJJDP Grant Programs); 28 C.F.R. pt. 42 (U.S. Department of Justice Regulations – Nondiscrimination; Equal Employment Opportunity; Policies and Procedures); Executive Order No. 13279 (equal protection of the laws for faith-based and community organizations); Executive Order No. 13559, which provide fundamental principles and policy-making criteria for partnerships with faith-based and neighborhood organizations;
- 28 C.F.R. pt. 38 (U.S. Department of Justice Regulations – Equal Treatment for Faith-Based Organizations); and Whistleblower protections 41 U.S.C. §4712 and The National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) the Pilot Program for Enhancement of Contract Employee Whistleblower Protections, which protects employees against reprisal for certain whistle blowing activities in connection with federal grants and contracts.

The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment.

Exhibit G

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations and Whistleblower protections

Contractor Initials

KMB

Date

12/19/14



New Hampshire Department of Health and Human Services
Exhibit G

In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, to the applicable contracting agency or division within the Department of Health and Human Services, and to the Department of Health and Human Services Office of the Ombudsman.

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

- 1. By signing and submitting this proposal (contract) the Contractor agrees to comply with the provisions indicated above.

Contractor Name: University of Kansas
Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Exhibit G

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations and Whistleblower protections

Contractor Initials

KMB

Date

12/19/14

New Hampshire Department of Health and Human Services
Exhibit H



CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this contract, the Contractor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

Contractor Name: University of Kansas Center
for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Contractor Initials KMB
Date 12/19/14

New Hampshire Department of Health and Human Services



Exhibit I

HEALTH INSURANCE PORTABILITY ACT
BUSINESS ASSOCIATE AGREEMENT

The Contractor identified in Section 1.3 of the General Provisions of the Agreement agrees to comply with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 applicable to business associates. As defined herein, "Business Associate" shall mean the Contractor and subcontractors and agents of the Contractor that receive, use or have access to protected health information under this Agreement and "Covered Entity" shall mean the State of New Hampshire, Department of Health and Human Services.

(1) **Definitions.**

- a. "**Breach**" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
- b. "**Business Associate**" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- c. "**Covered Entity**" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. "**Designated Record Set**" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
- e. "**Data Aggregation**" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
- f. "**Health Care Operations**" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
- g. "**HITECH Act**" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
- h. "**HIPAA**" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164 and amendments thereto.
- i. "**Individual**" shall have the same meaning as the term "individual" in 45 CFR Section 160.103, and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
- j. "**Privacy Rule**" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
- k. "**Protected Health Information**" shall have the same meaning as the term "protected health information" in 45 CFR Section 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

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Date 12/19/14



New Hampshire Department of Health and Human Services

Exhibit I

- I. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.103.
- m. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.
- n. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.
- o. "Unsecured Protected Health Information" means protected health information that is not secured by a technology standard that renders protected health information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.
- p. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH Act.

(2) Business Associate Use and Disclosure of Protected Health Information.

- a. Business Associate shall not use, disclose, maintain or transmit Protected Health Information (PHI) except as reasonably necessary to provide the services outlined under Exhibit A of the Agreement. Further, Business Associate, including but not limited to all its directors, officers, employees and agents, shall not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
- b. Business Associate may use or disclose PHI:
 - I. For the proper management and administration of the Business Associate;
 - II. As required by law, pursuant to the terms set forth in paragraph d. below; or
 - III. For data aggregation purposes for the health care operations of Covered Entity.
- c. To the extent Business Associate is permitted under the Agreement to disclose PHI to a third party, Business Associate must obtain, prior to making any such disclosure, (i) reasonable assurances from the third party that such PHI will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the third party; and (ii) an agreement from such third party to notify Business Associate, in accordance with the HIPAA Privacy, Security, and Breach Notification Rules of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.
- d. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business

New Hampshire Department of Health and Human Services



Exhibit I

Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.

- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

(3) Obligations and Activities of Business Associate.

- a. The Business Associate shall notify the Covered Entity's Privacy Officer immediately after the Business Associate becomes aware of any use or disclosure of protected health information not provided for by the Agreement including breaches of unsecured protected health information and/or any security incident that may have an impact on the protected health information of the Covered Entity.
- b. The Business Associate shall immediately perform a risk assessment when it becomes aware of any of the above situations. The risk assessment shall include, but not be limited to:
 - o The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
 - o The unauthorized person used the protected health information or to whom the disclosure was made;
 - o Whether the protected health information was actually acquired or viewed
 - o The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment within 48 hours of the breach and immediately report the findings of the risk assessment in writing to the Covered Entity.

- c. The Business Associate shall comply with all sections of the Privacy, Security, and Breach Notification Rule.
- d. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
- e. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section 3 (l). The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI

New Hampshire Department of Health and Human Services



Exhibit I

pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard Paragraph #13 of the standard contract provisions (P-37) of this Agreement for the purpose of use and disclosure of protected health information.

- f. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.
- g. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
- h. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.
- i. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.
- j. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.
- k. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.
- l. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business

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Date 12/19/14



New Hampshire Department of Health and Human Services

Exhibit I

Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

(4) Obligations of Covered Entity

- a. Covered Entity shall notify Business Associate of any changes or limitation(s) in its Notice of Privacy Practices provided to individuals in accordance with 45 CFR Section 164.520, to the extent that such change or limitation may affect Business Associate's use or disclosure of PHI.
- b. Covered Entity shall promptly notify Business Associate of any changes in, or revocation of permission provided to Covered Entity by individuals whose PHI may be used or disclosed by Business Associate under this Agreement, pursuant to 45 CFR Section 164.506 or 45 CFR Section 164.508.
- c. Covered entity shall promptly notify Business Associate of any restrictions on the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(5) Termination for Cause

In addition to Paragraph 10 of the standard terms and conditions (P-37) of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

(6) Miscellaneous

- a. Definitions and Regulatory References. All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.
- b. Amendment. Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.
- c. Data Ownership. The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity.
- d. Interpretation. The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule.

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Contractor Initials

KMB

Date

12/19/14



New Hampshire Department of Health and Human Services

Exhibit I

- e. **Segregation.** If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.
- f. **Survival.** Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section (3) I, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

N.H.D.H.S
 The State
[Signature]
 Signature of Authorized Representative
MARSHALL BERRY
 Name of Authorized Representative
Associate Commissioner
 Title of Authorized Representative
1/24/10
 Date

University of Kansas Center for Research, Inc.
 Name of the Contractor
Kristi M. Billinger
 Signature of Authorized Representative
 Kristi Billinger
 Name of Authorized Representative
 Director, Research Administration
 Title of Authorized Representative
12/19/14
 Date



New Hampshire Department of Health and Human Services
Exhibit J

CERTIFICATION REGARDING THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA) COMPLIANCE

The Federal Funding Accountability and Transparency Act (FFATA) requires prime awardees of individual Federal grants equal to or greater than \$25,000 and awarded on or after October 1, 2010, to report on data related to executive compensation and associated first-tier sub-grants of \$25,000 or more. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award is subject to the FFATA reporting requirements, as of the date of the award.

In accordance with 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), the Department of Health and Human Services (DHHS) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

1. Name of entity
2. Amount of award
3. Funding agency
4. NAICS code for contracts / CFDA program number for grants
5. Program source
6. Award title descriptive of the purpose of the funding action
7. Location of the entity
8. Principle place of performance
9. Unique identifier of the entity (DUNS #)
10. Total compensation and names of the top five executives if:
 - 10.1. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
 - 10.2. Compensation information is not already available through reporting to the SEC.

Prime grant recipients must submit FFATA required data by the end of the month, plus 30 days, in which the award or award amendment is made.

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

The below named Contractor agrees to provide needed information as outlined above to the NH Department of Health and Human Services and to comply with all applicable provisions of the Federal Financial Accountability and Transparency Act.

Contractor Name: University of Kansas
Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Contractor Initials KMB
Date 12/19/14