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**ATTORNEY GENERAL
DEPARTMENT OF JUSTICE**

1 GRANITE PLACE SOUTH
CONCORD, NEW HAMPSHIRE 03301

JOHN M. FORMELLA
ATTORNEY GENERAL



JAMES T. BOFFETTI
DEPUTY ATTORNEY GENERAL

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December 6, 2023

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

Your Excellency and Members of the Council:

REQUESTED ACTION

Authorize the Department of Justice (DOJ) to enter into a contract with Research Triangle Institute/dba RTI International Highlands Ranch, NC (Vendor #171105), in an amount not to exceed \$199,590, for the purpose of conducting assessments and analysis on Human Trafficking issues in the State of NH effective upon Governor and Executive Council approval through December 31, 2024. 25% Federal Funds, 75% Agency Income

Funding is available as follows:

02-20-20-200010-8575	<u>FY 2024</u>
Victims Fund	
252-500806, Victim Services	\$149,590
02-20-20-201510-1072	
Human Trafficking Grant	
102-500731, Contracts for Program Services	<u>\$ 50,000</u>
	\$199,590

EXPLANATION

The Department of Justice (DOJ) was allocated funding in the 2024-2025 state budget to address human trafficking in New Hampshire. To use these funds efficiently, the DOJ wishes to utilize grant and agency income funds to contract with Research Triangle Institute (RTI) to conduct a comprehensive statewide human trafficking needs assessment. The DOJ feels this assessment is necessary in order to provide information on the scope and prevalence of human

His Excellency, Governor Christopher T. Sununu
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December 6, 2023
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trafficking in the State of New Hampshire and the effectiveness of anti-trafficking services, programs, and interventions in the state. This information is essential to determining the resources and strategies needed to prevent human trafficking.

The Department received four proposals from potential vendors with experience or interest in conducting this assessment. RTI was selected as the most experienced at conducting research and evaluations specific to human trafficking. RTI has analyzed 28 human trafficking projects with both state and federal agencies. Topics included both sex and labor trafficking and their work has encompassed both adult and child victims. RTI's proposed project team all have advanced degrees in either criminology, sociology, public health, or psychology. Their work has advanced collective knowledge about human trafficking and has provided evidence informed strategies for other jurisdictions to improve their multidisciplinary response to these crimes.

RTI will utilize various approaches to conduct the needs assessment including a statewide baseline survey with collaborative stakeholders from the law enforcement, prosecution, victim advocacy and social service fields. They will then conduct semi structured interviews with both adult human trafficking survivors and collaborative stakeholders to provide foundational understanding of the current system response to human trafficking and identify what gaps exist. Finally, they will assess priority gaps and provide recommendations regarding supporting anti-trafficking efforts in New Hampshire.

The DOJ believes that the expertise of the individual researchers, and the collective experience of the organization, will help the State achieve its goal of a robust assessment of the criminal justice and victim services response to human trafficking. The Department determined that of all the potential vendors, RTI is best suited to complete the assessment easily, quickly, and efficiently.

Please let me know if you have any questions concerning this request. Thank you for your consideration of this request.

Respectfully submitted,



John M. Formella
Attorney General

#4297126

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**Proposal Summary
Human Trafficking Assessment For The State of New Hampshire**

Proposal Evaluation-Value Added Base

Proposer	Location	Price
RTI International	Triangle Park, North Carolina	\$199,590
JSI Research and Training Institute, Inc.	Burlington, Vermont	\$197,316
Catherine Cutler Institute	Portland, Maine	\$124,502
Kathleen Preble PhD and Andrea Nichols PhD	St. Louis Missouri	\$84,028.40

The Human Trafficking Proposal Evaluation Team Members were as follows:

- Lynda Ruel, Director of Office of Victim Witness Assistant
- Danielle Snook, Administrator of Office of Victim Witness Assistant
- Kitty Kiefer, Program Analyst for the Office of Victim Witness Assistant
- Josanne Mirolo, Program Assistant for the Office of Victim Witness Assistant
- Meg Chant, New Hampshire Coalition Against Domestic and Sexual Violence
- Chief Alex Lee, Newport Police Department

Each proposal evaluation team member was asked to review and record their observations about each proposal for best value added. The group met in person on July 21, 2023 to discuss the proposals, share observations and evaluate the best proposal to give detailed data on Human Trafficking issues in New Hampshire.

Evaluations were based on the following areas for each proposal:

- Staffing/Experience
- Project Approach
- Project Timeline
- Deliverables
- Budget.

RTI International was selected because they exceeded the experience category, project approach, project timeline and deliverables in research and evaluation projects on human trafficking. RTI has conducted projects on both sex and labor trafficking and their work has encompassed both adult and child victims. The proposed project team all have advanced degrees in either criminology, sociology, public health, or psychology. Their project design includes various approaches including a baseline survey and interviews with stakeholders and survivors. Finally, the researchers will use the data collected from the survey and interviews to conduct a gap analysis and provide recommendations that will build to build system capacity and address gaps identified in the assessment.

Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name New Hampshire Department of Justice		1.2 State Agency Address 1 Granite Place South Concord, NH 03301	
1.3 Contractor Name Research Triangle Institute dba RTI International		1.4 Contractor Address 3040 East Cornwallis Road, PO Box 12194, Research Triangle Park NC 27709-2194	
1.5 Contractor Phone Number (919) 316-3141	1.6 Account Unit and Class 10-20-20-200010-8575-252-500806 10-20-20-201510-1072-102-500731	1.7 Completion Date 12/31/2024	1.8 Price Limitation \$199,590
1.9 Contracting Officer for State Agency Kathleen Carr		1.10 State Agency Telephone Number 603-271-3658	
1.11 Contractor Signature Abbey Boggs <small>Digitally signed by Abbey Boggs Date: 2023.12.05 09:18:07 -05'00'</small>		1.12 Name and Title of Contractor Signatory Abbey Boggs, Sr. Contracting Officer	
1.13 State Agency Signature Kathleen Carr <small>Date: 12.05.23</small>		1.14 Name and Title of State Agency Signatory Kathleen Carr, Director of Admin.	
1.15 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.16 Approval by the Attorney General (Form, Substance and Execution) (if applicable) By: Sheri Phillips, AAG On: 12/5/2023			
1.17 Approval by the Governor and Executive Council (if applicable) G&C Item number: _____ G&C Meeting Date: _____			

2. 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 B 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, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.13 ("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.

3.3 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. 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 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 for Services provided in EXHIBIT B, in whole or in part, the State shall have the right to withhold payment until such funds become available, if ever, and shall have the right to reduce or terminate the Services under this Agreement immediately upon giving the Contractor notice of such reduction or termination. The State shall not be required to transfer funds from any other account or source 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 C which is incorporated herein by reference.

5.2 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. 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.

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 The State's liability under this Agreement shall be limited to monetary damages not to exceed the total fees paid. The Contractor agrees that it has an adequate remedy at law for any breach of this Agreement by the State and hereby waives any right to specific performance or other equitable remedies against the State.

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 applicable 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 employment opportunity laws and the Governor's order on Respect and Civility in the Workplace, Executive order 2020-01. In addition, if this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all federal executive orders, rules, regulations and statutes, and with any rules, regulations and guidelines as the State or the United States issue to implement these regulations. The Contractor shall also comply with all applicable intellectual property laws.

6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of age, sex, sexual orientation, race, color, marital status, physical or mental disability, religious creed, national origin, gender identity, or gender expression, and will take affirmative action to prevent such discrimination, unless exempt by state or federal law. The Contractor shall ensure any subcontractors comply with these nondiscrimination requirements.

6.3 No payments or transfers of value by Contractor or its representatives in connection with this Agreement have or shall be made which have the purpose or effect of public or commercial bribery, or acceptance of or acquiescence in extortion, kickbacks, or other unlawful or improper means of obtaining business.

6.4 The Contractor 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 this Agreement and all rules, regulations and orders pertaining to 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 The Contracting Officer specified in block 1.9, or any successor, shall be the State's point of contact pertaining to this Agreement.

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) calendar days from the date of the notice; and if the Event of Default is not timely cured, terminate this Agreement, effective two (2) calendar 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 give the Contractor a written notice specifying the Event of Default and 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 give the Contractor a written notice specifying the Event of Default, treat the Agreement as breached, terminate the Agreement and pursue any of its remedies at law or in equity, or both.

9. TERMINATION.

9.1 Notwithstanding paragraph 8, the State may, at its sole discretion, terminate the Agreement for any reason, in whole or in part, by thirty (30) calendar days written notice to the Contractor that the State is exercising its option to terminate the Agreement.

9.2 In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall, at the State's discretion, deliver to the Contracting Officer, not later than fifteen (15) calendar 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. In addition, at the State's discretion, the Contractor shall, within fifteen (15) calendar days of notice of early termination, develop and submit to the State a transition plan for Services under the Agreement.

10. PROPERTY OWNERSHIP/DISCLOSURE.

10.1 As used in this Agreement, the word "Property" shall mean all data, 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.

10.2 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.

10.3 Disclosure of data, information and other records shall be governed by N.H. RSA chapter 91-A and/or other applicable law. Disclosure requires prior written approval of the State.

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.

12.1 Contractor shall provide the State written notice at least fifteen (15) calendar days before any proposed assignment, delegation, or other transfer of any interest in this Agreement. No such assignment, delegation, or other transfer shall be effective without the written consent of the State.

12.2 For purposes of paragraph 12, a Change of Control shall constitute assignment. "Change of Control" means (a) merger, consolidation, or a transaction or series of related transactions in which a third party, together with its affiliates, becomes the direct or indirect owner of fifty percent (50%) or more of the voting shares or similar equity interests, or combined voting power of the Contractor, or (b) the sale of all or substantially all of the assets of the Contractor.

12.3 None of the Services shall be subcontracted by the Contractor without prior written notice and consent of the State.

12.4 The State is entitled to copies of all subcontracts and assignment agreements and shall not be bound by any provisions contained in a subcontract or an assignment agreement to which it is not a party.

13. **INDEMNIFICATION.** The Contractor shall indemnify, defend, and hold harmless the State, its officers, and employees from and against all actions, claims, damages, demands, judgments, fines, liabilities, losses, and other expenses, including, without limitation, reasonable attorneys' fees, arising out of or relating to this Agreement directly or indirectly arising from death, personal injury, property damage, intellectual property infringement, or other claims asserted against the State, its officers, or employees caused by the acts or omissions of negligence, recklessness or willful misconduct, or fraud by the Contractor, its employees, agents, or subcontractors. The State shall not be liable for any costs incurred by the Contractor arising under this paragraph 13. Notwithstanding the foregoing, nothing herein contained shall be deemed to constitute a waiver of the State's sovereign immunity, 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 continuously maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:

14.1.1 commercial general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$1,000,000 per occurrence and \$2,000,000 aggregate or excess; and

14.1.2 special cause of loss coverage form covering all Property subject to subparagraph 10.2 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 any successor, a certificate(s) of insurance for all insurance required under this Agreement. At the request of the Contracting Officer, or any successor, the Contractor shall provide certificate(s) of insurance for all renewal(s) of insurance required under this Agreement. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference.

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. The Contractor shall furnish the Contracting Officer identified in block 1.9, or any 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.** A State's failure to enforce its rights with respect to any single or continuing breach of this Agreement shall not act as a waiver of the right of the State to later enforce any such rights or to enforce any other or any subsequent breach.

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 unless no such approval is required under the circumstances pursuant to State law, rule or policy.

19. CHOICE OF LAW AND FORUM.

19.1 This Agreement shall be governed, interpreted and construed in accordance with the laws of the State of New Hampshire except where the Federal supremacy clause requires otherwise. 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.

19.2 Any actions arising out of this Agreement, including the breach or alleged breach thereof, may not be submitted to binding arbitration, but must, instead, be brought and maintained in the Merrimack County Superior Court of New Hampshire which shall have exclusive jurisdiction thereof.

20. **CONFLICTING TERMS.** In the event of a conflict between the terms of this P-37 form (as modified in EXHIBIT A) and any other portion of this Agreement including any attachments thereto, the terms of the P-37 (as modified in EXHIBIT A) shall control.

21. **THIRD PARTIES.** This Agreement is being entered into for the sole benefit of the parties hereto, and nothing herein, express or implied, is intended to or will confer any legal or equitable right, benefit, or remedy of any nature upon any other person.

22. **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.

23. **SPECIAL PROVISIONS.** Additional or modifying provisions set forth in the attached EXHIBIT A are incorporated herein by reference.

24. **FURTHER ASSURANCES.** The Contractor, along with its agents and affiliates, shall, at its own cost and expense, execute any additional documents and take such further actions as may be reasonably required to carry out the provisions of this Agreement and give effect to the transactions contemplated hereby.

25. **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.

26. **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 with respect to the subject matter hereof.

**EXHIBIT A
SPECIAL PROVISIONS**

There are no special provisions.

Initials: AKB
Date: 12/01/23

**EXHIBIT B
SCOPE OF SERVICES**

1. The State hereby engages Contractor to conduct a comprehensive multidisciplinary statewide human trafficking needs assessment.
2. The Contractor is required to maintain supporting documentation for all expenses and to produce those documents upon request by the State or any other state or federal audit authority. Grant project supporting documentation should be maintained for at least 5 years after the close of the project.
3. The Contractor will participate in regular meetings and conference calls with State staff and the Advisory Board to discuss project design, logistics and delivery, as well as providing project updates and interim findings and observations.
4. The Contractor will utilize a core multidisciplinary research team comprised of professionals with expertise in criminology, psychology, sociology, and public health to conduct the needs assessment.
5. The Contractor will implement a three-phased model (Pre-assessment, Assessment, and Post-assessment) and utilize a participatory action research approach, to complete the needs assessment.
6. The needs assessment's proposed research activities will address the following questions:
 - a. What is the nature and scope of identified human trafficking cases in New Hampshire?
 - b. What is the awareness and understanding of human trafficking in New Hampshire among agencies and organizations that may interact with individuals who have experienced trafficking?
 - c. What is the current systemic response to human trafficking victims in New Hampshire?
 - d. What is the ideal system response to address the needs of human trafficking victims in New Hampshire?
 - e. Where are the gaps between the current and ideal systemic response to human trafficking in New Hampshire?
7. The Contractor will deliver a detailed work plan, that includes timelines and milestones, the study design, research questions, types of data collection instruments that will be utilized, data collection methods and procedures as well as a data analysis plan for the State to approve. This workplan may be updated as needed throughout the project period.

Initials: AKB
Date: 12/01/23

8. The Contractor will:

- a. Engage with survivors that have lived experience with human trafficking who will provide input into the project design and delivery;
- b. Conduct a web-based baseline survey with collaborative stakeholders from the law enforcement, prosecution, victim advocacy and social service fields;
- c. Conduct semi structured interviews with both adult human trafficking survivors and collaborative stakeholders to provide foundational understanding of the current system response to human trafficking and identify what gaps exist; and
- d. Assess priority gaps in the system response to human trafficking.

9. The Contractor will provide key needs assessment findings, as well as a list of applicable recommendations that will help the State adapt practices to better meet the goals of professionals and address the needs of victims. Deliverables to accomplish this include, without limitation, the following:

- a. A brief report detailing the scope and nature of identified human trafficking cases and the awareness of human trafficking among relevant agencies and organizations;
- b. An action brief focusing on improving the experience victims have with the anti-trafficking community;
- c. A final report outlining needs assessment findings and recommendations to build system capacity and address gaps identified through the assessment; and
- d. A presentation to the State and collaborative stakeholders, highlighting key needs assessment findings and corresponding recommendations.

10. All Contractor correspondence and submittals shall be sent to:

State of New Hampshire
Department of Justice
Office of Victim/Witness Assistance
1 Granite Place South
Concord NH 03301

Initials: AKB
Date: 12/01/23

**EXHIBIT C
PAYMENT TERMS**

1. The State shall pay the Contractor an amount not to exceed the Form P-37, section 1.8, Price Limitation for services provided by the Contractor pursuant to Exhibit B, Scope of Services.

2. Payment for said services shall be made monthly as follows:

a. The Contractor will provide an Itemized Invoice, in a form satisfactory to the DOJ, that includes:

- i. The invoice period;
- ii. The identify of each service provided during that period;
- iii. The name of the person(s) who performed the services;
- iv. The amount due for each service;
- v. The cumulative total for all services; and
- vi. Correlation between the service and the approved work plan.

b. The DOJ shall make payment to the Contractor Payment within thirty (30) days of receipt of each Invoice, subsequent to approval of the submitted invoice and if sufficient funds are available.

c. The final invoice shall be due to the DOJ no later than thirty (30) days after the contract Form P-37 Block 1.7 Completion Date.

d. Invoices may be signed and emailed to Daniella.m.snook@doj.nh.gov or mailed to:

NH Department of Justice
Office of Victim/Witness Assistance
33 Capitol Street
Concord, NH 03301

e. Payment may be withheld pending receipt of the required reports or documentation as identified in Exhibit B, Scope of Work and in this Exhibit C and is contingent on continued availability of fender funding indicated above.

Initials: AKB
Date: 12/01/23

State of New Hampshire
Department of State

CERTIFICATE

I, David M. Scanlan, Secretary of State of the State of New Hampshire, do hereby certify that RESEARCH TRIANGLE INSTITUTE is a North Carolina Nonprofit Corporation registered to transact business in New Hampshire on April 05, 2000. I further certify that all fees and documents required by the Secretary of State's office have been received and is in good standing as far as this office is concerned.

Business ID: 338837

Certificate Number: 0006335013



IN TESTIMONY WHEREOF,

I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 17th day of October A.D. 2023.

A handwritten signature in black ink, appearing to read "David M. Scanlan".

David M. Scanlan
Secretary of State



Delegation of Signatory Authority Warrant

Abbey Boggs

In accordance with my delegation from the President and CEO, whose authority is authorized by resolution of the Board of Governors, and within the responsibilities of your position, you are hereby delegated the authority to execute all such documents, affidavits, certifications, contracts and other agreements related to Contracts that evidence a commitment on the part of RTI International and are undertaken in the ordinary course of business. The limitations of your delegated signatory authority are set forth below. This delegation remains in effect until it is amended and may not be subdelegated. All signature authority is deemed null and void once employment with RTI ends.

Limits of Signatory Authority
\$25,000,000

A handwritten signature in black ink that reads "Stacey Passwaters".

Stacey Passwaters
Sr. Director, Contracts
RTI International

December 1, 2023

Date



CERTIFICATE OF LIABILITY INSURANCE

DATE(MM/DD/YYYY)
10/18/2023

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 Aon Risk Services South, Inc. Charlotte NC Office 1111 Metropolitan Avenue, Suite 400 Charlotte NC 28204 USA	CONTACT NAME		
	PHONE (A/S, No. Ext): (866) 283-7122	FAX (A/S, No.): (800) 363-0105	
INSURER(S) AFFORDING COVERAGE			
INSURED RESEARCH TRIANGLE INSTITUTE Research Triangle Institute 3040 Cornwallis Rd PO Box 12194 Research Triangle Park NC 27709-2194 USA	INSURER A:	Transportation Insurance Co.	20494
	INSURER B:	ATI Insurance Company	19399
	INSURER C:		
	INSURER D:		
	INSURER E:		

COVERAGES CERTIFICATE NUMBER: 570102282082 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.

CLASS	TYPE OF INSURANCE	AUX. INSD.	SCHED. CODE	POLICY NUMBER	POLICY EFF. (MM/DD/YYYY)	POLICY EXP. (MM/DD/YYYY)	Limits shown are as requested		
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY			4034978327	06/01/2023	06/01/2024	EACH OCCURRENCE	\$1,000,000	
	<input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR						DAMAGE TO RENTED PREMISES (Per occurrence)	\$1,000,000	
	GEN. AGGREGATE LIMIT APPLIES PER:							MED EXP (Any one person)	\$15,000
	<input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC						PERSONAL & ADV INJURY	\$1,000,000	
	OTHER:						GENERAL AGGREGATE	\$2,000,000	
	AUTOMOBILE LIABILITY						PROPERTY DAMAGE (Per accident)	\$2,000,000	
	<input type="checkbox"/> ANY AUTO						COMBINED SINGLE LIMIT (Per accident)		
	<input type="checkbox"/> OWNED AUTOS ONLY	<input type="checkbox"/> SCHEDULED AUTOS					BODILY INJURY (Per person)		
	<input type="checkbox"/> HIRED AUTOS ONLY	<input type="checkbox"/> NON-OWNED AUTOS ONLY					BODILY INJURY (Per accident)		
	<input type="checkbox"/> UMBRELLA LIAB	<input type="checkbox"/> OCCUR					EACH OCCURRENCE		
	<input type="checkbox"/> EXCESS LIAB	<input type="checkbox"/> CLAIMS-MADE					AGGREGATE		
	<input type="checkbox"/> DED <input type="checkbox"/> RETENTION								
B	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY			WC015825006	06/01/2023	06/01/2024	<input checked="" type="checkbox"/> PER STATUTE	\$2M	
B	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/EMERGENCY (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N	N/A	WC015825007	06/01/2023	06/01/2024	<input type="checkbox"/> EL DISEASE-EMPLOYEE	\$1,000,000	
							<input type="checkbox"/> ILL DISEASE-POLICY LIMIT	\$1,000,000	

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

CERTIFICATE HOLDER New Hampshire Attorney General's Office New Hampshire Department of Justice 33 Capitol Street CONCORD NH 03301 USA	CANCELLATION 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 <i>Aon Risk Services South, Inc.</i>
---	---

Holder Identifier

570102282082

Certificate No :



ADDITIONAL REMARKS SCHEDULE

AGENCY Aon Risk Services South, Inc.		NAMED INSURED RESEARCH TRIANGLE INSTITUTE	
POLICY NUMBER See Certificate Number: 570102292062		EFFECTIVE DATE:	
CARRIER See Certificate Number: 570102292062	NAIC CODE		

ADDITIONAL REMARKS
 THIS ADDITIONAL REMARKS FORM IS A SCHEDULE TO ACORD FORM,
 FORM NUMBER: ACORD 25 FORM TITLE: Certificate of Liability Insurance

INSURER(S) AFFORDING COVERAGE	NAIC #
INSURER	
INSURER	
INSURER	
INSURER	

ADDITIONAL POLICIES If a policy below does not include limit information, refer to the corresponding policy on the ACORD certificate form for policy limits.

INSR ER	TYPE OF INSURANCE	ADPL INS	SUDR WVD	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YYYY)	POLICY EXPIRATION DATE (MM/DD/YYYY)	LIMITS
	WORKERS COMPENSATION						
B		N/A		WC015825008 WI	06/01/2023	06/01/2024	

Corporate Officers

Tim J. Gabel	President and CEO, RTI International
Christopher Buchholtz	Senior Vice President, Assistant Corporate Secretary & Assistant General Counsel
Steven Cornwell	Senior Vice President, Corporate Controller
Jorge Elguera	Executive Vice President and Chief Information Officer
Bucky Fairfax	Executive Vice President and Chief Human Resources Officer
Michael H. Kaelin, Jr.	Executive Vice President and Chief Financial Officer
Amy Roussel	Executive Vice President, Social, Statistical and Environmental Sciences
E. Ward Sax	Senior Vice President and Treasurer
G. Edward Story	Executive Vice President, General Counsel & Corporate Secretary
Paul Weisenfeld	Executive Vice President, International Development

RTI Budget Narrative

Overview

RTI's budget for the New Hampshire Human Trafficking Needs Assessment is presented in Time and Materials format. The total RTI budget, is \$199,590 This 12-month budget reflects labor needed to conduct a human trafficking needs assessment for July 1st, 2023 – July 31th, 2024.

Key Budget Assumptions

RTI's budget estimate is based on the following general assumptions:

- Office of Victim/Witness Assistance (OVWA) at the New Hampshire Attorney General's Office will assist RTI make connections with relevant anti-trafficking stakeholders in New Hampshire

Direct Labor

RTI's Time & Materials labor rates are based on RTI's GSA MAS Schedule, which the GSA has deemed fair and reasonable.

Budget Exhibit A: Labor Hours

Staff Name	Labor Category	Yr 1 Hrs	Total Hours
Kelle, Barrick	Senior Professional 3	135.0	135.0
Rebecca, Pfeffer	Senior Professional 2	165.0	165.0
Samantha, Charm	Professional 3	115.0	115.0
Lilly, Yu	Professional 4	265.0	265.0
Lauren, Vollinger	Professional 3	215.0	215.0
Julia, Brinton	Professional 3	60.0	60.0
Marianne, Kluckman	Professional 4	40.0	40.0
Matthew, Faerber	Senior Professional 2	30.0	30.0
TBD.SSES - TBD SR Financial Analyst	Senior Project Specialist	24.0	24.0

Project Role Descriptions

Kelle Barrick, *Project Director*, will oversee all research and management aspects of the study and will be responsible for maintaining quality, timeliness, and cost-effectiveness. She will oversee study design, instrumentation, analysis, and dissemination.

Rebecca Pfeffer, *Co-Project Director Role*, will support Dr. Barrick in all management tasks and lead the Boston-based research team. This will include conducting in-person interviews with stakeholders and survivors and engaging with the survivor consultants.

Samantha Charm, *Survivor Engagement Task Leader*, will lead engagement with the human trafficking survivor consultants. As a member of the Boston-based research team, she will also conduct in-person interviews with stakeholders and survivors.

Lilly Yu, *Stakeholder and Survivor Interview Task Lead*, will lead all qualitative analysis and developing the interview protocols.

Lauren Vollinger, *Survey Task Leader*, will lead the development of the stakeholder survey and contribute to the developing interview protocols and conducting qualitative analysis. She will be supported by **Julia Brinton**, *Survey Programmer*, who will program and administer the survey using REDCap, and by **Marianne Kluckman**, *Data Analyst*, who will conduct all quantitative analysis.

Matthew Faerber, *Editor*, will provide editing support for all reports and other products that are produced for the project.

TBD Financial Analyst provides oversight of the budget. This includes supporting the initial setup of the project, providing ongoing financial review and analysis for proper charging and accuracy, forecasting of costs, review of invoices, and preparation of contractually required financial reports. Financials analysts support a portfolio of multiple projects. If client reporting is contractually required, finance prefers to standardize reporting using existing systems for efficiency purposes. RTI is exempt, by name re OMB A-122 and is permitted to operate under "Commercial Cost Principles". Our Federally approved cost accounting system allows direct charging by project financial analysts.

Other Direct Costs (ODCs)

Service Expenses

Description	Unit	Unit Cost	Total Cost
Compensation (\$100 per interview)	20	\$100.00	\$2,000.00
Trint (transcription service)	6	\$75.00	\$450.00

We will interview up to 20 human trafficking survivors in New Hampshire and each will be compensated \$100 for their time.

Trint is an automated transcription software that will be used transcribe audio recorded interviews with human trafficking survivors and anti-trafficking stakeholders. It costs \$75/month, and we anticipate using the service for 6 months.

Consultant Expenses

Description	Unit	Unit Cost	Total Cost
2 lived experience consultants (\$650/day X 6 days each)	Per day	\$650.00	\$7,800.00

TBD Human Trafficking Survivor Expert Consultants, *Consultant*, will support the RTI team throughout the life of the project, including providing feedback on instrumentation, assisting in interpreting the study findings, and contributing to dissemination.

Research Triangle Institute



Proposal T&M Summary

Proposal : 0282301.440

Proposal Name: NH Human Trafficking Needs Assessment

				Year 1			Total		
				7/2023 - 7/2024					
				Hours	Rate	Amt	Hours	Amt	
Task01 - Task01-Engage	Labor	Barrick, Kelle	Senior Professional 3	20.0	249.62	4,992	20.0	4,992	
		Charm, Samantha B	Professional 3	20.0	146.72	2,934	20.0	2,934	
		Pfeffer, Rebecca D	Senior Professional 2	20.0	220.31	4,406	20.0	4,406	
		Vollinger, Lauren A	Professional 3	20.0	146.72	2,934	20.0	2,934	
	Labor - Total			80.0		15,267	80.0	15,267	
	ODCs	Consultants - Expense					7,800	0.0	7,800
		ODCs - Total			0.0		7,800	0.0	7,800
Task01 - Total				80.0		23,067	80.0	23,067	
Task02 - Task02-Survey	Labor	Barrick, Kelle	Senior Professional 3	60.0	249.62	14,977	60.0	14,977	
		Brinton, Julia E	Professional 3	60.0	146.72	8,803	60.0	8,803	
		Faerber, Matthew J	Senior Professional 2	10.0	220.31	2,203	10.0	2,203	
		Kluckman, Marianne N	Professional 4	40.0	169.34	6,774	40.0	6,774	
		Pfeffer, Rebecca D	Senior Professional 2	20.0	220.31	4,406	20.0	4,406	
		Vollinger, Lauren A	Professional 3	100.0	146.72	14,672	100.0	14,672	
	Labor - Total			290.0		51,835	290.0	51,835	
Task02 - Total				290.0		51,835	290.0	51,835	
Task03 - Task03-Stakeholder	Labor	Barrick, Kelle	Senior Professional 3	20.0	249.62	4,992	20.0	4,992	
		Charm, Samantha B	Professional 3	50.0	146.72	7,336	50.0	7,336	
		Faerber, Matthew J	Senior Professional 2	10.0	220.31	2,203	10.0	2,203	
		Pfeffer, Rebecca D	Senior Professional 2	80.0	220.31	17,625	80.0	17,625	
		Vollinger, Lauren A	Professional 3	50.0	146.72	7,336	50.0	7,336	
		Yu, Lilly	Professional 4	150.0	169.34	25,401	150.0	25,401	
	Labor - Total			360.0		64,893	360.0	64,893	
ODCs	Document Production					225	0.0	225	
	ODCs - Total			0.0		225	0.0	225	
Task03 - Total				360.0		65,118	360.0	65,118	
Task04 - Task04-Survivor	Labor	Barrick, Kelle	Senior Professional 3	20.0	249.62	4,992	20.0	4,992	
		Charm, Samantha B	Professional 3	30.0	146.72	4,402	30.0	4,402	
		Faerber, Matthew J	Senior Professional 2	10.0	220.31	2,203	10.0	2,203	
		Pfeffer, Rebecca D	Senior Professional 2	30.0	220.31	6,609	30.0	6,609	
		Vollinger, Lauren A	Professional 3	30.0	146.72	4,402	30.0	4,402	
		Yu, Lilly	Professional 4	100.0	169.34	16,934	100.0	16,934	
	Labor - Total			220.0		39,542	220.0	39,542	
ODCs	Document Production					225	0.0	225	
	Services - Expense					2,000	0.0	2,000	
ODCs - Total			0.0		2,225	0.0	2,225		
Task04 - Total				220.0		41,767	220.0	41,767	
Task05 - Task05-Mgmt	Labor	Barrick, Kelle	Senior Professional 3	15.0	249.62	3,744	15.0	3,744	
		Charm, Samantha B	Professional 3	15.0	146.72	2,201	15.0	2,201	
		Pfeffer, Rebecca D	Senior Professional 2	15.0	220.31	3,305	15.0	3,305	
		TBD SR Financial Analyst	Senior Project Specialist	24.0	158.80	3,811	24.0	3,811	
		Vollinger, Lauren A	Professional 3	15.0	146.72	2,201	15.0	2,201	
		Yu, Lilly	Professional 4	15.0	169.34	2,540	15.0	2,540	
Labor - Total			99.0		17,802	99.0	17,802		
Task05 - Total				99.0		17,802	99.0	17,802	
Overall - Total				1,049.0		199,590	1,049.0	199,590	

Research Triangle Institute

Proposal ODC Detail

Proposal : 0282301.440

Proposal Name: NH Human Trafficking Needs Assessment



Proposal	Description	Unit	Unit Price	Year 1		Total	
				07/2023 - 07/2024		Qty	Amt
				Qty	Amt		
Task01 - Task01-En	2 lived experience consultants (\$650/day X 6 days each)	per Day	650.00	12	7,800.00	12	7,800.00
	Total Consultants - Expense			12	7,800.00	12	7,800.00
Task03 - Task03-Sta	Trint (transcription service)	monthly	75.00	3	225.00	3	225.00
	Total Document Production			3	225.00	3	225.00
Task04 - Task04-Sur	Trint (transcription service)	monthly	75.00	3	225.00	3	225.00
	Total Document Production			3	225.00	3	225.00
	Compensation (\$100 per interview)	interview	100.00	20	2,000.00	20	2,000.00
	Total Services - Expense			20	2,000.00	20	2,000.00

RTI International Proprietary

Research Triangle Institute

Consolidated Financial Statements as of and for
the Years Ended September 30, 2022 and 2021,
Federal Awards Supplemental Information as of
and for the Year Ended September 30, 2022, and
Independent Auditor's Report

RESEARCH TRIANGLE INSTITUTE

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INDEPENDENT AUDITOR'S REPORT

To the Board of Governors of
Research Triangle Institute:

Report on the Audit of the Consolidated Financial Statements

Opinion

We have audited the consolidated financial statements of Research Triangle Institute and subsidiaries (the "Institute"), which comprise the consolidated balance sheets as of September 30, 2022 and 2021, and the related consolidated statements of revenue, costs, and changes in net assets and cash flows for the years then ended, and the related notes to the consolidated financial statements (collectively referred to as the "financial statements").

In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of the Institute as of September 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 (*Government Auditing Standards*). 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 Institute 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 Institute's ability to continue as a going concern for one year after the date that the financial statements are issued.

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 the Institute'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 Institute'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.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated December 7, 2022 on our consideration of the Institute'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 Institute'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 Institute's internal control over financial reporting and compliance.

Deloitte & Touche LLP

December 7, 2022

RESEARCH TRIANGLE INSTITUTE

CONSOLIDATED BALANCE SHEETS AS OF SEPTEMBER 30, 2022 AND 2021 (In thousands)

	2022	2021
ASSETS		
CURRENT ASSETS:		
Cash and cash equivalents	\$ 57,391	\$ 43,602
Restricted cash	12,702	14,358
Short-term investments	168,530	208,684
Accounts receivable—net of allowance of \$334 and \$189, respectively	86,320	74,705
Unbilled costs, fees, and contract assets	157,729	181,971
Prepaid expenses and other current assets	<u>20,861</u>	<u>17,749</u>
Total current assets	503,533	541,069
PROPERTY AND EQUIPMENT—Net	157,127	158,036
OPERATING LEASE RIGHT-OF-USE-ASSETS—Net	20,833	26,251
INVESTMENTS	84,603	103,955
GOODWILL, Net	7,842	8,968
OTHER NONCURRENT ASSETS	<u>22,041</u>	<u>25,442</u>
TOTAL ASSETS	<u>\$795,979</u>	<u>\$863,721</u>
LIABILITIES AND NET ASSETS		
CURRENT LIABILITIES:		
Accounts payable	\$ 83,827	\$102,933
Operating lease liabilities current	7,702	8,748
Current portion of long-term debt	31,770	32,960
Accrued compensated absences	27,610	31,062
Deferred revenue and contract liabilities	56,270	57,338
Other accrued expenses	<u>39,885</u>	<u>39,987</u>
Total current liabilities	247,064	273,028
LONG-TERM LIABILITIES:		
Long-term debt	44,169	50,111
Operating lease liabilities noncurrent	16,810	23,192
Other long-term liabilities	<u>11,782</u>	<u>19,468</u>
Total liabilities	<u>319,825</u>	<u>365,799</u>
COMMITMENTS AND CONTINGENCIES (Note 18)		
NET ASSETS:		
Net assets without donor restrictions:		
Undesignated net assets	465,324	485,371
Board-designated net assets	<u>10,103</u>	<u>10,082</u>
Total net assets without donor restrictions	475,427	495,453
Net assets with donor restrictions	<u>727</u>	<u>2,469</u>
Total net assets	<u>476,154</u>	<u>497,922</u>
TOTAL LIABILITIES AND NET ASSETS	<u>\$795,979</u>	<u>\$863,721</u>

See notes to consolidated financial statements.

RESEARCH TRIANGLE INSTITUTE

CONSOLIDATED STATEMENTS OF REVENUE, COSTS, AND CHANGES IN NET ASSETS FOR THE YEARS ENDED SEPTEMBER 30, 2022 AND 2021 (In thousands)

	2022	2021
REVENUE:		
Revenues from contracts and contribution awards	\$ 1,179,594	\$ 1,070,816
Contributions of nonfinancial assets	<u>14,808</u>	<u>7,132</u>
Total revenue	<u>1,194,402</u>	<u>1,077,948</u>
DIRECT COSTS:		
Salaries and employee benefits	329,043	302,607
Other direct costs	<u>494,495</u>	<u>432,235</u>
Total direct costs	823,538	734,842
INDIRECT COSTS	<u>358,920</u>	<u>332,765</u>
Total direct and indirect costs	<u>1,182,458</u>	<u>1,067,607</u>
EXCESS OF REVENUE OVER DIRECT AND INDIRECT COSTS	11,944	10,341
INVESTMENT (EXPENSE) INCOME—Net	(24,836)	47,644
OTHER EXPENSE—Net	(12,314)	(93)
INTEREST INCOME—Net	<u>7,661</u>	<u>2,616</u>
OPERATING (LOSS) INCOME BEFORE INCOME TAX EXPENSE	(17,545)	60,508
INCOME TAX EXPENSE	<u>(614)</u>	<u>(847)</u>
NET OPERATING (LOSS) INCOME	(18,159)	59,661
POSTRETIREMENT CHANGES OTHER THAN NET PERIODIC BENEFIT COSTS	(1,862)	3,100
CURRENCY TRANSLATION	<u>(5)</u>	<u>26</u>
(DECREASE) INCREASE IN NET ASSETS WITHOUT DONOR RESTRICTIONS	(20,026)	62,787
(DECREASE) INCREASE IN NET ASSETS WITH DONOR RESTRICTIONS	<u>(1,742)</u>	<u>91</u>
Total (decrease) increase in net assets	(21,768)	62,878
TOTAL NET ASSETS:		
Beginning of year	<u>497,922</u>	<u>435,044</u>
End of year	<u>\$ 476,154</u>	<u>\$ 497,922</u>

See notes to consolidated financial statements.

RESEARCH TRIANGLE INSTITUTE

CONSOLIDATED STATEMENTS OF CASH FLOWS FOR THE YEARS ENDED SEPTEMBER 30, 2022 AND 2021 (In thousands)

	2022	2021
CASH FLOWS FROM OPERATING ACTIVITIES:		
(Decrease) increase in net assets	\$ (21,768)	\$ 62,878
Adjustments to reconcile change in net assets to cash provided by operating activities:		
Depreciation and amortization	16,631	18,421
Noncash lease expense	7,233	9,126
Dividends reinvested	(22,355)	(1,435)
Realized and unrealized loss (gain) on investments—net	49,797	(42,056)
Realized and unrealized gain on derivatives—net	(10,698)	(7,120)
Distributions of earnings from unconsolidated affiliates	-	-
Equity in income of unconsolidated affiliates	-	-
Postretirement changes other than net periodic pension cost	1,862	(3,100)
Loss on bankruptcy—net of cash	-	2,470
Other loss (gain)—net	13,485	(831)
Changes in other operating assets and liabilities:		
Accounts receivable, unbilled costs and fees, and contract assets	13,121	(67,921)
Other operating assets	(7,225)	(6,438)
Accounts payable	(20,267)	47,632
Deferred revenue	(1,068)	11,509
Other operating liabilities	(17,210)	(14,154)
Net cash provided by operating activities	<u>1,538</u>	<u>8,981</u>
CASH FLOWS FROM INVESTING ACTIVITIES:		
Proceeds from sale of investments	49,558	29,557
Purchases of investments	(18,338)	(34,544)
Distributions in excess of equity in earnings of unconsolidated affiliates	-	-
Repayment of note receivable	-	5,000
Business acquisition	-	-
Acquisition of property and equipment	(13,576)	(7,482)
Net cash provided by (used in) investing activities	<u>17,644</u>	<u>(7,469)</u>
CASH FLOWS FROM FINANCING ACTIVITIES:		
Proceeds from lines of credit	290,314	3,309
Payments on lines of credit	(290,314)	(3,309)
Payments on variable rate term loan	(4,000)	(4,000)
Payments on bonds payable	(3,040)	(2,910)
Net cash used in financing activities	<u>(7,040)</u>	<u>(6,910)</u>
NET INCREASE (DECREASE) IN CASH, CASH EQUIVALENTS, AND RESTRICTED CASH	12,142	(5,398)
EFFECT OF EXCHANGE RATE CHANGES ON CASH AND CASH EQUIVALENTS	(9)	(22)
CASH, CASH EQUIVALENTS, AND RESTRICTED CASH:		
Beginning of year	<u>57,960</u>	<u>63,380</u>
End of year	<u>\$ 70,093</u>	<u>\$ 57,960</u>

(Continued)

RESEARCH TRIANGLE INSTITUTE

CONSOLIDATED STATEMENTS OF CASH FLOWS FOR THE YEARS ENDED SEPTEMBER 30, 2022 AND 2021 (In thousands)

	2022	2021
SUPPLEMENTAL DISCLOSURES OF CASH FLOW INFORMATION—Cash paid during the year for:		
Income taxes	<u>\$ 664</u>	<u>\$ 422</u>
Interest	<u>\$ 2,432</u>	<u>\$ 2,616</u>
SUPPLEMENTAL DISCLOSURE OF CASH FLOW INFORMATION—Noncash transactions:		
Construction in process accruals	<u>\$ 623</u>	<u>\$ 632</u>
Limited partnership interest transfer received	<u>\$ 1,404</u>	<u>\$ -</u>
Receivable from Investment liquidation held at escrow	<u>\$ 1,331</u>	<u>\$ -</u>
SUPPLEMENTAL DISCLOSURE OF CASH FLOW INFORMATION—		
Reconciliation of cash, cash equivalents, and restricted cash reported in consolidated balance sheets:		
Cash and cash equivalents	\$ 57,391	\$ 43,602
Restricted cash	<u>12,702</u>	<u>14,358</u>
Total cash, cash equivalents, and restricted cash	<u>\$ 70,093</u>	<u>\$ 57,960</u>

See notes to consolidated financial statements.

(Concluded)

RESEARCH TRIANGLE INSTITUTE

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS AS OF AND FOR THE YEARS ENDED SEPTEMBER 30, 2022 AND 2021

1. ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization—Research Triangle Institute (the “Institute”), which operates under the trade name RTI International, is one of the world’s leading independent nonprofit research organizations, dedicated to conducting research and development that improves the human condition by turning knowledge into practice. The Institute was established in 1958 by a joint action of Duke University, the University of North Carolina, and North Carolina State University (the latter two, which are now governed under the University of North Carolina System), as the founding tenant of Research Triangle Park, North Carolina. The Institute is a separately operated North Carolina nonprofit corporation that performs multidisciplinary research, development, and technical services under contract to clients in federal and foreign governments, industry, and public service agencies and is exempt from taxation under Section 501(c)(3) of the Internal Revenue Code (IRC). With a worldwide staff of more than 5,800 employees, the Institute offers a full spectrum of multidisciplinary services in health, education and workforce development, energy and environment, food security and agriculture, international development, and innovation.

Four individuals from the Institute’s founding institutions—Duke University and the University of North Carolina System—serve as the members of the Institute and are responsible for electing the Board of Governors (the “Board”). Corporate oversight is provided by the Board, which consists of representatives from the founding institutions, members elected from business and professional communities, and the president of the Institute. The Institute collaborates with its founding institutions on research programs and projects and maintains such relationships as adjunct faculty appointments, cooperative research programs, and other professional contacts. During the years ended September 30, 2022 and 2021, revenues from these activities amounted to \$10.6 million and \$6.1 million, respectively. Further, for the years ended September 30, 2022 and 2021, expenditures related to these activities amounted to \$10.8 million and \$8.6 million, respectively.

Basis of Presentation—The accompanying consolidated financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America (GAAP). The consolidated financial statements include the accounts of the Institute and its wholly owned subsidiaries. All significant intercompany balances and transactions have been eliminated.

The preparation of the consolidated financial statements in accordance with 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 dates of the consolidated financial statements. Actual results could differ from those estimates.

Subsequent Events—Management has updated its consideration of subsequent events through December 7, 2022 the date these consolidated financial statements were issued.

Business Combinations—Business combinations are accounted for using the acquisition method of accounting. Under the acquisition method of accounting, acquired assets and assumed liabilities are included with the acquirer’s accounts as of the date of acquisition at estimated fair value, with any

excess of purchase price over the fair value of the net assets acquired (including certain identifiable intangible assets), capitalized as goodwill. Certain intangible assets are recognized as an asset apart from goodwill when it arises from contractual or other legal rights or if it is capable of being separated or divided from the acquired entity and sold, transferred, licensed, rented, or exchanged. Intangible assets related to noncompetition agreements or customer-related intangibles are recognized as part of goodwill. In addition, acquisition-related costs and restructuring costs are recognized as period expenses as incurred.

Revenue Recognition—The Institute's sources of revenue include contract and contribution revenues primarily from agreements with agencies of the federal government.

Generally, it has been concluded that fixed fee, fee-bearing cost reimbursable, and time and materials contracts are exchange transactions subject to Accounting Standards Codification (ASC) 606, *Revenue from Contracts with Customers* (ASC 606), and grants, cooperative agreements, and non-fee-bearing cost reimbursable contracts are contributions subject to ASC 958, *Not-for-Profit Entities* (ASC 958).

Exchange Transactions—In accordance with ASC 606 for exchange transactions, the Institute recognizes revenue when, or as, performance obligations are satisfied under a contract. A performance obligation is the unit of account for revenue recognition and refers to a promise in a contract to transfer a distinct service or good to the customer. For the majority of contracts, the Institute combines multiple promises into a single performance obligation due to the multiple promises being either highly interrelated or through providing a significant integration of services that represent a combined output. Performance obligations may be satisfied over time or at a point in time, but the majority of the Institute's performance obligations are satisfied over time.

The Institute evaluates whether it has an enforceable contract with a customer when rights of the parties and payment terms are identified, and collectability is probable. The Institute also evaluates if a contract has multiple promises and if each promise should be accounted for as separate performance obligations or as a single performance obligation.

The transaction price is the estimated amount of consideration expected to be received for performance under the Institute's contracts. Contract terms may contain variable consideration. The Institute includes variable consideration in the transaction price only to the extent it is probable that a significant reversal of cumulative revenue recognized will not occur when the uncertainty associated with the variable consideration is resolved. The Institute does not include unfunded contract balances in the transaction price until funding is provided from the customer.

For the majority of its exchange transactions, the Institute recognizes revenue over time as there is a continuous transfer of control to the customer over the contract's period of performance.

Generally, the cost-to-cost method is used to recognize revenue over time for fixed price and cost reimbursement contracts. The cost-to-cost method recognizes revenue based on the entity's efforts or inputs to the satisfaction of a performance obligation relative to the total expected inputs to the satisfaction of that performance obligation. The cost-to-cost method is considered a faithful representation of the delivery of services as efforts to complete a contract are expended over the period of performance. Changes in estimates of costs to complete result in the recognition of a cumulative effect adjustment in the period a change in estimate occurs. Estimated losses on agreements are provided for in the period the losses are first determined.

The Institute recognizes revenue using the right to invoice practical expedient for time and materials contracts as the Institute can invoice the customer in an amount that corresponds directly with the value received by the customer for performance completed to date.

Contributions—Grants, cooperative agreements, and non-fee-bearing cost reimbursable contracts are classified as contributions in instances where there is not an exchange of commensurate value. In general, the Institute recognizes revenue over the contribution agreement's period of performance and not at the time of its award. Where these agreements contain barriers and restrictions with a right of return, contribution revenue is recognized upon satisfaction of the indicated conditions, which is generally by the occurrence of an allowable cost. The Institute has elected to present contributions whose restrictions are met in the same reporting period that revenue is recognized as net assets without donor restrictions.

The Institute also enters into cost-sharing arrangements in which it receives in-kind contributed services or supplies from third-party contractors. In-kind contributions received by the Institute are valued at fair value and recorded as revenue in the consolidated statement of revenue, costs, and changes in net assets. Likewise, in-kind contributions received by the Institute are recognized as an expense on the related project and are reflected as direct costs in the consolidated statement of revenue, costs, and changes in net assets.

Expense Recognition—Direct and indirect costs are expensed as incurred. Direct costs are those costs that can be specifically identified with a particular project. Indirect costs represent overhead costs, which primarily consist of salaries and benefits, materials and services, strategic initiatives, depreciation, rent, and utilities expenditures.

Internal Service Center Allocations—Indirect labor and other costs of certain service centers, such as information technology services and facilities, are charged directly to contracts and overhead cost centers as direct or indirect services.

Concentration of Credit Risk—Financial instruments that potentially subject the Institute to concentration of credit risk consist principally of cash and cash equivalents. The Institute places its cash and cash equivalents in the United States primarily in federally insured financial institutions, which limits its credit exposure. At times, these cash amounts may be in excess of the Federal Deposit Insurance Corporation insurance limits. In addition, as of September 30, 2022 and 2021, the Institute had approximately \$4.5 million and \$3.6 million, respectively, of international cash deposits in financial institutions that may not be insured to the same extent as monies in U.S. institutions. In order to mitigate this risk, the Institute maintains cash accounts in international financial institutions with certain required credit ratings and maintains minimal necessary balances in smaller international financial institutions.

The federal government is the Institute's major client, making up 84.0% and 82.8% of revenue for the years ended September 30, 2022 and 2021, respectively. As of September 30, 2022 and 2021, accounts receivable from the federal government amounted to \$48.7 million and \$44.0 million, respectively.

Cash and Cash Equivalents and Restricted Cash—All highly liquid investments purchased with an original maturity of three months or less are considered cash equivalents. As of September 30, 2022 and 2021, restricted cash included \$12.0 million and \$13.7 million, respectively, in customer advances that must be returned if not expended by the Institute.

Accounts Receivable—Accounts receivable consists of costs that have been incurred for which the Institute has invoiced the client in accordance with the contractual terms and conditions of the underlying agreements. Receivables are recorded at approved rates for services and goods. The Institute has established an allowance for uncollectible accounts based upon historical performance.

Unbilled Costs, Fees, and Contract Assets/Deferred Revenue and Contract Liabilities—The timing of revenue recognition may differ from the timing of billing and cash receipts from customers. Amounts are invoiced as work progresses, typically monthly in arrears, or upon achievement of contractual milestones. The Institute records an asset when revenue is recognized prior to invoicing, or a contract liability when cash is received in advance of recognizing revenue. Contract assets are recognized on exchange transactions and represent a right to consideration that is conditional upon factors other than the passage of time. Contract assets include unbillable receivables but exclude billed and billable receivables. Billed and billable receivables are rights to consideration, which are unconditional other than to the passage of time. Contract liabilities include customer advances and deferred revenue. Contract assets and liabilities are recorded net on a contract by contract basis and are generally classified as current based on the Institute's contract operating cycle.

Debt and Equity Securities—Debt securities and equity securities with readily determinable fair values are recorded at fair value. Certain investments' fair value is measured using net asset value (NAV) per share, based on the fair value of the respective fund's underlying investments less the fund's liabilities. Unrealized gains and losses associated with these securities are recognized in the consolidated statements of revenue, costs, and changes in net assets.

For equity securities without readily determinable fair values, the Institute has elected a measurement alternative whereby these securities are recorded at cost, adjusted for changes resulting from observable price changes (in orderly transactions for the identical or similar investment of the same issuer), and less impairment. To determine impairment, a qualitative assessment is performed and if this assessment indicates that impairment exists, an estimate of fair value is determined. Any impairments are recognized in the consolidated statements of revenue, costs, and changes in net assets.

While the Institute believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Equity Method Investments—Equity method investments include those in which the Institute does not have control but has the ability to exercise significant influence over operating and financial policies. These investments are initially recorded at cost and are subsequently adjusted for the Institute's share of earnings and cash contributions and distributions. The Institute analyzes other-than-temporary impairment of these investments regularly. Other-than-temporary impairments are recognized in the consolidated statements of revenue, costs, and changes in net assets.

Property and Equipment—Property and equipment is composed of land, research facilities, office space, furniture, computer equipment, and leasehold improvements, which are recorded at cost and depreciated over the asset's useful life using the straight-line method as follows:

Buildings and Improvements	10 to 45 years
Equipment and furniture	3 to 10 years

Leasehold improvements are amortized over the life of the related asset or the life of the lease, whichever is shorter.

Expenditures for maintenance and repairs of property and equipment, which do not materially prolong the useful lives or significantly increase the productive capacity of the assets, are charged to indirect costs as incurred. Major expenditures for betterments or renovations are capitalized and depreciated.

The Institute also acquires equipment and furniture under its contracts with agencies of the federal government. The Institute does not have title to these assets, and these are not included in the consolidated balance sheets. The Institute must maintain an inventory and return the assets to the government entity as instructed.

Leases—The Institute leases property and equipment under operating leases and determines if an arrangement is a lease at the inception of the contract. Right-of-use (“ROU”) assets represent the Institute’s right to use the underlying assets for the lease term, and lease liabilities represent the Institute’s obligation to make lease payments arising from the leases. For leases with terms greater than 12 months, the related ROU assets and lease liabilities are recorded at the present value of the future lease payments over the term of the lease. The initial measurement of the ROU asset is equal to the initial lease liability plus any indirect costs and prepayments, less any lease incentives.

The Institute made an accounting policy election not to recognize ROU assets and lease liabilities for leases with a term of 12 months or less. Lease payments for these leases are recognized as lease costs on a straight-line basis over the lease term.

The Institute has elected to account for lease components and the associated non-lease components in contracts as a single lease component for all classes of underlying assets. Further, as the Institute generally does not know the implicit rate for its leases, in calculating lease liabilities, the Institute has elected to use the risk-free rate of return across the portfolio of leases with similar durations.

The Institute’s operating leases are primarily for real estate, including office space, research facilities and equipment. Certain of the Institute’s real estate leases contain options to renew or extend the terms of the lease, as well as termination options that could shorten the original lease term, which are included in the determination of the ROU assets and lease liabilities when it is reasonably certain that the Institute will exercise the option.

The Institute recognizes lease costs on a straight-line basis over the remaining lease term, except for variable lease payments that are expensed in the period in which the obligation for those payments is incurred. Lease agreements do not contain any material residual value guarantees, restrictions, or covenants.

Goodwill and Other Intangible Assets—Goodwill represents the excess purchase price over the fair value of the net assets acquired. The Institute has elected to amortize goodwill on a straight-line basis over 10 years and has made the elections to perform goodwill impairment triggering event evaluation as of the end of the annual reporting period and to perform goodwill impairment tests at the entity level. Goodwill is evaluated for impairment whenever events or changes in circumstances would indicate impairment. Should a triggering event occur, and the estimated fair value of the Institute is less than its respective carrying value, including goodwill, an impairment charge equal to the difference between the Institute’s fair value and carrying value will be incurred. Goodwill is reported separately in the consolidated balance sheets.

Other intangible assets consist of customer relationships, acquired customer backlog, developed technology, trademarks, and noncompete agreements. Other intangible assets are stated at amortized cost and amortized based upon the asset's economic life. Other intangible assets are tested for impairment whenever factors indicate the carrying amount may not be recoverable. Other intangible assets are recorded in other noncurrent assets in the consolidated balance sheets.

Cloud Computing Service Arrangements—The Institute incurs costs to implement cloud computing arrangements (CCAs) that are hosted by third-party vendors under service contracts. Costs incurred in the preliminary project and postimplementation stages are expensed, while certain costs incurred during the application development stage are capitalized and recorded in prepaid expenses and other current assets and other noncurrent assets in the consolidated balance sheets. Capitalized costs are amortized on a straight-line basis over the reasonably certain term of the hosting arrangement for each module or component of the related hosting arrangement when it is ready for its intended use. Expenses related to the capitalized implementation costs are presented in the same line item of the consolidated statements of revenue, costs, and changes in net assets as the fees associated with the hosting element of the arrangement.

Impairment of Long-lived Assets—The Institute evaluates the potential impairment of long-lived assets whenever events or changes in circumstances indicate that the related carrying amounts may not be recoverable. If the carrying value of long-lived assets held and used exceeds the sum of the undiscounted expected future cash flows, the carrying value is written down to fair value. In order for long-lived assets to be considered held for disposal, the Institute must have committed to a plan to dispose of the assets. Once deemed held for disposal, the assets are stated at the lower of the carrying amount or fair value. In addition, the Institute may decide to abandon an asset. A decision to abandon an asset requires the establishment of a plan of abandonment, which occurs when the Institute has committed to a plan to abandon the asset before the end of its previously estimated useful life, and there is no expectation that the Institute will re-use or re-purpose the asset.

Derivative Instruments—Derivatives are recognized at fair value in the consolidated balance sheets.

Accrued Compensated Absences—Accrued compensated absences are paid leave, which may be used by employees for time away from work for vacation, as well as for illness of the employee or family members. Full-time and part-time employees are eligible for accrued compensated absences and accrue time off at various rates depending on years of service.

Self-Insurance—The Institute has self-insured medical and dental plans, which cover the majority of its employees, Consolidated Omnibus Reconciliation Act participants, and all non-Medicare eligible retirees. These plans are administered by separate third party administrators. The Institute is also self-insured for workers' compensation for employees working in the state of North Carolina. The Institute purchases, per occurrence, stop-loss insurance policies to cover medical and workers' compensation claims in excess of the policy deductibles. The appropriateness of stop-loss deductible limits is evaluated annually and adjusted as warranted.

Included in the estimated liability are estimates of incurred, but not reported claims and incremental claim adjustments. As of September 30, 2022 and 2021, the Institute had related reserves approximating \$3.4 million and \$3.8 million, respectively, reflected in other accrued expenses in the consolidated balance sheets.

Income Taxes—As provided by Section 501(c)(3) of the IRC and the Internal Revenue Service's determination, the Institute's charitable, scientific, and educational operations are exempt from corporate income taxes and no provision for corporate income tax is generally required. However, this tax exemption does not pertain to activities unrelated to the Institute's exempt purposes. The Institute's presence in certain foreign countries results in income taxation in these countries. Additionally, the Institute has several for-profit entities subject to corporate income taxation. These for-profit entities' operating losses and goodwill impairments have primarily contributed to a \$2.8 million and a \$3.4 million net deferred tax asset that has been offset with a full valuation allowance as of the years ended September 30, 2022 and 2021, respectively. Income taxes associated with foreign operations, unrelated business income, and income generated by the Institute's for-profit entities are not material for the Institute.

All not-for-profit organizations, including the Institute, are subject to the provisions of ASC 740, *Income Taxes*, related to the accounting for uncertainty in tax positions, including the financial statement recognition and measurement of a tax position taken or expected to be taken in a tax return. The tax benefit from an uncertain tax position is only recognized in the consolidated balance sheets if the tax position is more likely than not to be sustained upon an examination, based on the technical merits of the position. Interest and penalties, if any, are included in tax expense in the consolidated statements of revenue, costs, and changes in net assets. As of September 30, 2022 and 2021, the Institute had no uncertain tax positions that qualify for recognition or disclosure in the consolidated financial statements. The Institute's earliest open tax year for U.S. federal income tax purposes is its fiscal year ended September 30, 2019.

Foreign Currency—For reporting purposes, the Institute translates the assets and liabilities of its foreign entities at the exchange rates in effect at year end. Revenue and costs are reported using average exchange rates in effect during the period. Gains and losses from foreign currency translation are credited or charged to net assets in the accompanying consolidated statements of revenue, costs, and changes in net assets. Realized exchange gains and losses are included in net operating results for the years presented.

Net Assets—Net assets without donor restrictions include undesignated amounts as well as amounts designated by the Board for a specific purpose. The undesignated net assets are available for the overall operations of the Institute. The Board-designated net assets are to be used for multi-lateral collaborative initiatives by and among the Institute, Duke University, the University of North Carolina System, and other parties as determined by the University Research Collaboration Committee of the Board.

Net assets with donor restrictions include contributions and other inflows of assets whose use is limited by donor-imposed stipulations that either expire by passage of time or can be fulfilled and removed by actions of the Institute pursuant to those stipulations.

Net assets with donor restrictions also include contributions and other inflows of assets whose use by the Institute is limited by donor-imposed stipulations in perpetuity. For the year ending September 30, 2021, these assets primarily related to the Institute's 25% beneficial interest in the George Watts Hill Foundation Trust (the "Trust"). As a beneficiary, the Institute was required to hold the corpus of this interest in perpetuity. Under the Trust agreement, Trust income and distributions were to be used for certain facility costs, which are defined by the Trust and are classified as restricted until these facility costs are incurred. Unrealized gains and losses on the fair value beneficial interest in the Trust are recorded as an adjustment to the beneficial interest asset and net assets with donor restrictions. As of

September 30, 2021, the fair value of the corpus of the Institute's beneficial interest asset in the Trust approximated \$1.8 million and was recorded in other noncurrent assets in the consolidated balance sheets.

On June 20, 2022, a modification to the Trust was decreed (the "Modification"), and the Institute's 25% beneficial interest in the Trust was reallocated to another beneficiary. At the time of the Modification, the fair value of the corpus of the Institute's beneficial interest in the Trust approximated \$1.6 million. The Institute adjusted the beneficial interest asset to zero and recognized a decrease of \$1.6 million in net assets with donor restrictions. The Institute retained the previously earned Trust income and distributions, which continue to be designated for certain facility costs defined by the Modification and are classified as restricted until these costs are incurred.

Consolidated Statements of Revenue, Costs, and Changes in Net Assets—The Institute utilizes a business financial reporting model similar to the accounting guidance on comprehensive income. This includes identification and use of a measure that is the functional equivalent of income from continuing operations of a for-profit organization (i.e., a performance indicator). The caption in the consolidated statements of revenue, costs, and changes in net assets titled "Net operating income" represents such a performance indicator.

2. RECENT ACCOUNTING PRONOUNCEMENTS

Recently Adopted Financial Accounting Standards Board (FASB) Accounting Standards Update (ASU) No. 2020-07, *Not-for-Profit Entities (Topic 958)—Presentation and Disclosures by Not-for-Profit Entities for Contributed Nonfinancial Assets*—In September 2020, the FASB issued guidance that requires not-for-profit entities to (1) present contributed nonfinancial assets as a separate line item in the statement of activities, apart from contributions of cash and other financial assets, and (2) include certain disclosures with respect to contributed nonfinancial assets.

Effective October 1, 2021, the Institute adopted ASU 2020-07 and applied the new accounting principle retrospectively. For the years ending September 30, 2022 and 2021, the Institute began separately presenting contributed nonfinancial assets in the consolidated statement of revenue, costs, and changes in net assets. Further, contributed nonfinancial asset revenue has been disaggregated between professional services and contributed equipment and supplies. See Note 4 for further details.

3. DIVESTITURE

Team Syntegrity Americas Inc. ("TSA") Divestiture—In early fiscal 2021, the Institute began exploring different strategies to divest its interest in TSA. Subsequently TSA filed for bankruptcy under section 49 of the Canadian Bankruptcy and Insolvency Act in June 2021. As a result of this filing, the Institute determined that it no longer had a controlling financial interest in TSA and deconsolidated the subsidiary, derecognizing all assets, liabilities and equity of TSA from the consolidated financial statements. This resulted in a loss on deconsolidation of \$3.2 million for the year ended September 30, 2021, which is included in other expense in the consolidated statements of revenue, costs, and changes in net assets. Subsequent to the bankruptcy filing, the TSA landlord drew upon a letter of credit the Institute had in place, resulting in a payment of \$0.1 million during the year ended September 30, 2021.

4. REVENUE RECOGNITION

Revenue recognized for exchange transactions and contributions totaled \$1,194.4 million and \$1,077.9 million for the years ended September 30, 2022 and 2021, respectively, and is reported in revenue in the consolidated statements of revenue, costs, and changes in net assets. For the years

ended September 30, 2022 and 2021, the Institute recognized revenues from exchange transactions of \$687.4 million and \$675.8 million, respectively, and contributions of \$507.0 million and \$402.1 million, respectively.

Exchange Transactions—The Institute disaggregates its revenue from contracts with customers by contract type and customer type, as management believes that they best depict how the nature, amount, timing, and uncertainty of the Institute’s revenue and cash flows are affected by economic factors. The following table summarizes revenue from contracts with customers by contract type and customer type for the years ended September 30, 2022 and 2021 (In thousands):

Contract Types	2022		
	Federal	Nonfederal	Total
Cost reimbursable	\$ 333,855	\$ 7,447	\$ 341,302
Fixed price	66,043	126,740	192,783
Time and materials	108,238	43,366	151,604
Other	(600)	2,301	1,701
Total revenues	<u>\$ 507,536</u>	<u>\$ 179,854</u>	<u>\$ 687,390</u>

Contract Types	2021		
	Federal	Nonfederal	Total
Cost reimbursable	\$ 337,408	\$ 11,005	\$ 348,413
Fixed price	55,690	107,578	163,268
Time and materials	95,114	53,178	148,292
Other	10,207	5,619	15,826
Total revenues	<u>\$ 498,419</u>	<u>\$ 177,380</u>	<u>\$ 675,799</u>

At year end, contracts remain active and have periods of performance that extend into subsequent fiscal years. As of September 30, 2022 and 2021, the aggregate amount of contract transaction price that remains for future revenue recognition, excluding time and materials and unfunded contract balances, was \$549.2 million and \$602.7 million, respectively, the majority of which the Institute expects to recognize in revenue over the next 24 months.

The components of contract balances associated with contract assets and contract liabilities associated with exchange transactions as of September 30, 2022 and 2021, consisted of the following (in thousands):

Contract Balances	Consolidated Balance Sheet Line Item	2022	2021
Contract assets	Unbilled costs, fees, and contract assets	\$ 91,965	\$ 84,633
Billable receivables	Unbilled costs, fees, and contract assets	4,716	3,584
Contract liabilities	Deferred revenue	38,018	36,646

The increase in unbilled receivables was primarily due to the timing of billings and revenue recognized on certain contracts. The increase in deferred revenue was primarily due to the timing of advance payments from customers partially offset by revenue recognized during the year ended September 30, 2022.

The Institute expects to bill its customers for a majority of the September 30, 2022, contract assets during the next 12 months. During the years ended September 30, 2022 and 2021, the Institute recognized revenues of \$27.0 million and \$22.4 million, respectively, relating to amounts that were included as a contract liability as of September 30, 2021, and September 30, 2020, respectively. It is anticipated that the majority of the deferred revenue balance as of September 30, 2022, will be recognized as revenue during the next 12 months.

The Institute did not recognize any impairment losses on contract assets in the years ended September 30, 2022 and 2021, respectively.

Contributions—The table below summarizes contributions received, exclusive of contributions of nonfinancial assets, by type and funding source, for the years ended September 30, 2022 and 2021 (in thousands):

Agreement Types	2022		
	Federal	Nonfederal	Total
Cooperative agreement	\$ 274,488	\$ -	\$ 274,488
Grant	62,544	8,509	71,053
Non-fee-bearing cost reimbursable	<u>143,481</u>	<u>3,182</u>	<u>146,663</u>
Total revenues	<u>\$ 480,513</u>	<u>\$ 11,691</u>	<u>\$ 492,204</u>
Agreement Types	2021		
	Federal	Nonfederal	Total
Cooperative agreement	\$ 218,714	\$ -	\$ 218,714
Grant	50,485	9,611	60,096
Non-fee-bearing cost reimbursable	<u>115,055</u>	<u>1,152</u>	<u>116,207</u>
Total revenues	<u>\$ 384,254</u>	<u>\$ 10,763</u>	<u>\$ 395,017</u>

As of September 30, 2022 and 2021, the aggregate amount of conditional promises to be received in future years related to the Institute's ongoing operating programs totaled \$554.7 million and \$661.8 million, respectively. The Institute had billable receivables of \$61.2 million and \$93.8 million for contributions as of September 30, 2022 and 2021, respectively, and is included in the unbilled costs, fees, and contract assets line in the consolidated balance sheets. The amounts billed are expected to be received within one year.

Contributed Nonfinancial Assets—For the years ended September 30, 2022 and 2021, contributed nonfinancial assets recognized within the consolidated statements of revenue, costs, and changes in net assets consisted of the following (in thousands):

	2022	2021
Professional services	\$ 13,663	\$ 4,514
Equipment and supplies	<u>1,145</u>	<u>2,618</u>
Total contributed nonfinancial assets	<u>\$ 14,808</u>	<u>\$ 7,132</u>

The Institute recognizes contributed nonfinancial assets, consisting of professional services, and equipment and supplies. These assets are utilized in the ongoing mission of the Institute, to improve the human condition, through its varied project work both domestically and internationally. These projects include research, community building, medical and educational services, research and development, and logistical and administrative assistance. Contributed nonfinancial assets did not have donor-imposed restrictions.

Contributed professional services recognized comprise professional services in fields such as medicine, education, research, and retail services. Contributed services are valued and are reported at the estimated fair value in the consolidated financial statements based on the rates of similar services in the jurisdiction where the services were performed.

Contributed equipment and supplies consist of technology, such as laptops and peripherals, as well as research and educational supplies. In valuing contributed equipment and supplies, the Institute estimated the fair value on the basis of estimates of wholesale values that would be received for selling similar products in the jurisdiction the equipment and supplies were provided.

5. FUNCTIONAL EXPENSES

The Institute performs applied and basic research and technical services under contract to clients in business, industry, public service agencies, and federal and foreign governments. Costs are allocated in accordance with Cost Accounting Standards established by the federal government. Expenses, by function, related to providing these services during the years ended September 30, 2022 and 2021, are as follows (in thousands):

	2022	2021
Programs expense (including research and other projects):		
Salaries and employee benefits	\$ 478,017	\$ 434,965
Subcontractor and consultant costs	344,537	321,595
Other direct program costs	<u>246,588</u>	<u>192,373</u>
Total programs expense	<u>1,069,142</u>	<u>948,933</u>
Support expense (principally general and administrative):		
Salaries and employee benefits	96,702	95,022
Other support costs	<u>16,614</u>	<u>23,652</u>
Total support expense	<u>113,316</u>	<u>118,674</u>
Total	<u>\$ 1,182,458</u>	<u>\$ 1,067,607</u>

6. LIQUIDITY

The Institute's financial assets available for general expenditure within one year of September 30, 2022 and 2021, include the following (in thousands):

	2022	2021
Cash and cash equivalents	\$ 57,391	\$ 43,602
Short-term investments	168,530	208,684
Accounts receivable—net	86,320	74,705
Unbilled costs, fees, and contract assets	<u>157,729</u>	<u>181,971</u>
Total financial assets	469,970	508,962
Less: board-designated funds for future use	<u>10,103</u>	<u>10,082</u>
Financial assets available to meet general expenditures over the next twelve months	<u>\$ 459,867</u>	<u>\$ 498,880</u>

None of the financial assets are subject to donor or other contractual restrictions that make them unavailable for general expenditures within one year of the consolidated balance sheet date. The accounts receivable balance is subject to implied time restrictions but are expected to be collected within one year. The Institute has a goal to maintain financial assets, which consist of cash, cash equivalents, and investments, on hand to meet 15% of the Institute's annual revenue, which is approximately \$179.2 million as of September 30, 2022. The Institute has a policy to structure its financial assets to be available as its general expenditures, liabilities, and other obligations come due. In addition, as part of its liquidity management, the Institute invests cash in excess of daily requirements in various short-term investments. As more fully described in Note 11, the Institute also has an operating line of credit, which matures in April 2023, and can be drawn up to \$50.0 million, as of September 30, 2022 and 2021, in the event of an unanticipated liquidity need.

7. INVESTMENTS

Short-term investments and noncurrent investments consisted of the following as of September 30, 2022 and 2021 (in thousands):

	2022	2021
Short-term investments—debt and equity securities and warrants	<u>\$ 168,530</u>	<u>\$ 208,684</u>
Noncurrent investments:		
GEM investment fund	73,036	82,505
Debt securities	2,040	2,040
Other noncurrent investments	<u>9,527</u>	<u>19,410</u>
Total noncurrent investments	<u>84,603</u>	<u>103,955</u>
Total investments	<u>\$ 253,133</u>	<u>\$ 312,639</u>

Realized and unrealized gains and losses on investments are recorded in investment income, net in the consolidated statements of revenue, costs, and changes in net assets.

Debt and Equity Securities and Warrants—Short-term debt and equity securities are primarily composed of U.S. Treasury securities, U.S. government and agency bonds and mortgage-backed securities, corporate equity and debt obligations, and multi asset mutual funds. These securities are recorded at fair value.

As of September 30, 2021, short-term investments also included a noncontrolling interest in an equity investment of a privately held company through preferred stock recorded at \$3.9 million representing the cost of the investment. Additionally, short-term investments included common and preferred stock warrants relating to the same privately held company, which met the criteria to be classified as derivatives. As such, the warrants were recorded at fair value and adjusted to fair value at each reporting period. The assets were subject to remeasurement at each balance sheet date until exercised, and any change in fair value was recognized in the Institute's consolidated statements of revenue, costs, and changes in net assets. The fair value of these warrants was estimated using an internal valuation model including consideration of contemplated exit transactions. This valuation model utilizes inputs and other assumptions and may not be reflective of the price at which the warrants could be settled. The investment in warrants was recorded at \$2.2 million as of September 30, 2021. In April 2022, the investments in both the preferred stock and warrants were liquidated, and the Institute received \$17.7 million in cash.

In addition to the cash received, the Institute also has the right to receive earnout distributions based upon the privately held company achieving certain future qualifying sales over 12 months. These earnout distributions are considered gain contingencies and will be recognized at such time, when related assets received or held are readily convertible to known amounts of cash or claims to cash. No earnout distributions have been recognized for the year ended September 30, 2022.

GEM Investment Fund—The Institute has an investment in a global multi asset fund, Global Endowment Fund II (GEM), with a cost basis of \$50.0 million and estimated net asset value of \$73.0 million and \$82.5 million as of September 30, 2022 and 2021, respectively. Withdrawals from the fund have restrictions, and certain distributions require approval of the general partner, as such, this investment has been classified as noncurrent within the consolidated balance sheets.

Debt Securities—As of September 30, 2022 and 2021, the Institute held convertible notes with several privately held companies of \$2.0 million. These securities are recorded at fair value and generally mature within two years of issuance. During the year ending September 30, 2022, the maturity date for each note was extended. Each note has similar conversion features, such as upon qualified or nonqualified financing, corporate transaction, or maturity. During the years ended September 30, 2022 and September 30, 2021, there were no recorded unrealized gains on these securities.

Equity Method Investments—The Institute has investments in common stock of several privately held companies, which are accounted for under the equity method. For the years ended September 30, 2022 and 2021, no equity method income or losses were recorded for these common stock investments. During the year ended September 30, 2021, the Institute liquidated a limited partnership investment fund for \$2.3 million in cash proceeds.

Other Noncurrent Investments—As of September 30, 2022 and 2021, the Institute had \$3.0 million and \$14.2 million, respectively, invested in noncontrolling interests in equity investments in several privately held companies through preferred stock. These equity securities are recorded at initial cost,

adjusted for observable transactions, less impairment, given they are equity securities with no readily determinable fair value. During the year ended September 30, 2021, a preferred stock equity investment was marked to fair value due to an observable transaction of an identical equity security, resulting in an unrealized gain of \$0.5 million. Since acquisition, no other observable transactions, impairments, or upward or downward adjustments have been recorded on these investments.

During the year ended September 30, 2022, the Institute liquidated one of its preferred stock investments and received \$6.8 million in cash proceeds and \$1.4 million as a noncash transfer of interest in a newly established limited partnership investment fund. The Institute owns less than 3% of the limited partnership investment fund. As the partnership does not have a readily determinable fair value, the Institute's interest is measured at cost, adjusting for observable transactions, less impairment. Since acquisition, no observable transactions, impairments, or upward or downward adjustments have been recorded on the investments.

Additionally, during the year ended September 30, 2022, the Institute liquidated one of its preferred stock investments and received \$7.5 million in cash.

As of September 30, 2022 and 2021, the Institute had \$5.1 million and \$5.2 million invested in four private equity partnerships through the Commonfund. The Institute has committed future funds totaling \$1.0 million to these four different partnerships as of September 30, 2022. When fully funded, the Institute will have 3% or less ownership in each partnership. As these partnerships do not have a readily determinable fair value, the Institute's interest is measured at cost, adjusting for observable transactions, less impairment. Since acquisition, no observable transactions, impairments, or upward or downward adjustments have been recorded on these investments. During the years ended September 30, 2022 and 2021, the Institute recognized realized gains of \$0.8 million and \$1.2 million, respectively, through the Commonfund partnerships.

During the year ended September 30, 2022, the Institute entered into a limited partnership and committed future funds totaling \$5.0 million. When fully funded, the Institute will have a 3% or less ownership in the limited partnership. The Institute subsequently received a capital call to fund an acquisition made by the limited partnership and to cover partnership expenses. In October 2022, the Institute made a \$5.0 million contribution to the limited partnership.

8. PROPERTY AND EQUIPMENT

Property and equipment as of September 30, 2022 and 2021, consisted of the following (in thousands):

	2022	2021
Land	\$ 2,674	\$ 2,674
Buildings and improvements	251,394	246,503
Equipment and furniture	100,697	95,257
Construction in process	<u>6,990</u>	<u>5,893</u>
Total property and equipment at cost	361,755	350,327
Less: accumulated depreciation	<u>204,628</u>	<u>192,291</u>
Property and equipment—net	<u>\$ 157,127</u>	<u>\$ 158,036</u>

Depreciation expense for the years ended September 30, 2022 and 2021, was \$15.1 million and \$16.8 million, respectively. During the year ended September 30, 2021, the Institute recognized an impairment charge of \$0.2 million to leasehold improvements related to an asset group held and used.

9. LEASES

The following table presents the components of our ROU assets and liabilities related to leases as of September 30 (in thousands):

	2022	2021
Operating lease right-of-use assets—net	<u>\$ 20,833</u>	<u>\$ 26,251</u>
Operating lease liabilities, current portion	\$ 7,702	\$ 8,748
Operating lease liabilities—net of current portion	<u>16,810</u>	<u>23,192</u>
Total lease liabilities	<u>\$ 24,512</u>	<u>\$ 31,940</u>

Total operating lease costs are comprised of the following for the year ended September 30 (in thousands):

	2022	2021
Operating lease cost	\$ 7,293	\$ 9,297
Variable lease cost	863	1,053
Short-term lease cost	<u>2,054</u>	<u>1,709</u>
Total lease cost	<u>\$ 10,210</u>	<u>\$ 12,059</u>

Operating lease costs are included in other direct cost or indirect cost in the consolidated statements of revenue, costs, and changes in net assets, depending on the project type.

During the years ended September 30, 2022 and 2021, the Institute concluded, based on the Institute's quantitative fair value analyses, that certain long-lived assets were not recoverable resulting in the recognition of impairment charges of \$0.9 million and \$0.6 million, respectively, related to ROU assets which are recorded in indirect costs in the consolidated statements of revenue, costs, and changes in net assets. Additionally, the Institute completed abandonment plans during the year ended September 30, 2021 resulting in the recognition of abandonment charges of \$0.4 million related to ROU assets which are recorded in indirect costs in the consolidated statements of revenue, costs, and changes in net assets. There were no abandonment plans completed during the year ended September 30, 2022.

The following table presents other supplemental operating lease information as of and for the year ended September 30 (dollars in thousands):

	2022	2021
ROU assets obtained in exchange for new operating lease liabilities	\$ 2,816	\$ 1,379
Net increase (decrease) in ROU assets due to modifications and remeasurements	\$ 15	\$ (3,577)
Cash paid for amounts included in the measurement of operating lease liabilities	\$ 9,342	\$ 11,340
Weighted-average remaining lease term	3.75 years	4.82 years
Weighted-average discount rate	0.54 %	0.38 %

Future maturities of operating lease liabilities as of September 30, 2022 are presented in the following table (in thousands):

**Years Ending
September 30**

2023	\$ 7,818
2024	6,310
2025	5,191
2026	4,327
2027	1,064
Thereafter	<u>40</u>
Total lease payments	24,750
Less: imputed interest	<u>238</u>
Total lease obligations	24,512
Less: current obligations	<u>7,702</u>
Long-term lease obligations	<u>\$ 16,810</u>

10. GOODWILL, OTHER INTANGIBLE ASSETS, AND CLOUD COMPUTING SERVICE ARRANGEMENTS

Goodwill—The following table details the changes in goodwill for the years ended September 30, 2022 and 2021 (in thousands):

	Goodwill	Accumulated Impairment	Accumulated Amortization	Goodwill—Net
September 30, 2020	\$ 24,526	\$(13,272)	\$(1,161)	\$ 10,093
Amortization	<u>-</u>	<u>-</u>	<u>(1,125)</u>	<u>(1,125)</u>
September 30, 2021	24,526	(13,272)	(2,286)	8,968
Amortization	<u>-</u>	<u>-</u>	<u>(1,126)</u>	<u>(1,126)</u>
September 30, 2022	<u>\$ 24,526</u>	<u>\$(13,272)</u>	<u>\$(3,412)</u>	<u>\$ 7,842</u>

Amortization is applied on a straight-line basis over a period of 10 years and is recorded in other expense in the consolidated statements of revenue, costs, and changes in net assets.

Other Intangible Assets—Other intangible assets are included within other noncurrent assets in the accompanying consolidated balance sheets and consist of the following for the years ended September 30, 2022 and 2021 (in thousands):

	2022		
	Gross Carrying Value	Accumulated Amortization	Net Carrying Value
Customer relationships	\$ 4,510	\$ 2,464	\$ 2,046
Other	<u>1,690</u>	<u>1,474</u>	<u>216</u>
Total other intangible assets	<u>\$ 6,200</u>	<u>\$ 3,938</u>	<u>\$ 2,262</u>
	2021		
	Gross Carrying Value	Accumulated Amortization	Net Carrying Value
Customer relationships	\$ 4,510	\$ 2,096	\$ 2,414
Other	<u>1,690</u>	<u>1,387</u>	<u>303</u>
Total other intangible assets	<u>\$ 6,200</u>	<u>\$ 3,483</u>	<u>\$ 2,717</u>

Amortization expense for other intangible assets was \$0.5 million and \$0.6 million for the years ended September 30, 2022 and 2021, respectively. Each intangible asset is amortized on a straight-line basis and is recorded in other expense in the consolidated statements of revenue, costs, and changes in net assets. In June 2021, the Institute fully wrote off the TSA intangible asset and accumulated amortization balances. See Note 3 for further details. In the aggregate, as of September 30, 2022, these assets had a weighted-average expected useful life of 13 years from the date of acquisition. Estimated future amortization expense associated with other intangible assets as of September 30, 2022, is as follows (in thousands):

Years Ending September 30	
2023	\$ 435
2024	435
2025	435
2026	321
2027	113
Thereafter	<u>523</u>
	<u>\$2,262</u>

Cloud Computing Service Arrangements—As of the years ended September 30, 2022 and 2021, capitalized implementation costs related to CCAs under service contracts amounted to \$0.8 million and \$3.7 million, respectively. Accumulated amortization and amortization expense related to CCAs under service contracts amounted to \$0.1 million as of and for the year ended September 30, 2022. There was no amortization of capitalized cloud computing costs under service contracts during the year ended September 30, 2021 as the related systems were not ready for intended use. Capitalized implementation costs and accumulated amortization related to CCAs under service contracts are included in prepaid expenses and other current assets and other noncurrent assets in the consolidated balance sheets. Amortization expense of capitalized cloud computing costs under service contracts is recorded in indirect costs in the consolidated statements of revenue, costs, and changes in net assets.

During fiscal year 2020, the Institute began the implementation of an Institute-wide enterprise resource planning (ERP) system to replace various legacy applications and serve as the Institute's core business and finance system that included CCAs hosted by third party vendors. During the fourth quarter of 2022, it was determined that this ERP no longer met the Institute's long-term strategic goals and other ERP options needed to be evaluated. As such, the Institute recognized an impairment loss of \$10.8 million for the previously capitalized implementation costs. The impairment loss reduced the carrying value of the ERP system to zero and is recorded in other expense in the consolidated statements of revenue, costs, and changes in net assets.

11. DEBT

A summary of Institute's debt as of September 30, 2022 and 2021, is as follows (in thousands):

	2022	2021
Variable-rate term loan	\$ 44,000	\$ 48,000
Variable-rate Series 2007 Revenue Bonds	25,920	27,190
Fixed-rate Series 2010 Revenue Bonds	5,885	7,655
Plus unamortized premium	<u>134</u>	<u>226</u>
Total outstanding debt	<u>75,939</u>	<u>83,071</u>
Current maturities of long-term debt	7,160	7,040
Current classification due to redemption features	<u>24,610</u>	<u>25,920</u>
Total current maturities of long-term debt	<u>31,770</u>	<u>32,960</u>
Total long-term debt	<u>\$ 44,169</u>	<u>\$ 50,111</u>

The combined aggregate amount of maturity and annual mandatory sinking fund requirements for the years subsequent to the year ended September 30, 2022, are as follows (in thousands):

Years Ending September 30	
2023	\$ 7,160
2024	7,365
2025	7,450
2026	5,470
2027	5,525
2028 and thereafter	<u>42,835</u>
Total	<u>\$ 75,805</u>

The carrying amount of the Institute's debt as of the consolidated balance sheet date approximates fair value. The fair value of these instruments is determined using Level 2 inputs within the fair value hierarchy and based on quoted market prices for similar instruments or on current rates offered for debt with similar maturities.

Lines of Credit—The Institute has an unsecured \$50.0 million revolving line of credit as of September 30, 2022. During the year ended September 30, 2022, the Institute amended its unsecured revolving line of credit, changing the index from LIBOR to Daily Simple Secured Overnight Financing Rate (SOFR), modifying the debt covenants, and extending the maturity date through April 27, 2023. No balances were outstanding under the revolving line of credit as of September 30, 2022 and 2021. For 2022 and 2021, there were issued outstanding letters of credit in the amount of \$3.0 million and \$2.8 million, respectively, reducing the available balance on the revolving line of credit to \$47.0 million and \$47.2 million as of September 30, 2022 and 2021, respectively.

Variable Term Loan—On January 1, 2018, the Institute entered into a \$60.0 million term loan to finance the construction of an office building and parking deck located on the Institute's campus in Research Triangle Park (RTP). The term loan will mature on January 1, 2033. The term loan requires annual principal payments of \$4.0 million with interest payments due monthly. Borrowings under the term loan bear an interest rate indexed to LIBOR, plus 0.8%.

To mitigate changes in interest rates, upon entering the loan agreement, the Institute simultaneously entered an interest rate swap to achieve an effective fixed interest rate of 2.49%. Refer to Note 12 for additional information.

Series 2007 Revenue Bonds—In November 2007, the Durham County Industrial Facilities and Pollution Control Financing Authority (Durham County) issued the Series 2007 Revenue Bonds on behalf of the Institute. The payment of the principal and interest on the bonds is currently secured by an additional irrevocable, direct pay letter of credit. The Series 2007 Revenue Bonds were issued to provide funds to finance (a) the cost of constructing and equipping an office building and parking deck located on the RTP campus; (b) the cost of refinancing certain indebtedness previously incurred by the Institute to finance improvements on the Institute's campus; and (c) certain expenses incurred in connection with the authorization and issuance of the bonds, including certain initial costs associated with the issuance of the letter of credit.

The Series 2007 Revenue Bonds are subject to optional, extraordinary, and mandatory redemption, including redemption at par, and optional and mandatory tender for purchase prior to the stated maturity of September 2037. The bonds bear interest at a weekly rate, determined by prevailing market conditions and payable monthly in arrears. The Series 2007 Revenue Bonds are subject to mandatory sinking fund redemption payments on September 1 annually through 2037.

The irrevocable, direct pay letter of credit was issued to ensure bond payments to the bondholders and to enhance the credit rating of the bonds. In the event the Series 2007 Revenue Bonds are not successfully remarketed, the Institute would be obligated to reimburse the letter of credit holder for any bonds tendered and not remarketed. The original direct pay letter of credit expired in August 2022. A new direct pay letter of credit was entered into in July 2022 which expires in July 2025. Given the Series 2007 Revenue Bonds' redemption features and the irrevocable, direct-pay letter of credit's material adverse event clause, this debt is presented as a current liability.

Additionally, the Institute executed a 30 year floating to fixed interest-rate swap to provide interest rate protection for the Series 2007 Revenue Bonds and effectively created synthetic fixed rate debt at a borrowing rate of 3.75%. Refer to Note 12 for additional information.

Series 2010 Revenue Bonds—In February 2010, Durham County issued \$23.0 million, 15 year tax exempt fixed rate Series 2010 Revenue Bonds on behalf of the Institute. The Series 2010 Revenue Bonds were issued pursuant to indentures between Durham County and trustee and are payable pursuant to a loan agreement, between Durham County and the Institute. The Series 2010 Revenue Bonds were issued to provide funds to (a) finance the construction and equipping of a new office building and related parking deck on the RTP campus and (b) pay and reimburse the Institute for paying certain expenses incurred in connection with the issuance of the Series 2010 Revenue Bonds.

The Series 2010 Revenue Bonds were issued at a premium of \$1.9 million. The average coupon rate of the bonds approximated 4.37% and the effective interest rate approximated 3.14%.

The Series 2010 Revenue Bonds are not subject to optional redemption before maturity but are subject to extraordinary mandatory redemption prior to the stated maturity of February 1, 2025.

Debt Covenants—Certain of the Institute’s loan agreements and direct-pay letters of credit contain various covenants, including cross-default provisions and certain financial covenants. As of September 30, 2022, the Institute believes it was in compliance with all covenants that were in effect on such date.

12. DERIVATIVE INSTRUMENTS

The following table summarizes the fair value of the Institute’s derivatives by type as of September 30, 2022 and 2021 (in thousands):

Financial Instrument	Balance Sheet Account	Fair Value	
		2022	2021
Common and preferred stock warrants	Short-term investments	\$ -	\$ 2,200
Interest rate swap	Other long-term liabilities	(2,225)	(8,039)
Interest rate swap	Other non-current assets	<u>4,327</u>	<u>-</u>
Total		<u>\$ 2,102</u>	<u>\$ (5,839)</u>

Interest Rate Swaps—During the year ended September 30, 2017, the Institute entered a floating-to-fixed interest-rate swap to manage fluctuations in cash flows resulting from the variable term loan entered during fiscal year 2017. The swap has a notional amount of \$60.0 million with an effective date of January 1, 2018, and a termination date of January 1, 2033. As of September 30, 2022, the swap had a remaining notional amount of \$44 million. Under the interest rate swap, the Institute receives LIBOR-based variable interest payments and makes fixed interest rate payments at 2.49%. The Institute did not designate the interest rate swap as a hedge in accordance with the accounting standards on derivatives and hedging.

The Institute also entered a floating-to-fixed interest-rate swap to manage fluctuations in cash flows resulting from the issuance of the Series 2007 Revenue Bonds. The swap had an original notional amount of \$40.6 million and termination date of September 1, 2037. As of September 30, 2022, the swap had a remaining notional amount of \$25.9 million. Under the interest rate swap, the Institute receives LIBOR-based variable interest payments and makes fixed based variable interest payments and makes fixed-interest-rate payments at 3.75%. The Institute did not designate the interest rate swap as a hedge in accordance with the accounting standards on derivatives and hedging.

Foreign Currency Forward Contracts—From time to time, the Institute enters into currency rate protection agreements (“FX forward contracts”) to manage the foreign currency exchange exposure risk on transactions denominated in foreign currencies. The Institute had a nominal amount of FX forward contracts outstanding as of September 30, 2022 and 2021. These FX forward contracts typically have maturity dates ranging from less than a year to two years. The Institute did not designate these contracts for hedge accounting in accordance with the accounting standards on derivatives and hedging.

Investment in Common and Preferred Stock Warrants—As of September 30, 2021, the Institute held a noncontrolling interest in a privately held company, which included common and preferred stock warrants. These warrants met the definition of a derivative instrument. During the year ended September 30, 2022, this investment was liquidated. Refer to Note 7 for further details.

The following table summarizes the earning effects of derivatives in the consolidated statements of revenue, costs, and changes in net assets for the years ended September 30, 2022 and 2021 (in thousands):

Financial Instrument	Location of Gain (Loss)	Gain (Loss) Recognized	
		2022	2021
Common and preferred stock warrants	Investment income—net	\$ 508	\$ 2,200
Interest rate swap	Interest income (expense)—net	10,140	4,886
FX currency forward contracts	Other expense—net	50	34
Total		<u>\$ 10,698</u>	<u>\$ 7,120</u>

Financial instruments, including derivatives, expose the Institute to credit loss in the event of nonperformance by counterparties. The Institute manages its exposure to counterparty credit risk through procedures to monitor the counterparty's financial standing. If a counterparty fails to meet the terms of an arrangement, the Institute's exposure is limited to the net amount that would have been received, if any, over the arrangement's remaining life. Currently, the Institute does not anticipate nonperformance by any counterparty and no material loss is expected from such nonperformance.

13. FAIR VALUE MEASUREMENTS

Fair value is based on the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between independent market participants at the measurement date. To increase consistency and comparability in fair value measurements, a fair value hierarchy was established that prioritizes observable and unobservable inputs used to measure fair value into three broad levels, which are described below:

Level 1—Quoted prices for identical instruments in active markets.

Level 2—Quoted prices for similar instruments in active markets; quoted prices for identical or similar instruments in markets that are not active; and model derived valuations whose inputs are observable or whose significant value drivers are observable, such as interest rates, credit risks, and net asset value.

Level 3—Significant unobservable inputs (including the Institute's own assumptions in determining the fair value of assets and liabilities).

The following sections provide a description of the valuation methodologies used for instruments measured at fair value as well as the general classification of such instruments pursuant to the fair value hierarchy:

Investment Securities—Where quoted prices are available in an active market, securities are classified within Level 1 of the valuation hierarchy. Level 1 securities would include highly liquid government bonds, such as Treasury securities and exchange-traded equities. If quoted market prices are not available, then fair values are estimated by using pricing models, quoted prices of securities with similar characteristics, discounted cash flow, or at net asset value per share. Level 2 securities would include U.S. government agency securities; obligations of states and political subdivisions; and certain corporate, asset-backed, multi asset fund, and other securities. In certain cases where there is limited activity or less transparency around inputs to the valuation, securities are classified within Level 3 of the valuation hierarchy.

Nonqualified Deferred Compensation Plan—Mutual Funds—These are valued at the daily closing price as reported by the fund. Mutual funds held by the plan are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price. The mutual funds held by the plan are deemed to be actively traded; thus, the investment is classified within Level 1 of the valuation hierarchy.

Derivatives—Derivative instruments include interest rate swaps and are valued on a recurring basis using quoted market prices, dealer quotes, or third-party pricing models that are primarily sensitive to market observable data. Current outstanding interest rate swap derivatives are classified as Level 2 within the fair value hierarchy.

Financial assets and liabilities recorded at fair value on a recurring basis as of September 30, 2022 and 2021, were as follows (in thousands):

Description	2022			
	Total	Level 1	Level 2	Level 3
Assets				
Short-term investments:				
US Treasury securities	\$ 35,955	\$ 35,955	\$ -	\$ -
Federal agency securities	574	-	574	-
Corporate debt obligations	2,690	-	2,690	-
Multiasset fund	129,284	-	129,284	-
Ultra short-term bond securities	27	27	-	-
Total short-term investments	<u>168,530</u>	<u>35,982</u>	<u>132,548</u>	<u>-</u>
Securities with donor restrictions	19	-	19	-
Noncurrent assets:				
Nonqualified deferred compensation plan—mutual funds	8,286	8,286	-	-
Derivatives—interest rate swaps	4,327	-	4,327	-
Debt securities	2,040	-	-	2,040
GEM investment fund—measured at net asset value	73,036	-	-	-
Total noncurrent assets	<u>87,689</u>	<u>8,286</u>	<u>4,327</u>	<u>2,040</u>
Total assets	<u>\$ 256,238</u>	<u>\$ 44,268</u>	<u>\$ 136,894</u>	<u>\$ 2,040</u>
Liabilities				
Other long-term liabilities:				
Derivatives—interest rate swaps	\$ 2,225	\$ -	\$ 2,225	\$ -
Nonqualified deferred compensation plan obligation	8,286	8,286	-	-
Total other long-term liabilities	<u>10,511</u>	<u>8,286</u>	<u>2,225</u>	<u>-</u>
Total liabilities	<u>\$ 10,511</u>	<u>\$ 8,286</u>	<u>\$ 2,225</u>	<u>\$ -</u>

Description	2021			
	Total	Level 1	Level 2	Level 3
Assets				
Short-term Investments:				
US Treasury securities	\$ 37,860	\$ 37,860	\$ -	\$ -
Federal agency securities	1,251	-	1,251	-
Corporate debt obligations	3,292	-	3,292	-
Multiasset fund	160,112	-	160,112	-
Ultra short-term bond securities	29	29	-	-
Common and preferred stock warrants	2,200	-	-	2,200
Total short-term Investments	204,744	37,889	164,655	2,200
Securities with donor restrictions	1,814	-	1,814	-
Noncurrent assets:				
Nonqualified deferred compensation plan—mutual funds	10,123	10,123	-	-
Debt securities	2,040	-	-	2,040
GEM investment fund—measured at net asset value	82,505	-	-	-
Total noncurrent assets	94,668	10,123	-	2,040
Total assets	\$ 301,226	\$ 48,012	\$ 166,469	\$ 4,240
Liabilities				
Other long-term liabilities:				
Derivatives—Interest rate swaps	\$ 8,039	\$ -	\$ 8,039	\$ -
Nonqualified deferred compensation plan obligation	10,123	10,123	-	-
Total other long-term liabilities	18,162	10,123	8,039	-
Total liabilities	\$ 18,162	\$ 10,123	\$ 8,039	\$ -

During the year ended September 30, 2021, a contingent obligation related to the MDA acquisition and measured at a Level 3 fair value of \$1.9 million was derecognized as it was determined that stipulated targets would not be met. See Note 18 for further details.

As of September 30, 2021, preferred stock and common stock warrants were measured at a Level 3 fair value of \$2.2 million. During the year ended September 30, 2022, these investments were liquidated. See Note 7 for further details.

The carrying value of the Institute's other financial instruments, including cash and cash equivalents, accounts receivable, unbilled costs, fees and contract assets, prepaid expenses and other current assets, accounts payable, deferred revenue and contract liabilities, and other accrued expenses, approximates fair value as of September 30, 2022 and 2021.

There were no changes during the periods presented to the valuation techniques the Institute used to measure asset and liability fair values on a recurring basis.

Certain of the Institute's nonfinancial assets and liabilities are subject to impairment analysis, including long-lived assets, intangible assets, and goodwill. The significant inputs utilized in these analyses are classified as Level 3 in the fair value hierarchy. See Note 9 for the ROU lease asset impairment recognized and details of the valuation methods and inputs used in these analyses. See Note 10 for the capitalized cloud computing arrangement impairment recognized. The Institute did not have any other nonfinancial assets or liabilities that were required to be measured at fair value on a nonrecurring basis for the year ended September 30, 2022 or 2021.

14. EMPLOYEE RETIREMENT PLANS

The Institute has a defined contribution plan covering all US-based employees who are 19 years of age or older with one year of 500 hours or more of continuous service during the plan year. Each U.S. employee of the Institute is immediately eligible to make elective deferrals under the plan. Employees are eligible to receive Institute contributions once they have completed one year of continuous service.

The Institute's contributions to the plan for the year ended September 30, 2022 were \$26.6 million with \$0.6 million in applied forfeitures. The Institute's contributions to the plan for the year ended September 30, 2021 were \$25.5 million with \$0.5 million in applied forfeitures.

15. DEFERRED COMPENSATION PLANS

The Institute maintains an Employee Retirement Income Security Act of 1974 nonqualified deferred compensation plan under IRC Section 457 to permit eligible employees to save for their retirement.

A Salary Deferral Arrangement 457(b) plan is available to certain highly compensated employees. Participation is voluntary and permits eligible employees to defer compensation up to a maximum annual amount established by federal law. There are no Institute contributions associated with this deferred compensation plan. Invested employee deferrals are recorded at fair value, which totaled \$8.3 million and \$10.1 million as of September 30, 2022 and 2021, respectively, and are included in other noncurrent assets with an offsetting deferred compensation obligation recorded in other long-term liabilities. Deferred amounts ultimately payable to the participants are based on the value of the underlying investments.

16. POSTRETIREMENT BENEFITS OTHER THAN PENSIONS

The Institute provides medical and dental benefits to certain retired employees under the Research Triangle Institute Retiree Health Plan (the "Plan"). This plan has been frozen. As a result, no new participants can enter the plan, and no additional benefit obligations will accumulate.

Cost of Postretirement Benefits—The cost of providing retiree medical and dental benefits is actuarially determined and accrued over the active service period of eligible employees. The components of the net periodic postretirement benefit cost for the years ended September 30, 2022 and 2021, are presented in the following table (in thousands):

	2022	2021
Service cost	\$ -	\$ 171
Interest cost	342	337
Expected return on Plan assets	(936)	(808)
Amortization of prior service credit	(51)	-
Net gain	<u>(126)</u>	<u>-</u>
Net periodic postretirement benefit cost	<u>\$ (771)</u>	<u>\$ (300)</u>

The net periodic postretirement benefit cost is reflected in the consolidated statements of revenue, costs, and changes in net assets as indirect costs.

Benefit Obligations and Accrued Costs—The funded status of the postretirement benefit plan is measured as the difference between the fair value of the Plan assets and the benefit obligation.

The following table sets forth the changes in the Institute's benefit obligations and the benefit plan's funded status for the years ended September 30, 2022 and 2021 (in thousands):

	2022	2021
Change in benefit obligation:		
Postretirement benefit obligation at beginning of year	\$ 12,509	\$ 14,230
Service cost	-	171
Interest cost	342	337
Plan amendments	-	(521)
Actuarial gain	(2,191)	(537)
Plan participant contributions	545	1,120
Benefits paid	<u>(854)</u>	<u>(2,291)</u>
Postretirement benefit obligation at end of year	10,351	12,509
Fair value of Plan assets at end of year	<u>13,300</u>	<u>16,549</u>
Funded status	<u>\$ 2,949</u>	<u>\$ 4,040</u>

The funded status as of September 30, 2022 and 2021, was in an overfunded position. The funded status of the Plan is reflected in the consolidated balance sheets as other noncurrent assets. The funded status is dependent upon many factors, including returns on invested assets and the level of market interest rates.

A summary of amounts included in net assets without donor restrictions as of September 30, 2022 and 2021, that have not been recognized as components of net periodic benefit cost is as follows (in thousands):

	2022	2021
Net actuarial gain	\$ (1,795)	\$ (3,606)
Prior service credit	<u>(470)</u>	<u>(521)</u>
Total	<u>\$ (2,265)</u>	<u>\$ (4,127)</u>

Amounts recognized as a change in Institute's net assets, but reflected outside of the performance indicator for the years ended September 30, 2022 and 2021, were as follows (in thousands):

	2022	2021
Net actuarial loss (gain)	\$ 1,684	\$ (2,579)
Prior service credit	-	(521)
Reclassification of amortization of prior service credit and actuarial gain	<u>178</u>	<u>-</u>
Total	<u>\$ 1,862</u>	<u>\$ (3,100)</u>

The following weighted-average assumptions were used in calculating the above benefit obligations, net periodic benefit cost, and fair value of Plan assets as of September 30, 2022 and 2021:

	2022	2021
Discount rate used to determine benefit obligation	5.3 %	2.8 %
Expected return on Plan assets	6.0	5.8

The change in the discount rate is attributed to fluctuations in the interest rate environment resulting from the Federal Reserve monetary policy and global economic pressures during the current year. The Plan seeks to achieve a total return on Plan assets (price appreciation, plus dividends) that, over a majority of market cycles, exceeds the estimated discount rate used to determine the benefit obligation, which the benefit obligation discount rate is assumed to be 5.3% per annum. The total expected long-term rate of return on the Plan portfolio is based upon the portfolio's historical allocated fund performance since the funds' inception.

Health care cost trends do not have a significant effect on the obligation or net periodic benefit costs.

Postretirement Plan Assets—The following table sets forth the changes in the fair value of Plan assets for the years ended September 30, 2022 and 2021 (in thousands):

	2022	2021
Fair value of Plan assets at beginning of year	\$ 16,549	\$ 14,870
Return on Plan assets, less trustee's fee	(2,940)	2,850
Plan participant contributions	545	1,120
Benefits paid	<u>(854)</u>	<u>(2,291)</u>
Fair value of Plan assets at end of year	<u>\$ 13,300</u>	<u>\$ 16,549</u>

The investment objectives of the Institute's Plan are designed to generate returns that will enable the Plan to meet its future obligations. The Plan's targeted strategic allocation to each asset class was determined in collaboration with Wells Fargo Institutional Retirement and Trust using its asset risk tolerance modeling. The Institute currently targets a "Balanced Income" strategic asset allocation that provides for an allocation range around target of plus or minus 5% for each asset category. The Plan will, at times, also invest in money market funds as it seeks to rebalance the strategic asset allocation, reinvest portfolio capital gains and/or dividends, or reinvest maturing bond proceeds. The fair values of Plan assets and related strategic asset allocations as of September 30, 2022 and 2021, are as follows (in thousands):

Asset Category	Fair Value ^(a)		Asset Allocation Target
	2022	2021	
Cash and cash equivalents	\$ 380	\$ 504	- %
Bond mutual funds (Investment grade)	6,438	6,834	50
Equity mutual funds:			
Large/mid cap	4,670	6,287	30
Small cap	521	926	10
International	1,291	1,998	10
Total equity mutual funds	6,482	9,211	50
Noninvestment assets	13,300	16,549	100 %
Total Plan assets	\$ 13,300	\$ 16,549	

^(a) All investments, excluding cash and cash equivalents, held by the Plan are considered Level 1 assets within the fair value hierarchy.

The Institute contributes to the Plan based on actuarially determined amounts necessary to provide assets sufficient to meet benefits to be paid to Plan members. The Institute's policy is to fund the above-mentioned benefits quarterly. Attributed to the overfunded status of the Plan, the Institute did not make contributions to postretirement plan assets in fiscal year 2022 and does not anticipate making contributions to postretirement plan assets in fiscal year 2023.

The following schedule summarizes net benefit payments that are expected to be made in the years ending September 30, which reflect expected future service (in thousands):

**Years Ending
September 30**

2023	\$ 628
2024	800
2025	806
2026	840
2027	867
Five subsequent years ending 2032	<u>4,181</u>
Total	<u>\$8,122</u>

17. NET ASSETS

The following table details the changes in net assets for the years ended September 30, 2022 and 2021 (in thousands):

	<u>Net Assets without Donor Restrictions</u>			Net Assets with Donor Restrictions	Total Net Assets
	Undesignated	Board- Designated	Total		
BALANCE—October 1, 2020	\$ 432,666	\$ -	\$ 432,666	\$ 2,378	\$ 435,044
Increase in net assets	62,787	-	62,787	91	62,878
Transfer	<u>(10,082)</u>	<u>10,082</u>	<u>-</u>	<u>-</u>	<u>-</u>
BALANCE—September 30, 2021	485,371	10,082	495,453	2,469	497,922
Decrease in net assets	(19,966)	(60)	(20,026)	(1,742)	(21,768)
Transfer	<u>(81)</u>	<u>81</u>	<u>-</u>	<u>-</u>	<u>-</u>
BALANCE—September 30, 2022	<u>\$ 465,324</u>	<u>\$ 10,103</u>	<u>\$ 475,427</u>	<u>\$ 727</u>	<u>\$ 476,154</u>

During the year ending September 30, 2022, the Institute relinquished its interest in a donor restricted trust, which caused a decrease in net assets with donor restrictions by \$1.6 million. See Note 1 for further details.

During the year ending September 30, 2022, as part of its Board-designated activity, the Institute committed to providing \$3.5 million of conditional funding, plus an additional \$1.5 million in Institute's services, over the next five years to the University of North Carolina for a collaborative research project among North Carolina State University, Duke University, and North Carolina Central University. Expenses are recognized when the specified conditions are met.

18. COMMITMENTS AND CONTINGENCIES

Related-Party Guarantee—In September 2020, the Institute entered into an unconditional guaranty of an investee of its ratable share of a revolving line of credit (the Facility). The Institute's ratable share of the revolving line of credit was up to \$2.9 million. If the investee failed to pay any amount under the Facility or otherwise defaulted, it would allow the lender to call the guarantee agreement and require

the Institute to pay up to \$2.9 million, plus accrued and unpaid interest and bank expenses. In June 2021, the investee paid off the line of credit and closed the account relieving the Institute of its guarantee obligation.

Legal and Regulatory Matters—The Institute is involved in litigation, administrative proceedings, and regulatory examinations arising in the normal course of business. Management believes that the ultimate outcome of these matters will not have a material impact on the Institute's net assets, operations, or cash flows.

Other Contingencies—The Institute has negotiated and settled final indirect costs through fiscal year 2020 with its cognizant federal agency, the Department of Health and Human Services (DHHS). Contract costs on federal government contracts, including indirect costs, are subject to audit by the federal government and adjustments pursuant to negotiation between the Institute and government representatives. DHHS has initiated an audit of the fiscal year 2021 final indirect rates. Revenue on federal government contracts has been recorded in amounts that are expected to be realized upon final settlement of the Institute's indirect rates. As of September 30, 2022, management believes that the final settlement of indirect rates will not have a material impact on the Institute's net assets, operations, or cash flows.

International Resources Group Ltd. (IRG) is a 100% owned subsidiary of the Institute acquired in 2017. IRG is required to separately negotiate final indirect cost rates with its cognizant federal agency, the United States Agency for International Development (USAID). IRG and USAID have negotiated and settled IRG's final indirect cost rates through fiscal year 2018 and adjusted billings on contracts to which those rates apply. USAID's audit of IRG's fiscal year 2019 rates is substantially complete with no findings or questioned costs, and no audits for any subsequent IRG rate years have been initiated.

In connection with an acquisition in fiscal year 2020, the Institute was obligated to the seller for potential earnout payments if future revenue exceeded stipulated targets. The fair value of this contingent consideration was estimated at \$1.9 million as of September 30, 2020. During fiscal year 2021, the stipulated revenue targets were not met, and the contingent consideration was reversed. As a result, indemnification claims were asserted disputing certain other requirements of the purchase agreement. The Institute recorded a legal liability of \$1.1 million as of September 30, 2021, included in other accrued expenses in the consolidated balance sheets and other expense in the consolidated statements of revenue, costs, and changes in net assets. During fiscal year 2022, a settlement and mutual release was reached, and the \$1.1 million was paid to the sellers.

* * * * *

**FEDERAL AWARDS SUPPLEMENTAL INFORMATION
AS OF AND FOR THE YEAR END SEPTEMBER 30, 2022**



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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 Governors
Research Triangle Institute:

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 (*Government Auditing Standards*), the consolidated financial statements of Research Triangle Institute and subsidiaries (the "Institute") as of and for the year ended September 30, 2022, and the related notes to the consolidated financial statements, which collectively comprise the Institute's consolidated financial statements, and have issued our report thereon dated December 7, 2022.

Report on Internal Control Over Financial Reporting

In planning and performing our audit of the consolidated financial statements, we considered the Institute'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 consolidated financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Institute's internal control. Accordingly, we do not express an opinion on the effectiveness of the Institute'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 Institute'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 or significant deficiencies may exist that were not identified.

Report on Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Institute's consolidated 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 consolidated 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 Institute'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 Institute's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Deloitte & Touche LLP

December 7, 2022



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**INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM;
REPORT ON INTERNAL CONTROL OVER COMPLIANCE; AND REPORT ON SCHEDULE OF
EXPENDITURES OF FEDERAL AWARDS REQUIRED BY THE UNIFORM GUIDANCE**

To the Board of Governors
Research Triangle Institute:

Report on Compliance for Each Major Federal Program

Opinion on Each Major Federal Program

We have audited Research Triangle Institute and subsidiaries' (the "Institute") 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 the Institute's major federal programs for the year ended September 30, 2022. The Institute's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

The Institute's consolidated financial statements include the operations of International Resources Group Ltd. ("IRG"). IRG's revenues for the year ended September 30, 2022 include \$.2 million from one contract that was awarded under the Federal Acquisition Regulation. Our audit, described below, did not include this one IRG contract because the related contract expenditures are not included in the Institute's schedule of expenditures of federal awards for the year ended September 30, 2022 as described in Note 2 to the schedule of expenditures of federal awards.

In our opinion, the Institute 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 September 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 Institute 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 Institute'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 Institute's federal programs.

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 Institute'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 Institute'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 Institute'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 institute'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 institute'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.

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.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the consolidated financial statements of the Institute as of and for the year ended September 30, 2022, and have issued our report thereon dated December 7, 2022, which contained an unmodified opinion on those consolidated financial statements. Our audit was performed for the purpose of forming an opinion on the consolidated financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the consolidated 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 consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the consolidated financial statements as a whole.

Deloitte & Touche LLP

June 26, 2023

RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2022

Federal Agency Three Digit Prefix	Agency Three Digit Extension	Award Title	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Federal Award Source		Major Program (NP) (Y/N)
								Name of Pass-Through Entity	Identifying Number Assigned by the Pass-Through Entity, if Assigned	
15	520	2018-VT-BX-0002	20,833	RESEARCH AND DEVELOPMENT	20,833	20,833	Y	State of Virginia	177154	
16	540	2018-BX-FX-0001	228,895	RESEARCH AND DEVELOPMENT	228,895	228,895	Y			
16	540	2018-BX-FX-0001	53,789	RESEARCH AND DEVELOPMENT	53,789	53,789	Y			
16	560	2016-MU-BX-0110	2,863,568	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2017-CX-0001	225,925	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2017-CX-0011	150,102	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2017-CX-0005	211,250	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2017-CX-0004	73,994	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2017-CX-0008	302,600	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2018-MU-MU-0033	79,961	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2018-CX-0009	252,718	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2018-DU-BX-0227	126,682	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			90,060
16	560	2019-DC-0001	311,923	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2019-DC-0017	73,552	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y	Rand Corporation	8920180017	
16	560	2019-DC-0008	1,068,141	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			362,783
16	560	2019-DC-0012	346,851	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2019-RX-0027	178,236	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			57,233
16	560	2019-RX-0001	207,822	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2019-MU-MU-0016	617,208	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			80,823
16	560	2019-DC-0010	40,176	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2019-RX-0053	219,912	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			88,946
16	560	2019-DC-0028	250,720	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			250,720
16	560	2020-DC-0031	3,434	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y	Rand Corporation	SCUM-00000331	
16	560	2020-DC-0022	272,423	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			150,727
16	560	2020-VX-GX-0073	225,267	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			303,476
16	560	2020-DC-0019	12,288	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			38,211
16	560	2020-DC-0018	215,995	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0017	215,995	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0016	22,806	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y	University of Minnesota	P008019003	
16	560	2020-DC-0015	24,292	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0014	18,123	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0013	65,938	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0012	41,823	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0011	233,399	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0010	60,584	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0009	71,154	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0008	1,695,599	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	560	2020-DC-0007	1,695,599	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y	IAFN	Agreement signed 1/18/20	
16	560	2020-DC-0006	1,695,599	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			313,878
16	560	2020-DC-0005	1,695,599	RESEARCH AND DEVELOPMENT	11,708,710	642,574,968	Y			
16	710	2017CM0000	197,454	RESEARCH AND DEVELOPMENT	197,454	642,574,968	Y			11,584
16	710	202262786-00	6,479	RESEARCH AND DEVELOPMENT	199,661	642,574,968	Y	CO Deaver Police Dept	Agreement effective 10/13/20	
16	734	2014-CX-0001C	5,446,935	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2015-RX-CX-0139	40,731	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2017-DC-0004	1,338,884	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			32,795
16	734	2018-DC-0010	257,010	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2018-DC-0009	69,698	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2018-DC-0008	18,299	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2018-DC-0007	39,383	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2018-DC-0006	257,246	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2018-DC-0005	225,864	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			63,394
16	734	2018-DC-0004	1,090,744	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2020-DC-0010	468,424	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	2020-DC-0009	346,248	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			
16	734	19PMUS-21-SX-00005-3158	156,043	RESEARCH AND DEVELOPMENT	5,446,935	642,574,968	Y			22,728
16	734	2020-DC-0008	737,289	RESEARCH AND DEVELOPMENT	373,364	642,574,968	Y	Nat Assoc of Clin Cr Law	Agreement dated 1/13/20	743
16	734	GRANT1312991	142,075	RESEARCH AND DEVELOPMENT	373,364	642,574,968	Y			

See notes to the Schedule of Expenditures of Federal Awards

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RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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ALN Number	Federal Agency	ALN Extension	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Federal Award Source	Identifying Number Assigned by the Pass-Through Entity, if Assigned	Amount Passed Through to subrecipients	Major Programs (MP) (Y/N)
16	745	Effective 8/27/19		NATIONAL PERSONAL SAFETY STATISTICS PROGRAM	4,058	RESEARCH AND DEVELOPMENT	247,959	642,574,968					
16	745	Effective 8/27/19		CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM	34,934	RESEARCH AND DEVELOPMENT	54,994	642,574,968		LA Lafayette Parish	Effective 8/27/19		Y
16	812	02/25/2020		SECOND CHANCE ACT ENTRY INITIATIVE	127,421	RESEARCH AND DEVELOPMENT	814,092	642,574,968	N	NC Dept of Public Safety	02/25/2020		Y
16	812	02/25/2020		SECOND CHANCE ACT ENTRY INITIATIVE	28,239	RESEARCH AND DEVELOPMENT	116,072	642,574,968	N	VERA Institute of Justice	02/25/2020		Y
16	825	05/20/2020		SMART PROSECUTION INITIATIVE	99,193	RESEARCH AND DEVELOPMENT	99,193	642,574,968	N	Albuquerque	05/20/2020		Y
16	833	05/27/2020		JUSTICE REINVESTMENT INITIATIVE	2,336,771	RESEARCH AND DEVELOPMENT	3,239,542	642,574,968	Y	New Orleans	05/27/2020	300,552	Y
16	833	2019-MU-0X-0011		NATIONAL SEXUAL ASSAULT KIT INITIATIVE	1,975,514	RESEARCH AND DEVELOPMENT	3,875,514	642,574,968	Y			174,138	Y
16	839	2020-15-03-0003		CONCURRENTLY OPERATED STOP SCHOOL VIOLENCE	100,067	RESEARCH AND DEVELOPMENT	315,983	642,574,968	Y				
16	839	2020-15-03-0003		STOP SCHOOL VIOLENCE	37,662	RESEARCH AND DEVELOPMENT	315,983	642,574,968	Y				
16	839	order no 40-PR12013511		STOP SCHOOL VIOLENCE	94,948	RESEARCH AND DEVELOPMENT	315,983	642,574,968	N	Wachobe County School	Agreement Effective 5/1/21		
16	839	Agreement 01-01-2022		STOP SCHOOL VIOLENCE	1,263,350	RESEARCH AND DEVELOPMENT	3,929,263	642,574,968	N	NC Dept of Public Instruct	order no 40-PR12013511	26,000	Y
16	839	order no 40-PR12013511		STOP SCHOOL VIOLENCE	2,291,312	RESEARCH AND DEVELOPMENT	3,929,263	642,574,968	N	NCES	Agreement 01/01/2022		
16	RD	AGMS-00017		National Research Laboratory Information System (NRLIS) - 2018-2023	5,264,050	RESEARCH AND DEVELOPMENT	9,329,263	642,574,968	N	Arctic Slope Mission Serv	ASMS-00017		Y
16	RD	Agreement 4/24/2020		OWV Campus Program Needs	1,433	RESEARCH AND DEVELOPMENT	9,329,263	642,574,968	N	YMCA of Greater Houston	Agreement 4/24/2020		Y
16	RD	ISPNID1F0000007		Namibs	3,603,097	RESEARCH AND DEVELOPMENT	9,329,263	642,574,968	Y				
16	RD	ISPNID1F0000007		Namibs	9,229,263	RESEARCH AND DEVELOPMENT	9,329,263	642,574,968	Y				
16	RD	ISPNID1F0000008		Eval of Fed ROP Reentry	33,543	RESEARCH AND DEVELOPMENT	9,329,263	642,574,968	Y				
19	017	SIAMQ219CA2395		ENVIRONMENTAL AND SCIENTIFIC PARTNERSHIP AND PROGRAMS	67,348	RESEARCH AND DEVELOPMENT	218,072	642,574,968	Y				
19	017	SIAMQ219CA2388		ENVIRONMENTAL AND SCIENTIFIC PARTNERSHIP AND PROGRAMS	7,844	RESEARCH AND DEVELOPMENT	218,072	642,574,968	Y				
19	017	SIAMQ219CA2370		ENVIRONMENTAL AND SCIENTIFIC PARTNERSHIP AND PROGRAMS	7,247	RESEARCH AND DEVELOPMENT	218,072	642,574,968	Y				
19	121	SIAMQ219CA2329		CONFLICT AND STABILIZATION OPERATIONS	52,053	RESEARCH AND DEVELOPMENT	218,072	642,574,968	Y				
19	206	SH1EC16CA0040		COUNTY/NATIONAL CRIME	1,764,475	RESEARCH AND DEVELOPMENT	2,710,147	642,574,968	Y				
19	206	SH1EC16CA0040		TRANS-NATIONAL CRIME	116	RESEARCH AND DEVELOPMENT	2,710,147	642,574,968	Y				
20	RD	TFPE-00		National Survey of Drinking Water Disinfection By-Products 2015	138,762	RESEARCH AND DEVELOPMENT	138,762	642,574,968	N	The Natl Academies NAS	TFPE-00		Y
20	RD	TFPE-00		Evaluations of FRMA Research and Technology Program Projects	2,710,147	RESEARCH AND DEVELOPMENT	3,170	642,574,968	N	The Natl Academies NAS	Agmt 2000012550		Y
20	RD	Agmt 2000012550		Evaluate Comp by EEOC	162,563	RESEARCH AND DEVELOPMENT	3,170	642,574,968	N	The Natl Academies NAS	Agmt 2000012550		Y
20	RD	Agmt 2000012550		Evaluate Comp by EEOC	2,547,584	RESEARCH AND DEVELOPMENT	3,170	642,574,968	N	The Natl Academies NAS	Agmt 2000012550		Y
43	001	80N55C21K1167		SCIENCE	47,009	RESEARCH AND DEVELOPMENT	367,279	642,574,968	Y				
43	001	80N55C21K1167		SCIENCE	320,270	RESEARCH AND DEVELOPMENT	367,279	642,574,968	Y				
43	001	80N55C21K1167		SCIENCE	266,760	RESEARCH AND DEVELOPMENT	367,279	642,574,968	Y				
47	RD	1M5L 2017-000		Survey of State Library Administrative Agencies (SLAA)	206,760	RESEARCH AND DEVELOPMENT	266,760	642,574,968	Y				
47	RD	1M5L 2017-000		ENGINEERING GRANTS	713,954	RESEARCH AND DEVELOPMENT	713,954	642,574,968	Y				
47	RD	1M5L 2017-000		ENGINEERING GRANTS	15,795	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	Clemson University	2039584		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	698,159	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	University of Minnesota	10/2021-2022		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	123,079	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	North Carolina State Univ	Master Agreement 01-01		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	213,954	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	North Carolina State Univ	Master Agreement 01-01		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	3,480	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	University of Pittsburgh	ETC-2135000		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	210,474	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	University of Pittsburgh	ETC-2135000		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	174,428	RESEARCH AND DEVELOPMENT	713,954	642,574,968	Y				
47	RD	1M5L 2017-000		ENGINEERING GRANTS	436,224	RESEARCH AND DEVELOPMENT	713,954	642,574,968	Y				
47	RD	1M5L 2017-000		ENGINEERING GRANTS	72,905	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	Washington State Univ	14X870 SP2003502		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	21,719	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	Washington State Univ	14X870 SP2003502		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	5,838	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	Washington State Univ	14X870 SP2003502		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	19,357	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	University of Southern CA	SCON-0000563		Y
47	RD	1M5L 2017-000		ENGINEERING GRANTS	57,572	RESEARCH AND DEVELOPMENT	713,954	642,574,968	N	UNC Chapel Hill	USA-01-01-2551		Y
47	RD	1M5L 2017-000		OFFICE OF INTERNATIONAL RESEARCH AND EDUCATION	49,685	RESEARCH AND DEVELOPMENT	49,685	642,574,968	Y				
47	RD	1M5L 2017-000		ITERATIVE ACTIVITIES	3,929,263	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	1M5L 2017-000		ITERATIVE ACTIVITIES	17,710	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	N	SRI International	52-000210 45438		Y
47	RD	1M5L 2017-000		ITERATIVE ACTIVITIES	6,900,444	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	1M5L 2017-000		ITERATIVE ACTIVITIES	192,797	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		2019 to 2021 Survey of Graduate Students and Postdoctorates in Science and Engineering Survey (GSE)	1,279,451	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		2019 to 2021 Survey of Graduate Students and Postdoctorates in Science and Engineering Survey (GSE)	5,620,993	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		2019 to 2021 Survey of Graduate Students and Postdoctorates in Science and Engineering Survey (GSE)	279,110	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	76,303	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	415,456	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	6,200,644	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	48,580	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	N	Advanced Technology Hill	Contract 2022-375 Project Agmt No. 1		Y
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	75,455	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				
47	RD	49100428F1261		Split Questionnaire Design BAA for NCSES Developing and Evaluating Methodology for Split Questionnaire Design for NCSES Surveys	4,895	RESEARCH AND DEVELOPMENT	6,900,444	642,574,968	Y				

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RESEARCH TRIANGLE INSTITUTE

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ALN Number	Federal Agency Three Digit Prefix	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Amount (Y/N)	Federal Award Source	Identifying Number Assigned by the Pass-Through Entity, if Assigned	Amount Passed Through to Subrecipients	Major Program (M/P) (Y/N)
93	188	1R01CB00181-01-00	INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY-BASED PROGRAMS	243,524	RESEARCH AND DEVELOPMENT	1,321,904	642,574,968	Y			72,559	Y
93	188	1R01CB00182-01-00	INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY-BASED PROGRAMS	795,627	RESEARCH AND DEVELOPMENT	1,321,904	642,574,968	Y			72,559	Y
93	188	WSU21218	INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY-BASED PROGRAMS	61,991	RESEARCH AND DEVELOPMENT	1,321,904	642,574,968	N	Wayne State Univ	WSU21218		Y
93	188	UNCC0001181-01-00	INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY-BASED PROGRAMS	56,902	RESEARCH AND DEVELOPMENT	1,321,904	642,574,968	N	UNC Chapel Hill	181-01-00		Y
93	172	2041HG007050-00	HUMAN GENOME RESEARCH	2,586,872	RESEARCH AND DEVELOPMENT	3,138,578	642,574,968	Y			36,765	Y
93	172	Agreement Number 01-01	HUMAN GENOME RESEARCH	76,598	RESEARCH AND DEVELOPMENT	3,138,578	642,574,968	N	UNC Chapel Hill	Agreement Number 01-01		Y
93	185	1U01P001089-01-00	IMMUNIZATION RESEARCH, DEMONSTRATION, PUBLIC INFORMATION AND EDUCATION, TRAINING AND CLINICAL SKILLS IMPROVEMENT PROJECTS	226,066	RESEARCH AND DEVELOPMENT	3,138,578	642,574,968	N				Y
93	233	1R01AT010773-01	RESEARCH AND TRAINING IN COMPLEMENTARY AND INTEGRATIVE HEALTH	2,161	RESEARCH AND DEVELOPMENT	(2,161)	642,574,968	Y			193,317	Y
93	246	2R01HS010511-01	RESEARCH ON HEALTH CARE COSTS, QUALITY AND OUTCOMES	517,622	RESEARCH AND DEVELOPMENT	517,622	642,574,968	Y				Y
93	236	A012525	RESEARCH ON HEALTH CARE COSTS, QUALITY AND OUTCOMES	37,829	RESEARCH AND DEVELOPMENT	517,622	642,574,968	N	Duke University	A012525		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	96	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	43,290	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	492	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	162,897	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	640,025	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y			146,486	Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	395,345	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	301,477	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	18,824	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y			73,317	Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	338	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	158,090	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	10,778	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	Univ of California SF	Agreement 04/01/2021		Y
93	242	Agreement 04/01/2021	MENTAL HEALTH RESEARCH GRANTS	167,076	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	FP00004618_SAO02	MENTAL HEALTH RESEARCH GRANTS	790	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	VA Commonwealth Univ	FP00004618_SAO02		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	404,672	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y			79,000	Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	25,914	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	UNC Chapel Hill	217124		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	25,963	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	University of California	130134		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	16,928	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	VA Commonwealth Univ	1R01MH012116-01		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	5,688	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	University of Pittsburgh	AWD00004478 (136624-3)		Y
93	242	AWD00004478 (136624-3)	MENTAL HEALTH RESEARCH GRANTS	15,920	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	N	UNC Chapel Hill	136624-3		Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	16,888	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	242	1R01MH012116-01	MENTAL HEALTH RESEARCH GRANTS	716,747	RESEARCH AND DEVELOPMENT	3,217,887	642,574,968	Y				Y
93	343	1R01P0000001-01	SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES, PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE	10,005,474	RESEARCH AND DEVELOPMENT	10,005,474	642,574,968	Y			1,184,804	Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	49,060	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	291,702	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	2003599020	ALCOHOL RESEARCH PROGRAMS	472,474	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Johns Hopkins University	2003599010		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	9,149	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	University of New Mexico	034600-8761		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	224,104	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y			481,348	Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	759,142	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	702,683	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	202094102	ALCOHOL RESEARCH PROGRAMS	111,756	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	476,710	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	25,487	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	The Scripps Research Inst	5-54365		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	79,399	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	The Scripps Research Inst	5-54366		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	77,918	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	2371		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	114,927	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	7,803	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	2573		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	27,321	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	2678		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	48,310	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	2717		Y
93	273	FP00009867_SAO01	ALCOHOL RESEARCH PROGRAMS	37,950	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	VA Commonwealth Univ	FP00009867_SAO01		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	37,950	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	2717		Y
93	273	Agreement No. 02719	ALCOHOL RESEARCH PROGRAMS	14,661	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	N	Public Health Institute	Agreement No. 02719		Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	77,889	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	77,889	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	116,436	RESEARCH AND DEVELOPMENT	3,053,908	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	18,040,236	RESEARCH AND DEVELOPMENT	18,040,236	642,574,968	Y				Y
93	273	1R01AA024423-01A3	ALCOHOL RESEARCH PROGRAMS	16,019	RESEARCH AND DEVELOPMENT	18,040,236	642,574,968	Y				Y

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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2022

Federal Agency Profile	ALH Title	Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Federal Award Source	Identifying Number Assigned by the Pass-Through Entity, if Assigned	Amount Passed Through to Subrecipients	Major Program (M/P) (Y/N)
93	279	1R01DA036541	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	710	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA038166-02	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	759	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA041327	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	117,053	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA041370-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	710	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA041399-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	375,251	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA042000-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	10,277	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA042000-01 R1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	118,660	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA044014-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	531,137	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA044173-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	557,043	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA044377-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	639,893	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA044635-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	118,660	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA044843-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	15,437	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA045299	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	107,604	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA045903-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	189,161	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046264	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	313,949	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046752-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	99,403	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046861-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	228,077	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	2R01DA031390-06A1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	18,714	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046961-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	7,690	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046961-01A1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	424,853	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA046961-01A1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	11,710	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1315	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	617,778	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA047000-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	11,000,236	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1UM1DA049394	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	6,287,429	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049612-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	78,000	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	R171614	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	32,348	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049876-02-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	4,747	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049900-01A1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	32,645	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049979-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	11,527	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049979-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	7,346	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA050182-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	22,146	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	412513-19154	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	22,162	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA050279-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	599,954	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	48-45138-1990204992	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	31,746	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA050301-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	609,426	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA047134-01A1	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	693,553	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA050724-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	336,444	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049761-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	442,190	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA049761-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	1,199	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	513802	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	149,497	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052465-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	1,747	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052466-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	96,464	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052923-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	156,952	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052414-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	77,470	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052414-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	373,958	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	Uwsc21287	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	35,769	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA052874-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	19,464	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053694-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	113,794	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	Agreement 10/30/2024	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	13,446	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	33,999	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	131915C	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	16,334	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	107,145	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	11,527	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	37,907	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	1,165	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	279	1R01DA053725-01	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	10,080	RESEARCH AND DEVELOPMENT	18,080,236	642,574,968	Y				
93	307	1R01MD010439-01A1	MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH PROGRAMS	640	RESEARCH AND DEVELOPMENT	337,501	642,574,968	Y				
93	307	1R01MD010439-01A1	MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH PROGRAMS	137,501	RESEARCH AND DEVELOPMENT	337,501	642,574,968	Y				
93	307	1R01MD016662-01	MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH PROGRAMS	311,001	RESEARCH AND DEVELOPMENT	337,501	642,574,968	Y				

See notes to the Schedule of Expenditures of Federal Awards

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RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED SEPTEMBER 30, 2022

Agency Three Digit Prefix	Agency Three Digit Suffix	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Name of Pass-Through Entity	Identifying Number Assigned by the Pass-Through Entity, if Assigned	Amount Passed Through to Subrecipients	Major Program (NP) (Y/N)
93	637	60060791-RT1	CARDIOVASCULAR DISEASES RESEARCH	8,798	RESEARCH AND DEVELOPMENT	3,405,039	642,574,968	N	Northwestern University	60060791-RT1	-	Y
93	638	6012411037723-01	LUNG DISEASES RESEARCH	1,112,708	RESEARCH AND DEVELOPMENT	1,447,066,556	642,574,968	N	National Jewish Health	701 HL132831-01A1	-	Y
93	638	6012411037723-01	LUNG DISEASES RESEARCH	1,112,708	RESEARCH AND DEVELOPMENT	1,447,066,556	642,574,968	N	National Jewish Health	701 HL132831-01A1	-	Y
93	638	60060791-RT1	CARDIOVASCULAR DISEASES RESEARCH	97,941,475	RESEARCH AND DEVELOPMENT	144,706,556	642,574,968	Y			-	Y
93	638	6012411037723-01	LUNG DISEASES RESEARCH	2,303,966	RESEARCH AND DEVELOPMENT	1,447,066,556	642,574,968	N	Cedars-Sinai Medical Center	111011	-	Y
93	639	60769811-111752	BLOOD DISEASES AND RESOURCES RESEARCH	83	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N	Stanford University	60769811-111752	-	Y
93	639	6012411037723-01	BLOOD DISEASES AND RESOURCES RESEARCH	995,851	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N			-	Y
93	639	6012411037723-01	BLOOD DISEASES AND RESOURCES RESEARCH	148,578	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N			-	Y
93	639	6012411037723-01	BLOOD DISEASES AND RESOURCES RESEARCH	59,022	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N			-	Y
93	639	13685RT138	BLOOD DISEASES AND RESOURCES RESEARCH	46,135	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N	Vitalant Research Institu	13685RT138	-	Y
93	639	6012411037723-01	BLOOD DISEASES AND RESOURCES RESEARCH	242,567	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N			-	Y
93	639	1001432-RT1	BLOOD DISEASES AND RESOURCES RESEARCH	11,127	RESEARCH AND DEVELOPMENT	1,744,467	642,574,968	N	Versiti Blood Center WI	1001432-RT1	-	Y
93	642	6012411037723-01	Preventing Population Health Through Increased Capacity in Alesha Epidemiology	122,755	RESEARCH AND DEVELOPMENT	122,755	642,574,968	Y			-	Y
93	647	6012411037723-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	2,774	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	N	UNC Chapel Hill	1DPDK12121-01	-	Y
93	647	3RD1DK103625-01A1	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	398,300	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	Y			-	Y
93	647	6012411037723-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	276,702	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	N	UNC Chapel Hill	Master Agreement 010101	-	Y
93	647	6012411037723-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	10,797	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	Y			-	Y
93	647	6012411037723-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	79,387	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	Y			-	Y
93	647	3U24DK130043-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	1,159,133	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	Y			103,685	Y
93	647	6012411037723-01	DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH	115,054	RESEARCH AND DEVELOPMENT	2,431,010	642,574,968	N	Atlanta-Fulton County Stadium	Atlanta-Fulton County Stadium	-	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	979,048	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	Y			170,074	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	222,267	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	Y			25,000	Y
93	649	60127298	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	6,120	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	N	Translational Sciences	19012099	-	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	171,295	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	Y	UNC Chapel Hill	0124003100	-	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	112,967	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	Y			-	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	77,712	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	Y			-	Y
93	649	6024NS10535-01	EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS	5,376	RESEARCH AND DEVELOPMENT	3,025,885	642,574,968	N	Columbia University	100017540-01	-	Y
93	653	MSA Dtd 7/17/14 SOW #15	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	45,113	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	Global Alliance for TB	MSA Dtd 7/17/14 SOW #15	-	Y
93	655	MSA Dtd 7/17/14 SOW #18	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	657	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	Global Alliance for TB	MSA Dtd 7/17/14 SOW #18	-	Y
93	655	645848-2	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	27,938	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	000279877	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	21,164	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	Colorado State University	645848-2	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	73,745	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	UNC Chapel Hill	10467	-	Y
93	655	See Task	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	596,837	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	Magee-Womens Research	See Task	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	467,189	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			706	Y
93	655	1RD1A11282-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	1,763,068	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			472,925	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	25,918	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	1111111111	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	36,297	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	Stanford University	60747077-117727	-	Y
93	655	6024NS10535-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	1,020,332	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	FHI 360	PO 20000095	-	Y
93	655	MUC_010_RTI	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	16,704	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	Mucimmune, LLC	MUC_010_RTI	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	1,671,537	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			174,842	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	1,018,413	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			373,942	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	77,970,300	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			451,873	Y
93	655	1RD1A1154949	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	921,387	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			204,878	Y
93	655	MSA Dtd 01/01/10A1	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	51,761	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	MSA Dtd 01/01/10A1	-	Y
93	655	5121838	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	1,348	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	5121838	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	27,592	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	6012411037723-01	-	Y
93	655	5121838	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	27,610	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	UNC Chapel Hill	5121838	-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	495,293	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	Mucimmune, LLC	MUC010000000	-	Y
93	655	UD1A12 68477	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	27,567	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y			-	Y
93	655	6012411037723-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	33,101	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	Y	University of Georgia	6012411037723-01	-	Y
93	655	MSA 01-01	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	312,709	RESEARCH AND DEVELOPMENT	7,105,338	642,574,968	N	unc chapel hill	MSA 01-01	-	Y
93	865	2024H060031-08	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	3,297,977	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			181,186	Y
93	865	2024H060031-08	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	1,299,129	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			181,186	Y
93	865	UD1A12 0910547-01	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	245,310	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y
93	865	1RD1A099372-01	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	555,578	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y
93	865	6012411037723-01	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	312,709	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y
93	865	5109399	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	68,409	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	N	UNC Chapel Hill	5109399	-	Y
93	865	UD1A099372-01	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	409,955	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y
93	865	4 UH3 HD096908-03	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	344,489	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y
93	865	MSA Dtd 01/01/10A1	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	705,473	RESEARCH AND DEVELOPMENT	14,900,227	642,574,968	Y			143,748	Y

See notes to the Schedule of Expenditures of Federal Awards

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RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED SEPTEMBER 30, 2022

ALN Number	Federal Agency - Three Digit Prefix	ALN Extension	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Name of Pass-Through Entity	Federal Award Source Identifying Number Assigned by the Pass-Through Entity, If Assigned	Amount Passed Through to Subrecipients	Major Program (M/P) (Y/N)
93	HHSM	500-2014-000377	HSM500210000	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	2,243,839	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210006	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	9,183	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSM	500-2014-000377	HSM500210007	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	5,394,234	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210008	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	14,312,893	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210009	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	2,544,335	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210010	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	903,352	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSM	500-2014-000377	HSM500210011	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	3,601,415	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210012	COVID-19 - Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	443,217	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSM	500-2014-000377	HSM500210013	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	3,950,048	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210014	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	17,952,529	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSM	500-2014-000377	HSM500210015	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	11,549,321	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210016	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	901,743	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210017	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	2,724,563	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSM	500-2014-000377	HSM500210018	Primary Care First (PCF) Payment, Operations, Monitoring, and Quality (POMH-Q)	1	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	N	MATHEMATICA POLICY RES.	HHSM-500-2014-000377 HSM500-200		Y
93	HHSN	72101-00054	200-2014-61263-0001	NIH/NIA Contract #15N01387 (Title of Minority Developmental Disabilities ORO Borders)	13,276	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	PPHF 2015 Evaluation of CDC's National Tobacco Education Campaign financed solely by 2015 PPHF funds	(7,942)	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232015100028	HHSF23231005	Formative Research to Inform a National Education Initiative on Nicotine	444,240	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232015100028	HHSF232318001	Formative Research to Inform a National Education Initiative on Nicotine	78,776	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232015100028	HHSF232318002	Formative Research to Inform a National Education Initiative on Nicotine	(20,406)	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232015100028	HHSF232318003	Formative Research to Inform a National Education Initiative on Nicotine	1,097,673	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232015100028	HHSF232318004	Formative Research to Inform a National Education Initiative on Nicotine	197,666	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Systematic Review of the Literature on the Use of Nicotine Replacement Therapy in the Management of Smoking Cessation	320	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Task Order 4: Preparation and Distribution of Research Drug Products Account Name NIDA	(7,371)	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	Accelerating Change and Transformation in Organizations and Networks II (ACTIONII)	218,226	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Accelerating Change and Transformation in Organizations and Networks II (ACTIONII)	902,167	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,915,624	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	(3,216)	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	626	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	498,110	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,452,083	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	289,789	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,129,957	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	23,547	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	313,224	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	497,885	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,414,777	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,872,043	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	2,028,048	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	National Survey of Child and Adolescent Well-Being (NSCAW)	1,847,944	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	Health Services Research Center (HSRC) - Task Order 1 (NIDA)	1,098,000	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Evaluation of the Impact of the National Tobacco Education Campaign	53,424	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Production, Analysis, and Distribution of Cannabis and Related Materials	281,244	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	N	University of Mississippi	15-04-032		Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	22,001	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	2,835	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	1,644	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	2,809,632	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	1,175,517	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	1,894,458	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002015M8816287503018701568		EVALUATION OF CDC'S NATIONAL TOBACCO EDUCATION CAMPAIGN	1,045,277	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Newborn Screening for Mucopolysaccharidosis (MPS2) Pilot Study	11,710	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSN	72101-00054	200-2014-61263-0001	Smart II	232	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	SMART II	126	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Analysis of Disability Age and Long-Term Care Policy and Data 11-16-21	1,748,579	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSN	72101-00054	200-2014-61263-0001	Accurate and Timely Long-Term Care Policy and Data 11-16-21	2,765	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSO	0002016P923787503012312805		DVI Survey Design/Implement	95,941	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSO	0002016P923787503012312805		The Real Cost	1,063,171	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968					Y
93	HHSF	232016100023	HHSF232301002	The Real Cost	25,867	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y
93	HHSF	232016100023	HHSF232301003	The Real Cost	416,940	RESEARCH AND DEVELOPMENT	237,048,863	64,257,968	Y				Y

See notes to the Schedule of Expenditures of Federal Awards

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RESEARCH TRIANGLE INSTITUTE
 SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 FOR THE YEAR ENDED SEPTEMBER 30, 2022

Agency / Three Digit Prefix	Agency / Extension	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Name of Pass-Through Entity	Federal Award Source Identifying Number Assigned by the Pass-Through Entity, if Assigned	Amount Passed Through to Subrecipients	Major Program (MP) (Y/N)
97	U03	70384207P160002	DHS PIACITCT	561,353	N/A	561,353	-	Y			-	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	304,715	N/A	304,715	-	N	Mississippi State Univ	319926-112455-01	267,514	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	395,053	N/A	395,053	-	N			-	N
98	002	56-0686338	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	349,655	N/A	349,655	-	N	RI Research & Training	737707016500	-	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	207,883	N/A	207,883	-	N	FHI 360	56-0686333	-	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	3,978,797	N/A	3,978,797	-	N			3,748,748	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	206,187	N/A	206,187	-	Y			65,864	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	59,820	N/A	59,820	-	N			59,820	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	10,901,323	N/A	10,901,323	-	Y			1,932,438	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	567,907	N/A	567,907	-	N			60,203	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	624,020	N/A	624,020	-	Y			59,098	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	3,567,784	N/A	3,567,784	-	N			2,974,642	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	15,899,438	N/A	15,899,438	-	N			1,479,853	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	12,000	N/A	12,000	-	Y			-	N
98	001	72049219CA00005	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	8,388,405	N/A	8,388,405	-	Y			1,084,713	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	4,772,995	N/A	4,772,995	-	Y			1,201,993	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	4,170,376	N/A	4,170,376	-	Y			830,369	N
98	001	7206822CA000000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	9,979,595	N/A	9,979,595	-	Y			1,939,115	N
98	001	72062119CA00001	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	96,237	N/A	96,237	-	N	Jane Goodall Institute	72062119 CA00001	-	N
98	001	72062119CA00001	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	11,575,216	N/A	11,575,216	-	Y			607,659	N
98	001	7206822CA00006	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	9,092,791	N/A	9,092,791	-	Y			5,121,488	N
98	001	7206822CA00004	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	3,004,483	N/A	3,004,483	-	N			406,370	N
98	001	7206822CA00005	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	7,006,716	N/A	7,006,716	-	Y			179,541	N
98	001	89915-11297	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	102,380	N/A	102,380	-	N	Cornell University	89915-11297	-	N
98	001	7206822CA00000	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	16,333	N/A	16,333	-	Y			158,390	N
98	001	COVID-19 Agreement effective 1/25/21	COVID-19 - USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	201,383	N/A	201,383	-	N	PATI	Agreement effective 1/25/21	158,390	N
98	001	AID-QAA-C-15-00003	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	344,990	N/A	344,990	-	Y			37,743	N
98	001	AID-278-A-15-00003	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	6,043,238	N/A	6,043,238	-	Y			226,692	N
98	001	AID-284-A-15-00003	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	1,735,537	N/A	1,735,537	-	Y			-	N
98	001	AID-492-A-11-00011	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	1,976,272	N/A	1,976,272	-	Y			125,303	N
98	001	AID-615-A-17-00006	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	14,857,417	N/A	14,857,417	-	Y	World Values Survey	7206822CA00006	7,301,624	N
98	001	AID-617-A-13-00009	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	1,642,384	N/A	1,642,384	-	Y			-	N
98	001	AID-685-A-16-00006	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	4,187,744	N/A	4,187,744	-	Y			1,115,167	N
98	001	AID-685-A-16-00006	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	1,059,772	N/A	1,059,772	-	Y			139,772	N
98	001	AID-QAA-A-11-00049	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	11,677	N/A	11,677	-	Y			-	N
98	001	AID-QAA-A-17-00011	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	587,959	N/A	587,959	-	Y			-	N
98	001	USAID-6737-2015-00001	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	1,137,711	N/A	1,137,711	-	Y			-	N
98	001	RTI-NAWRH-33445002	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	2,585,185	N/A	2,585,185	-	N	Mercy Corps	RTI-NAWRH-33445002	1,313,818	N
98	U03	AID-686-C-17-00003	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	2,829,714	N/A	2,829,714	-	Y			-	N
98	U03	AID-686-C-17-00003	READ Liberia	4,945,975	N/A	4,945,975	-	Y			-	N
98	U06	AID-691-C-15-00072	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	5,925,000	N/A	5,925,000	-	Y			-	N
98	U06	AID-QAA-C-15-00125	Latin America and the Caribbean Regional Disaster Assistance Program	7,576,625	N/A	7,576,625	-	Y			-	N
98	U11	AID-691-C-15-00072	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	2,829,714	N/A	2,829,714	-	Y			-	N
98	U14	7000-S-2015-01 7000-S-2015-01-WC-2017-03-10A	Research for Effective Education Programming - Africa (REEP-Africa)	27	N/A	27	-	N	Deere Consulting Group	7000-S-2015-01 7000-S-2015-01-WC-2017-03-10A	-	N
98	U14	7000-S-2015-01 7000-S-2015-01-WC-2017-03-10B	Research for Effective Education Programming - Africa (REEP-Africa)	63	N/A	63	-	N	Deere Consulting Group	7000-S-2015-01 7000-S-2015-01-WC-2017-03-10B	-	N
98	U14	7000-S-2015-01 7000-S-2015-01-WC-2018-02	Research for Effective Education Programming - Africa (REEP-Africa)	63	N/A	63	-	N	Deere Consulting Group	7000-S-2015-01 7000-S-2015-01-WC-2018-02	-	N
98	U14	AID-617-C-18-00002	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	311,352	N/A	311,352	-	N	Deere Consulting Group	7000-S-2015-01 7000-S-2015-01-WC-2017-03-10A	-	N
98	U14	AID-617-C-18-00002	USAID FOREIGN ASSISTANCE FOR PROGRAMS OVERSEAS	2,944,883	N/A	2,944,883	-	N	Crown Agents - USA	AGS-617-2017	-	N
98	U25	AID-617-C-18-00002	Uganda Governance, Accountability, Participation and Performance (GAPP) Program	(1)	N/A	(1)	-	Y			-	N
98	U25	AID-617-C-18-00002	USAID/Dharama Pamoji Program	15,914	N/A	15,914	-	Y			6,910	N
98	U30	AID-QAA-14-00005 7206A10P00007	WWF MISSIONBUREAU TASK	30,456	N/A	30,456	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00008	WWF MISSIONBUREAU TASK	17,665	N/A	17,665	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00009	WWF MISSIONBUREAU TASK	17,559	N/A	17,559	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00010	WWF MISSIONBUREAU TASK	17,784	N/A	17,784	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00011	WWF MISSIONBUREAU TASK	1,051,991	N/A	1,051,991	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00012	WWF MISSIONBUREAU TASK	1,051,991	N/A	1,051,991	-	Y			-	N
98	U30	AID-QAA-14-00005 7206A10P00013	WWF MISSIONBUREAU TASK	124,454	N/A	124,454	-	Y			-	N

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RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2022

Federal Agency Three Digit Symbol	ADN Number	Additional Award Identification	Name of Federal Award	Amount Expended	Cluster Name	Federal Program Total	Cluster Total	Direct Award (Y/N)	Federal Award Source		Amount Passed Through to Subrecipients	Major Program (MP) (Y/N)
									Name of Pass-Through Entity	Identifying Number Assigned by the Pass-Through Entity, if Assigned		
U33	AID-QAA-14-00044	72044218R0007	Nepal EGRP	1,785,365	N/A	1,785,365	-	Y				
U31	AID-QAA-14-00044	AID-617-TD-15-00001	Nepal EGRP	44,267	N/A	44,267	-	Y				
U31	AID-QAA-14-00044	AID-617-TD-15-00001	Nepal EGRP	12,956	N/A	12,956	-	Y				
U31	AID-QAA-15-00008	AID-G15-TD-15-00021	Kenya Youth Employment and Skills (K-YES)	12,956	N/A	12,956	-	Y				
U38	720-674-18-D-00004	720-674-19-F-00004	East Africa Energy Program (PAE Task Order 2)	11,547,278	N/A	11,547,278	-	Y				
U48	AID-486-15-00001	72048618F00005	USAID Local Solutions Support (LSS)	2,203,109	N/A	2,203,109	-	Y				
U49	AID-486-15-00001	72048620F00001	USAID Local Solutions Support (LSS)	2,203,109	N/A	2,203,109	-	Y				
U49	AID-486-15-00001	72048618F00004	USAID Local Solutions Support (LSS)	2,203,109	N/A	2,203,109	-	Y				
U49	AID-486-15-00001	72048620F00001	USAID Local Solutions Support (LSS)	2,203,109	N/A	2,203,109	-	Y				
U50	72011513C00004		Kyrgyzstan Glava Kemerel	5,242,233	N/A	5,242,233	-	Y				
U54	7200AA10D00028	72051723F00001	ENERGY IDIQ II	4,862,942	N/A	4,862,942	-	Y				
U54	7200AA10D00028	72038621F00002	ENERGY IDIQ II	3,888,190	N/A	3,888,190	-	Y				
U55	72044271C00002		Cambodia IPEA	3,714,703	N/A	3,714,703	-	Y				
U57	72062121C00001		Tunisia UIC/PEP	2,258,616	N/A	2,258,616	-	Y				
U59	72052320C00013		RISE	424,751	N/A	424,751	-	Y				
U65	21778-RTI-IDIQ-001	21778-RTI-IDIQ-001-1G-002	Prev Type 2 Duplicates	57,025	N/A	57,025	-	Y				
U67	72052320C00004		Evaluation of PASL (B)	1,312,292	N/A	1,312,292	-	Y				
U69	72061522C00001		Benton CC DETECT	886,624	N/A	886,624	-	Y				
U71	72048522C00009		NOAA CIROH	11,716	N/A	11,716	-	Y				
U72	AID-520-C-14-00003		NOAA CIROH	25,765	N/A	25,765	-	Y				
U75	EDG-C 00 03-00010-00		Yale F-CIHOH	(10,322)	N/A	(10,322)	-	Y				
				Total Federal Expenditures	\$ 935,255,078						Total Amount Passed Through to Subrecipients	\$ 75,580,416

See notes to the Schedule of Expenditures of Federal Awards

(Continued)

RESEARCH TRIANGLE INSTITUTE

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED SEPTEMBER 30, 2022

1. BASIS OF PRESENTATION

The schedule of expenditures of federal awards (the "SEFA") includes the federal award activity of the Research Triangle Institute (the "Institute") under programs of the federal government for the year ended September 30, 2022. The information in the SEFA is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations ("2 CFR") Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Because the SEFA presents only a selected portion of the operations of the Institute, it is not intended to and does not present the financial position, changes in net assets, or cash flows of the Institute.

Assistance listing numbers ("ALN numbers") are unique numbers assigned to identify Federal Assistance Listings, the publicly available listing of Federal assistance programs managed and administered by the General Services Administration, formerly known as the Catalog of Federal Domestic Assistance. As provided for in the Uniform Guidance, when no ALN number is assigned, the purpose of federal contracts from the same federal agency is assessed, and those made for the same purpose are combined and considered one program. Programs without an ALN number are presented with only the federal agency's two-digit prefix followed by the abbreviation "RD" for those programs in the research and development cluster or "U" (i.e. unknown) and sequentially numbered by federal agency in place of an ALN number. The Institute assigns sequential numbers on an annual basis unless a program had already been assigned a number on the SEFA in a prior year. The federal agency two-digit prefixes are as follows:

Prefix	Federal Agency
10	Department of Agriculture
11	Department of Commerce
12	Department of Defense
14	Department of Housing and Urban Development
15	Department of the Interior
16	Department of Justice
17	Department of Labor
19	Department of State
20	Department of Transportation
21	Department of the Treasury
30	Equal Employment Opportunity Commission
43	National Aeronautics & Space Administration
45	National Endowment for the Arts & Humanities
47	National Science Foundation
64	Department of Veterans Affairs
66	Environmental Protection Agency
81	Department of Energy
84	Department of Education
85	Scholarship Foundations

Prefix	Federal Agency
93	Department of Health and Human Services
97	Department of Homeland Security
98	U.S. Agency for International Development
99	Miscellaneous

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The SEFA has been prepared in accordance with the accrual basis of accounting and with accounting principles generally accepted in the United States of America, and is consistent with the preparation of the Institute's consolidated financial statements. Amounts reflected in the SEFA include only expenditures of federal awards whereas the corresponding amounts reported in the consolidated financial statements also include expenditures of federal fixed price contracts and nonfederal awards. Such expenditures are recognized following the applicable cost principles wherein certain types of expenditures are unallowable. Negative amounts shown on the SEFA represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years.

An award is considered expended when the activity related to the award occurs. The activity generally pertains to events requiring compliance with laws, regulations, and the provisions of contract and grant agreements. Direct costs have been recognized on the accrual basis of accounting when costs are incurred. For time and materials contracts, expenditures are recognized as hours and costs are incurred based on negotiated rates. Fees on cost-plus contracts are recognized as costs are incurred and expenditures include a proportionate share of the fees earned.

The accompanying consolidated financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America (GAAP). The consolidated financial statements include the accounts of the Institute and its wholly owned subsidiaries. All significant intercompany balances and transactions have been eliminated.

The preparation of the consolidated financial statements in accordance with 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 dates of the consolidated financial statements. Actual results could differ from those estimates.

The Institute's consolidated financial statements include the results of operations of International Resources Group Ltd. ("IRG"), a for-profit corporation, acquired on January 6, 2017. After the acquisition, IRG continued to be the prime contractor on contracts originally awarded under the *Federal Acquisition Regulation* prior to the acquisition date through September 30, 2017. Effective October 1, 2017, all but one of these contracts were novated to the Institute to be the prime contractor. The expenditures related to these novated contracts are included in the Institute's SEFA for the year ended September 30, 2022. The one remaining IRG contract that was not novated had approximately \$.2 million in revenues for the year ended September 30, 2022. The Institute determined this contract did not meet the definition of a federal award as IRG is not a non-federal entity, as defined in Uniform Guidance. Therefore, the corresponding expenditures incurred during the period related to this contract are not included in the Institute's SEFA for the year ended September 30, 2022.

3. INDIRECT COST RATE

The Institute has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance. Indirect costs are recovered from the federal government by applying a federally negotiated indirect cost rate or by allocating these costs among benefiting programs in accordance with a federally approved plan. Each program's share of indirect costs is recognized on the accompanying SEFA.

4. RELATIONSHIP TO FEDERAL FINANCIAL REPORTS

The regulations and guidelines governing the preparation of federal financial reports vary by federal agency and among programs administered by the same agency. Accordingly, the amounts reported in the federal financial reports do not necessarily agree with the amounts reported in the accompanying SEFA, which is prepared as explained in Notes 1 and 2 above.

5. SUBRECIPIENTS

The Institute must make case-by-case determinations whether each agreement it makes for the disbursement of federal program funds casts the party receiving the funds as a subrecipient or a contractor based on the Uniform Guidance definitions and management's judgement. The total amount identified as provided to subrecipients during the year ended September 30, 2022 was \$76.0 million.

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RESEARCH TRIANGLE INSTITUTE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS FOR THE YEAR ENDED SEPTEMBER 30, 2022

Section I—Summary of Auditor's Results

FINANCIAL STATEMENTS:

Type of report the auditor issued on whether the financial statements audited were prepared in accordance with GAAP: Unmodified

Internal control over financial reporting:

Material weakness(es) identified?	___ Yes	<u>X</u> No
Significant deficiency(ies) identified?	___ Yes	<u>X</u> None Reported
Noncompliance material to financial statements noted?	___ Yes	<u>X</u> No

FEDERAL AWARDS:

Internal control over major federal programs:

Material weakness(es) identified?	___ Yes	<u>X</u> No
Significant deficiency(ies) identified?	___ Yes	<u>X</u> None Reported

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

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

Identification of major federal programs:

ALN Number	Name of federal program, cluster, or contract
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Major Programs

98.U31	Nepal EGRP
98.U46	Water & Development IDIQ
98.U55	Cambodia IPEA
98.U57	Tuhifadhi Maliasili
98.U58	Jifunze Uelewe
98.U70	CISESS CFP NOAA
R&D	R&D CLUSTER

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 II—Financial Statement Findings

None reported for the year ended September 30, 2022

Section III—Federal Award Findings and Questioned Costs

None reported for the year ended September 30, 2022

RESEARCH TRIANGLE INSTITUTE

SUMMARY SCHEDULE OF PRIOR YEAR AUDIT FINDINGS FOR THE YEAR ENDED SEPTEMBER 30, 2022

Finding Number	Status of Prior Year Findings	Completion Date	Responsible Contact Person
2021-001	<p>Indirect Rate Ceiling Review: RTI's Government Compliance group performed a comprehensive comparison of all existing awards containing indirect rate ceilings to the indirect rate ceilings inputted in the Institute's accounting system.</p> <p>Added New Internal Control: On a quarterly basis, Institute's Government Compliance group confirms that the indirect rate ceilings on all new awards and modifications were accurately input in the Institute's accounting system.</p>	September 2022	Justin Johnson, Director of Government Compliance and Internal Controls
2021-002	<p>Training: Conducted refresher training to those involved in the FFATA process which included:</p> <ul style="list-style-type: none"> • a review of the federal reporting requirements, • a review of Institute's internal systems and processes, and • the importance of timely and accurate FFATA reporting. <p>Additional Monitoring: Developed enhanced reporting of subaward transactions to improve visibility and completeness of reportable actions.</p>	<p>July 2022</p> <p>September 2022</p>	Justin Johnson, Director of Government Compliance and Internal Controls

KELLE BARRICK

Summary of Professional Experience

Kelle Barrick, a senior research criminologist in the Victimization and Response Program, has 20 years of experience conducting research on crime, victimization, and the criminal legal response. Dr. Barrick's current efforts include estimating the prevalence of sex and labor trafficking; increasing our understanding of how labor trafficking recruitment, exploitation, and identification vary across distinct industries; identifying successful strategies for responding better to labor trafficking cases; increasing our understanding of opportunities to disrupt sex trafficking recruitment and network operations; and conducting a formative evaluation of a law enforcement-based victim services program. She is an expert on human trafficking and has participated in expert working groups on trafficking research by the National Science Foundation (NSF) and the United Nations Office on Drugs and Crime, among others. Dr. Barrick also has extensive experience with program evaluation in a broad variety of areas, including prisoner reentry, criminal justice reform, crime and violence reduction, community corrections, crime laboratory efficiency, homeland security, and responses to domestic violence. In 2009, Dr. Barrick received the American Society of Criminology's Outstanding Article Award for a paper on the impact of felony labeling on recidivism.

Education

PhD, Criminology, Florida State University, Tallahassee, FL, 2007.

MA, Administration of Justice, Southern Illinois University, Carbondale, IL, 2001.

BA, Administration of Justice, Southern Illinois University, Carbondale, IL, 1998. Graduated summa cum laude.

Selected Project Experience

Labor Trafficking in Construction and Hospitality: Analyzing Victim Recruitment, Exploitation, and Service Needs to Identify Strategies for Prevention and Intervention (2022 to date)—*Principal Investigator*. Funded by the National Institute of Justice (NIJ), this project focuses on understanding variation in labor trafficking exploitation in different labor sectors. This study explores labor trafficking among construction and hospitality workers, focusing on the lived experiences of workers, regardless of whether their exploitation and victimization have been formally identified. Through the mapping of labor trafficking of supply chains, interviews with key stakeholders, surveys of people with lived experience of exploitation in these industries, and in-depth follow-up interviews with a subset of these respondents, this study examines whether labor trafficking victimization manifests differently in distinct industries.

Understanding What Works in the Successful Identification, Investigation, and Prosecution of Labor Trafficking Cases in the United States (2021 to date)—*Co-Principal Investigator*. This NIJ-funded project explores the ways that five U.S. counties have successfully prioritized the identification, investigation, and prosecution of labor trafficking cases. This project involves analysis of criminal justice agency human trafficking policies and procedures, sex and labor trafficking case record reviews, and in-depth, semistructured interviews with criminal justice and victim service provider stakeholders with experience with labor trafficking cases and/or victims.

Enhancing Response to Victims: A Formative Evaluation of OVC's Law Enforcement-based Victim Services (LEV) Program (2021 to date)—*Principal Investigator*. RTI and the International Association of Chiefs of Police (IACP) are partnering to conduct a practitioner- and victim-informed multisite formative evaluation of the Office for Victims of Crime's (OVC's) LEV program. Specific objectives are

to develop a comprehensive inventory and typology of all LEV programs, develop logic models and identify core components of a subset of sites, conduct evaluability assessments of the subset of sites, develop recommendations for future outcome evaluation, and develop an implementation guide and fidelity measures. We will achieve these objectives through a mixed-methods research design that includes input from OVC and the LEV training and technical assistance team, a web survey of all LEV sites, telephone and in-person interviews with LEV staff in a subset of sites, and interviews with victims who have received assistance.

Modeling Effective Network Disruptions for Human Trafficking (2021 to date)—*Co-Principal Investigator*. In collaboration with Clemson University, the University of Minnesota, and Northeastern University, this NSF-funded project builds on the team's work in *Modeling Operations of Human Trafficking Supply Networks* to contribute new knowledge on how best to disrupt and dismantle, as opposed to simply displace, illicit sex trafficking networks. This project combines semistructured mixed methods qualitative research and operations research with expertise and knowledge from a survivor-centered advisory group and a human trafficking investigative task force to model effective network disruptions for human trafficking. It involves analysis of comprehensive investigative case files and in-depth, semistructured interviews with survivors, law enforcement, and traffickers.

Identification of Effective Strategies to Disrupt Recruitment of Victims of Human Trafficking (2021 to date)—*Co-Principal Investigator*. In collaboration with the University of Minnesota, Clemson University, and Northeastern University, this NIJ-funded project builds on the team's work in *Modeling Operations of Human Trafficking Networks* and continues to build evidence about recruitment of victims within human trafficking for sexual exploitation. This project combines semistructured mixed methods qualitative research and operations research with expertise and knowledge from survivor-centered advisory groups and a human trafficking investigative task force to better understand opportunities for disrupting recruitment in sex trafficking. Study findings will advance understanding and guide decision-making in the field and build an evidence base for more effective disruption, rather than displacement, of recruitment networks and activities.

Human Trafficking Policy and Research Analyses Project (2020 to date)—*Prevalence Study Lead*. With funding from the Administration for Children and Families' (ACF's) Office of Planning, Research, and Evaluation (OPRE) and Office on Trafficking in Persons (OTIP), this project seeks to inform the development of antitrafficking strategies, policies, and programs to prevent and respond to human trafficking. This includes undertaking a focused prevalence inquiry of human trafficking in the United States. The overarching goal of this task is to advance knowledge of promising methods for estimating human trafficking prevalence in the United States by field testing at least two methods of prevalence estimation within the construction industry in one geographic location in the United States. The study also explores the role of natural disaster cleanup and reconstruction in the exploitation and trafficking of construction workers.

Estimating Sex Trafficking in Sacramento County (2019 to date)—*Principal Investigator*. In collaboration with Community Against Sexual Harm, RTI is developing an estimate of the prevalence of sex trafficking in Sacramento County. This pilot project uses multiple data sources collected through the work of a dedicated partnership, including local law enforcement, the District Attorney's Office, a specialty human trafficking medical clinic, and direct service providers. These secondary data will be supplemented with primary data collected from a representative sample of the population at risk for or experiencing sex trafficking. Study results may be used to leverage resources and inform a coordinated, cross-sector response to combat sex trafficking and serve trafficking victims.

National Incident Based Reporting System (NIBRS) Estimation Project (2018 to date)—*Data Quality Task Leader*. Sponsored by the Bureau of Justice Statistics (BJS), the NIBRS Estimation project produces nationally representative estimates of crime and characteristics of crime based on the FBI NIBRS data collection. Phase I develops methodology to assess and address data quality related to internal validity

and item nonresponse, develops survey weights to make state and national inference when combining the NCS-X initiative agencies and self-representing NIBRS compliant agencies, and develops external population totals for analytic rates. Phase II develops a prototype tool that will implement the Phase I methodology to produce national estimates for a set of key NIBRS indicators. Responsible for directing a comprehensive data quality assessment.

Modeling Human Trafficking Supply Networks to Identify Effective Interdiction Methods (2018 to 2020)—*Co-Principal Investigator*. With funding from NSF and a transdisciplinary team from the University of Minnesota, Clemson University, and Northeastern University, this project identified operational structures of sex trafficking networks; identified and translated qualitative data necessary to populate dynamic operations research models that can disrupt such networks; built a highly functional cross-disciplinary and multisector team; worked together to verify that model assumptions were accurate by triangulating sources and exploring the project findings with a survivor-centered advisory group; and identified ethical challenges and considerations in modeling, such as the need to acknowledge the complexity of human experiences and the inability of models to portray the violence and coercion embedded within human trafficking.

Evaluability Assessment and Baseline Study of the Office for Victims of Crime's Vision 21 Supporting Collective Healing in the Wake of Harm Program (2018 to 2019)—*Principal Investigator*. With funding from NIJ, RTI conducted an evaluability assessment and baseline study of a demonstration project to support six law enforcement agencies in working with their communities to develop and implement trauma-informed and evidence-based strategies, protocols, and interventions that promote collective healing. Responsible for overseeing the project, managing project resources, and leading qualitative data analysis.

Forensic Technology Center of Excellence (FTCoE) (2016 to 2021)—*Social Science Task Leader*. RTI, in collaboration its university partners, leads the FTCoE, which provides testing, evaluation, technology assistance, and other services regarding technologies intended for use by crime laboratories, forensic service providers, law enforcement agencies, and other criminal justice agencies. The FTCoE is part of the National Law Enforcement and Corrections Technology Center system. Worked with the forensic and law enforcement communities to identify forensic needs and to evaluate forensic technologies used in crime scene and forensic laboratory settings.

Strengthening and Sustaining Tanzania's Response to Trafficking in Persons (TIP), Ensuring Access to Justice and Fair Treatment for TIP Victims (2016 to 2019)—*Co-Project Director*. The goal of this project was to strengthen Tanzania's national criminal justice response to TIP and to ensure access to justice and fair treatment for all TIP victims. Project objectives included strengthening the legal framework to combat TIP; strengthening national coordination to identify victims, refer victims to appropriate protection services and care, and coordinate police and prosecution activities; developing and conducting victim-centered multidisciplinary trainings; and building government capacity to sustain prosecution of TIP cases.

Evaluation of Programs to Expedite the Processing and Analysis of Sexual Assault Evidence (2016)—*Project Director*. Unsubmitted SAKs in law enforcement custody and untested SAKs in crime laboratories result in delays in the justice system and, in some instances, the denial of justice for sexual assault survivors. The Laura and John Arnold Foundation, which is dedicated to supporting reforms in the criminal justice system, including improvements in the application of forensic science, funded this evaluability assessment of two promising (and very similar) programs that seek to increase processing efficiency and reduce processing time for SAKs in California and Utah. This project developed a detailed evaluation design and analysis plan to evaluate these two programs.

Evaluation of the Safety and Justice Challenge (SJC) (2015 to 2019)—*Investigator*. The MacArthur Foundation's SJC to local justice systems was an initiative to address the gap in jail reform research, policy, and advocacy; change how local justice systems respond to crime; and reshape the national crime

control agenda. The SJC is intended to foster a paradigm shift in local justice systems by stimulating an alternative view of punishment from the current reliance on high arrest rates and long sentences. This project evaluated the processes, outcomes, and impacts of the SJC on local and national criminal justice reform.

National Crime Statistics Exchange (NCS-X) (2014 to 2019)—Task Leader. RTI worked with BJS to develop the implementation plans for NCS-X, a program designed to generate national incident-based data on crimes reported to law enforcement agencies. NCS-X leveraged the Federal Bureau of Investigation's NIBRS by recruiting a scientifically selected sample of law enforcement agencies to supplement the existing NIBRS data. Directed tasks related to the analysis and reporting of NIBRS data.

Labor Trafficking in North Carolina: A Statewide Survey Using Multistage Sampling (2014 to 2018)—Principal Investigator. The U.S. government, labor rights groups, and many international organizations claim that human trafficking is a widespread problem, subjugating tens of millions of people around the world. Despite these grim claims, labor trafficking research involving systematic data collection remains rare in the United States. This study applied a field-tested enumeration strategy to establish a sampling frame to support multistage sampling procedures resulting in representative estimates of the prevalence of trafficking and labor exploitation among migrant farmworkers in North Carolina. Responsible for overall oversight of the project, including developing the survey instruments, reviewing and approving the sampling strategy, obtaining the Human Subject Study approval, developing the analytic strategy, analyzing survey and administrative police data, writing the baseline report, and presenting study findings.

Crime in the Bakken Region (2014 to 2016)—Project Director. U.S. crude oil production grew by more than 1 million barrels per day in 2012, the largest in the world and in U.S. history. The Bakken formation underlying North Dakota and Montana is a major oil boom site, and men have migrated in record numbers to work in the area around the formation. Observers have speculated that the influx of temporary workers has contributed to an increase in crime and public disorder in the small towns and rural areas that surround the drilling. This project used data from NIBRS and other available data sources to examine how crimes reported to the police, law enforcement responses to crime, and law enforcement staffing changed in the Bakken region as oil and natural gas production increased. Oversaw the project, including developing a rigorous data quality assessment, preparing and analyzing complex incident-based crime data, and disseminating the findings.

Desistance from Crime over the Life Course (2013 to 2017)—Task Leader. This NIJ-funded study examined the factors associated with desistance from crime among a large group of male and female offenders in two states who participated in an evaluation of the effectiveness of prisoner reentry programs in 2004–2007. This work included an in-depth examination of the role of cognitive transformation in the desistance process. RTI acquired official arrest and reincarceration data and conducted interviews with more than 700 offenders who were originally participants in the Multisite Evaluation of the Serious and Violent Offender Reentry Initiative.

Assessing Resident Trust and Police Effectiveness in Usulután, El Salvador (2013 to 2014)—Project Director. Gang violence continues to impact the lives of many residents of El Salvador. The State Department's INL partnered with the Government of El Salvador, including the National Police of El Salvador, to initiate a series of enforcement, training, and community prevention initiatives targeting gang violence in El Salvador communities. INL funded RTI to conduct a series of community surveys to assess changes in INL-targeted communities at multiple points in time. This work included collecting information on residents' trust in the police, perceptions about police visibility and performance, crime victimization experiences, and fear of crime in target and control communities. Oversaw the project, including developing the survey instruments, reviewing and approving the sampling strategy, obtaining the Human Subject Study approval, developing the analytic strategy, analyzing survey and administrative police data, writing the baseline report, and presenting study findings.

Assessing Crime, Resident Trust and Police Effectiveness in Tegucigalpa, Honduras (2013 to 2014)—*Project Director*. With more than 87 homicides per 100,000 residents, Honduras is one of the world's most violent countries. To assist Honduras in addressing these public safety and security issues, the U.S. Department of State provided funding to establish a Model Precinct in Tegucigalpa. The U.S. Agency for International Development's (USAID's) Office of Transition Interventions funded this baseline study, with the goal of providing a valuable assessment of key community-level perceptions and experiences with crime and the police before implementation of the INL Model Precinct. RTI conducted one wave of community, business, and police surveys to draw a baseline in the Model Precinct community receiving assistance, as well as in a comparison community not receiving assistance. Administrative data on crimes reported to the police were collected from the national police in the target and comparison areas. Oversaw the project, including developing the survey instruments, reviewing and approving the sampling strategy, obtaining the Human Subject Study approval, developing the analytic strategy, analyzing survey and administrative police data, writing the baseline report, and presenting study findings.

Dominican Republic At-Risk Youth Initiative (2012 to 2014)—*Monitoring and Evaluation*. The goal of this USAID Project Forward initiative, known as Alerta Joven, was to provide early intervention and prevention services to more than 100,000 at-risk youth living in the central corridor of the country from Santo Domingo through Santiago to Puerto Plata. RTI was responsible for all monitoring and evaluation activities, including developing all output and outcome indicators and creating a comprehensive integrated data tracking system to be used to follow all those in the juvenile justice system. Designed evaluation; developed evaluation indicators, survey instruments, and analytic strategy; analyzed data; and wrote reports.

U Nonimmigrant Visa (U Visa) Study (2011 to 2012)—*Task Leader*. The U Visa was created in 2000 by the Victims of Trafficking and Violence Prevention Act to strengthen law enforcement agencies' ability to detect, investigate, and prosecute cases of domestic violence, sexual assault, trafficking of persons, and other crimes of which aliens are victims, while offering protection to victims of these offenses. This Department of Homeland Security (DHS)-funded project analyzed the U Visa program using qualitative and quantitative data collection methods and proposed improvements in the adjudication process and related educational outreach programs to law enforcement officers around the United States. Assessed and reviewed documents related to the U Visa, conducted site visits and interviews with DHS staff and other stakeholders, contributed to the development and administration of a questionnaire of law enforcement agencies, and developed the final report.

Identifying Indicators of Labor Trafficking of Human Beings (2010 to 2013)—*Task Leader*. Sponsored by NIJ, this project investigated potential correlates of labor trafficking that could be used by state and local law enforcement as signals that labor trafficking may be taking place in their communities. Rapid appraisal methodology was used to conduct a community scan, which included focus groups and in-depth interviews, an intercept survey of migrant workers, and analysis of administrative data from law enforcement and other local businesses and organizations. Led instrument development, conducted site visits and interviews, led the task on secondary data collection and analysis, presented findings at professional meetings, and wrote a final report and journal manuscripts.

El Salvador Community-Based Crime and Violence Prevention Project (2010 to 2012)—*Technical Advisor*. This project, funded by USAID, assisted municipalities in El Salvador on crime analysis and crime prevention activities. This work included improving national and local capacity to track and analyze patterns of crime and violence, plan and implement prevention initiatives, measure the initiatives' success, and replicate the initiatives across municipalities. Contributed to the development of a crime observatory handbook.

Prisoner Reentry Services: What Works for Whom? (2010 to 2012)—*Analysis and Reporting*. This NIJ-funded project was an extension of the National Evaluation of the Serious and Violent Offender Reentry Initiative (SVORI). Additional analyses were performed on data collected under the earlier study to

identify specific practices associated with positive prisoner reentry. Administrative rearrest and reincarceration data were supplemented to provide an average of 5 years of follow-up. Contributed to analysis strategy, conducted analyses, and disseminated findings.

Evaluation of the DNA Efficiency Improvement Project (EIP) (2010 to 2012)—Evaluation Specialist. In this NIJ-funded project, RTI documented the implementation of each laboratory's grant activities and conducted five process and outcome evaluations to determine the impact of the EIP. Data used in the evaluation were collected through site visits, routinely scheduled meetings by telephone and web, performance metrics and data collection tools, and surveys of key laboratory personnel. Developed interview protocols and performance metrics, participated in site visits, and led data analysis.

Assessing Resident Trust and Police Effectiveness in Colón, El Salvador (2010 to 2012)—Crime Statistics Specialist. The State Department's INL partnered with the Government of El Salvador, including the National Police of El Salvador, to initiate a series of enforcement, training, and community prevention initiatives targeting gang violence in El Salvador communities. INL funded RTI to conduct a series of community surveys to assess changes in INL-targeted communities at multiple points in time. This work included collecting information on residents' trust in the police, perceptions about police visibility and performance, crime victimization experiences, and fear of crime in target and control communities. Contributed to development of survey instrument, analyzed survey data, wrote baseline and final report, and presented findings at professional meetings.

Assessing Migrant Impacts on the U.S. Criminal Justice System (2009 to 2010)—Task Leader. Estimating the impact of illegal immigrants on the U.S. criminal justice system, particularly state and local justice systems, is challenging because of the number of agencies affected; their differences in administrative data collection; and the lack of immigration status indicators in many extant local, state, and federal administrative data collection systems. This DHS-funded project examined the characteristics and impact of migrant populations on the criminal justice system in selected jurisdictions located in border states; assessed the availability and quality of data on immigration status maintained by law enforcement; and developed an estimate of the number and cost of illegal immigrants at each stage of the criminal justice system. Conducted literature review. Identified and contacted potential pilot sites. Conducted interviews and site visits with pilot sites. Developed a web-based survey instrument. Led the collection of survey data. Prepared and analyzed quantitative and qualitative data. Prepared and disseminated findings.

Independent Evaluation of the National Weed and Seed (W&S) Strategy (2009 to 2010)—Data Analyst. This multisite evaluation of the W&S initiative, which aimed to reduce violence and crime and to support community development in hundreds of communities nationwide, was funded by the Community Capacity Development Office in the Department of Justice. The project included a process evaluation to assess implementation of locally developed strategies and an outcome evaluation to assess W&S effects, using rigorous, cutting-edge statistical and spatial analyses for both. The evaluation employed a two-tiered design. In Tier 1, across all study sites, conducted a broad, comprehensive overview of processes and outcomes across the national W&S initiative based on data from the W&S Data Center, other central resources (e.g., U.S. Census Bureau), and a web-based survey of W&S stakeholders. In Tier 2, at 13 sentinel sites, conducted an in-depth analysis of site processes and outcomes, including information from a survey of target and comparison community residents, site visits, document review, and commercially available data on local business activity. Cleaned and analyzed all data from the web-based stakeholder survey. Contributed to final report and presented findings at a conference.

Anticipating the Future Based on Analysis of the Past: Intercity Variation in Youth Homicide, 1984–2007 (2008 to 2010)—Data Analyst. NIJ funded RTI, in collaboration with the Presley Center for Crime and Justice Studies at the University of California, to conduct a comprehensive analysis of youth violence trends for the 100 largest U.S. cities from 1984 through 2007. The primary objective of this research was to determine empirically the city characteristics that can rapidly accelerate lethal youth violence. Cleaned

and prepared data. Conducted all analyses of nonfatal youth violence. Co-wrote final report and presented findings at conferences.

Multisite Evaluation of the SVORI (2008 to 2009)—Data Analyst. NIJ funded this multisite evaluation of a collaborative federal effort to improve a broad range of outcomes for prisoners returning to their communities after a period in prison. This evaluation included an implementation assessment (to document the programming delivered across the SVORI programs), an impact evaluation (to determine the effectiveness of programming), and a cost-benefit evaluation (to determine whether program benefits exceeded program costs). Assisted with data preparation. Analyzed female offender data for the cross-site impact evaluation. Assisted with the preparation and dissemination of findings to diverse audiences.

Community Corrections: Evaluating the Effectiveness of Electronic Monitoring of Moderate- to High-Risk Offenders under Supervision (2007 to 2009)—Lead Research Analyst. This project, funded by NIJ, provided empirical evidence of the effectiveness of electronic monitoring in reducing the likelihood of recidivism and absconding for moderate- to high-risk offenders on community supervision and to answer the important questions of how and why such monitoring “works” and at what cost to public safety and public coffers. Conducted literature reviews. Developed and piloted interview instruments and conducted in-depth, face-to-face interviews with offenders and with Florida Department of Corrections personnel. Facilitated data collection and had lead responsibility for compiling, analyzing, and writing results from the quantitative analyses.

Responding to Domestic Violence in Southern Illinois (2000 to 2001)—Graduate Research Assistant. This process evaluation, funded by NIJ, focused on the development of a coordinated community response to domestic violence in the city of Carbondale and Jackson County, Illinois. The objectives of this project were to conduct a descriptive analysis of interagency collaboration and project history, to identify domestic violence research issues of priority in Carbondale, and to work with participating agencies to prepare for a potential outcome evaluation. Interviewed law students enrolled in the Southern Illinois University Law School Domestic Violence Clinic (DV Clinic), as well as the DV Clinic directors. Engaged in a variety of observations to gain insight into all aspects of the student and client experience at the DV Clinic. Examined DV Clinic records to examine client demographics and case outcomes. Assisted with writing the final report for dissemination.

Professional Experience

2008 to date. RTI International, Research Triangle Park, NC.

Senior Research Criminologist. Leads and directs criminological and criminal justice research projects.

2007 to 2008. Florida State University, Center for Criminology and Public Policy Research, Tallahassee, FL.

Research Faculty (2008). Conducted literature reviews. Developed data collection instruments. Collected and analyzed quantitative and qualitative data. Managed large and complicated data files. Collaborated on writing deliverables and peer-reviewed articles.

Graduate Research Assistant (2007). Conducted literature reviews. Developed data collection instruments. Managed large and complicated data files. Updated databases and reviewed files for completion.

2003 to 2007. Florida State University, College of Criminology and Criminal Justice, Tallahassee, FL.

Adjunct Professor (2007). Taught an upper-level undergraduate course on white-collar crime. Teaching duties included developing the course material and grading protocols, conducting all lectures, and evaluating the students' work, as well as providing assistance outside of class.

Assistant Editor, *Journal of Drug Issues* (2005 to 2007). Read all manuscripts submitted to the journal and collaborated with the editor on publication decisions (e.g., whether each paper should be sent out for review, whether requested revisions were complete). Selected appropriate external reviewers for manuscripts. Proofread all manuscripts before publication for substantive and technical errors. Wrote letters to inform authors of the publication decisions.

Graduate Research Assistant, *Journal of Drug Issues* (2004). Maintained a database that included information on the status of all manuscripts, as well as reviewer expertise and availability. Communicated with authors and external reviewers—from receipt of each paper through the final publication decision. Read all manuscripts submitted to the journal and collaborated with the editor and assistant editor on publication decisions. Assisted in selecting appropriate external reviewers for manuscripts.

Graduate Teaching Assistant (2003). Assisted in developing and grading student exams, as well as answering student questions as they pertained to the material covered in lecture. Prepared and presented a guest lecture.

2003 to 2007. Florida State University, Center for Academic Retention and Enhancement (CARE), Tallahassee, FL.

Graduate Teaching Assistant. Assisted in the CARE Summer Bridge Program, a program for first-generation college students and students who are disadvantaged by economic, cultural, or educational circumstances. Assisted in developing course materials and assessment techniques. Graded student papers and exams. Provided extensive feedback to students about their performance to help them adjust to university expectations. Led writing workshops. Was readily available to students for any questions about the specific course or the university more generally.

2003. Center for the Study of Crime, Delinquency, and Corrections, Southern Illinois University, Carbondale, IL.

Adjunct Professor. Taught a required undergraduate course on research methods in criminal justice. Teaching duties included developing the course material and grading protocols, conducting all lectures, evaluating the students' work, and providing assistance outside of class.

2001 to 2003. Social Security Administration, Carbondale, IL.

Social Insurance Specialist. Assisted the public in applying for Supplemental Security Income (SSI) benefits. Gathered evidence to establish eligibility for SSI benefits. Made decisions to determine entitlement to and amount of benefits to be paid to individuals. Used computer technology to access and update information about claims.

1999 to 2001. Center for the Study of Crime, Delinquency, and Corrections, Southern Illinois University, Carbondale, IL.

Graduate Research Assistant (2000 to 2001). Assisted in the completion of a project funded by NIJ. Conducted literature reviews. Assisted in qualitative data collection (interviews and observations). Reviewed agency records. Assisted in writing the final report.

Graduate Teaching Assistant (1999). Assisted in grading student exams and papers and answered student questions as they pertained to the material covered in lecture.

1998. Southern Illinois University Employability Development Program, Southern Illinois Community Correctional Center, Carbondale, IL.

Intern/Student Worker. Completed intake paperwork on new inmates. Taught life skills courses. Referred inmates to social services and other programs, as appropriate. Approved inmate requests for leave to seek employment.

Honors and Awards

- American Society of Criminology Outstanding Paper Award (for Chiricos, T., Barrick, K., Bales, W. D., & Bontrager, S. [2007]. The labeling of convicted felons and its consequences for recidivism. *Criminology*, 45(3), 547-582.)
- Florida State University Featured Student, 2007
- Florida State University Student Star, 2007
- Stipend to attend Interuniversity Consortium for Political and Social Research Summer Program at the University of Michigan, 2006
- Travel award to attend Interuniversity Consortium for Political and Social Research Summer Program, College of Criminology and Criminal Justice, Florida State University, 2006
- Richard L. Rachin Fellowship recipient, *Journal of Drug Issues*, College of Criminology and Criminal Justice, Florida State University, 2005 to 2007
- Administration of Justice Outstanding Academic Achievement Award, Southern Illinois University, 1998
- Honor Society of Phi Kappa Phi
- Golden Key National Honor Society

Professional Associations

- European Society of Criminology, 2014 to date
- American Society of Criminology, 2003 to date
- Society for the Study of Social Problems, 2003 to date

Professional Service

- Reviewer for *Criminology*, *Criminology and Public Policy*, *Justice Quarterly*, *Social Problems*, *Journal of Quantitative Criminology*, *Journal of Research in Crime and Delinquency*, *Violence Against Women*, *Victims and Offenders*, *Crime and Delinquency*, *Journal of American College Health*, *PLoS One*, *Journal of Human Trafficking*, *Police Quarterly*, *Journal of Injury and Violence*, and *Feminist Criminology*.
- Ad hoc proposal reviewer for the National Science Foundation
- Served on the *Research and Prevalence Expert Panel* for an evaluation of the U.S. Department of State Office to Monitor and Combat Human Trafficking in Persons Program to End Modern Slavery, September 2020 to April 2021
- Member of the DHS Science & Technology Directorate's *Human Trafficking Advisory Group*, March and July 2019
- Participant in NSF *Disrupting Illicit Supply Networks: New Applications of Operation Research and Data Analytics to End Human Trafficking*, May 2017 (Austin, TX)
- Invited presenter and participant in the *Human Trafficking Research and Data Advisory Roundtable*, January 2017 (San Diego, CA)
- Participant in United Kingdom Home Office *Human Trafficking Roundtable*, May 2015 (British Embassy, Washington, DC)
- Participant in NIH *Expert Working Group on Research and Evaluation on Human Trafficking*, April 2014 (Washington, DC)
- Participant in United Nations Office on Drugs and Crime *Expert Group Meeting on Trafficking in Persons Research*, December 2013 (Vienna, Austria)
- Editorial board member, *Social Problems*, 2008
- President, College of Criminology and Criminal Justice Graduate Student Association, 2005 to 2006

Seminars and Courses Taught

White Collar Crime, Florida State University, 2007
Introduction to Criminal Justice Research, Southern Illinois University, 2003

Special Courses

Categorical Data Analysis, Interuniversity Consortium for Political and Social Research Summer Program
Workshop on Project on Human Development in Chicago Neighborhoods, Interuniversity Consortium for Political and Social Research Summer Program

Country Experience

Dominican Republic, El Salvador, Honduras, Tanzania

Computer Skills

SPSS, HLM, Stata, SAS

Books and Book Chapters

- Lotspeich, R., Martin, L., & Barrick, K. (in press). Analyzing the cost of human trafficking: An economic framework. In *Human trafficking: A global health emergency—Perspectives in nursing, criminal justice, and the social sciences*. New York, NY: Springer Publishing.
- Richardson, N. J., Scaggs, S. J. A., Wooten, C., & Barrick, K. (in press). Comparing characteristics of rural and urban IPV against women. In *Gender-based violence and rurality in the 21st century: Interdisciplinary approaches*. Bristol, United Kingdom: Bristol University Press.
- Barrick, K. (2016). Human trafficking, labor exploitation, and exposure to environmental hazards: The abuse of farmworkers in the U.S. In J. F. Donnermeyer (Ed.), *The international handbook of rural criminology* (pp. 147–156). New York, NY: Routledge.
- Barrick, K., Lattimore, P., & Huffman, A. (2016). Social consequences of mass reentry. In *Oxford handbook online: Criminology and criminal justice*. Oxford University Press.
<https://doi.org/10.1093/oxfordhb/9780199935383.013.73>
- Lattimore, P. K., & Barrick, K. (2016). The effects of prison programming. In T. G. Blomberg, J. Mestre, K. M. Beaver, & W. D. Bales (Eds.), *Advancing criminology and criminal justice policy*. (pp. 313–323). New York, NY: Routledge.
- Barrick, K., Pitts, W. J., McMichael, J. P., Wheaton, W. D., & Evans, B. M. (2015). Developing a sampling frame of potential trafficking victims using geo-mapping techniques. In K. Kangaspunta (Ed.), *Forum on crime and society* (vol. 8, pp. 95–108). New York, NY: United Nations. Retrieved from https://www.unodc.org/documents/data-and-analysis/Forum/Forum_2015/15-00463_forum_ebook_E.pdf
- Browne, A., Williams, K. R., Parker, R., Strom, K. J., & Barrick, K. (2014). Youth homicide in the United States. In G. Bruinsma & D. Weisburd (Eds.), *Encyclopedia of criminology and criminal justice* (pp. 5585–5595). New York, NY: Springer. https://doi.org/10.1007/978-1-4614-5690-2_272

Barrick, K. (2013). A review of prior tests of labeling theory. In D. P. Farrington, & J. Murray (Eds.), *Advances in Criminological Theory: Vol. 18. Labeling theory: Empirical tests* (pp. 89–112). New Brunswick, NJ: Transaction.

Peer-Reviewed Journal Articles

- Barrick, K., Tibaduiza, E., & Durall, A. (2022). Examining intersections between law enforcement and victims: Ensuring access to key personnel and services. *Police Chief Magazine*.
- Martin, L., Gupta, M., Maass, K.L., Melander, C.L., Singerhouse, E., Barrick, K., Samad, T., Sharkey, T., Aylor, T., Forliti, T., Friedman, J., Nelson, C., & Sortillon, D. (2022). Learning each other's language and building trust: Community-engaged transdisciplinary team building for research on human trafficking operations and disruption. *The International Journal of Qualitative Methods*. <https://doi.org/10.1177/16094069221101966>
- Barrick, K., & Pfeffer, R. (2021). Advances in measurement: A scoping review of prior human trafficking prevalence studies and recommendations for future research. *Journal of Human Trafficking*. Online ahead of print. <https://doi.org/10.1080/23322705.2021.1984721>
- Mugambila, E., & Barrick, K. (2021). Protection of victims of human trafficking in Tanzania: A myth or reality? *Journal on Contemporary Issues of Law*, 6(12), 55–78.
- Sharkey, T., Maass, K. L., Song, Y., Barrick, K., Farrell, A., & Martin, L. (2021). Better together: A transdisciplinary approach to disrupt human trafficking. *ISE Magazine: Industrial and Systems Engineering at Work*, 53(11), 34–39. <https://www.iise.org/isemagazine/details.aspx?id=52408>
- Barrick, K., Panichelli, M., Lambdin, B. H., Dang, M., & Lutnick, A. L. (2020). Law enforcement identification of potential victims of trafficking for sexual exploitation. *Journal of Crime and Justice, Latest Articles*. <https://doi.org/10.1080/0735648X.2020.1837204>
- DeMichele, M., Baumgartner, P., Wenger, M., Barrick, K., & Comfort, M. (2020). Public safety assessment: Predictive utility and differential prediction by race in Kentucky. *Criminology & Public Policy*, 19(2), 409–431. <https://doi.org/10.1111/1745-9133.12481>
- Richardson, N. J., Barrick, K., & Strom, K. J. (2019). Is policing safer today? The case for a more comprehensive definition of dangerousness. *Criminology & Public Policy*, 18(1), 37–45. <https://doi.org/10.1111/1745-9133.12418>
- Barrick, K., Strom, K. J., & Richardson, N. (2018). Individual and situational influences on injurious assaults against the police. *Policing*, 41(2), 202–214. <https://doi.org/10.1108/PIJPSM-09-2016-0144>
- Hendrix, J., Taniguchi, T., Strom, K., Barrick, K., & Johnson, N. (2018). The eyes of law enforcement in the new panopticon: Police-community racial asymmetry and the use of surveillance technology. *Surveillance & Society*, 16(1), 53–68. <https://doi.org/10.24908/ss.v16i1.6709>
- Martin, K., Smith, E., Barrick, K., & Richardson, N. (2018). Leveraging NIBRS data to better understand sexual violence. *Police Chief Magazine*.
- Ryon, S., Chiricos, T., Siennick, S., Barrick, K., & Bales, W. D. (2017). Sentencing in light of collateral consequences: Does age matter? *Journal of Criminal Justice*, 53, 1–11. <https://doi.org/10.1016/j.jcrimjus.2017.07.009>
- Visher, C., Lattimore, P. K., Barrick, K., & Tueller, S. J. (2017). Evaluating the long-term effects of prisoner reentry services on recidivism: What types of services matter? *Justice Quarterly*, 34(1), 136–165. <https://doi.org/10.1080/07418825.2015.1115539>
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- Lindquist, C. H., Crosby, C., Barrick, K., Krebs, C. P., & Settles-Reaves, B. (2016). Disclosure of sexual assault experiences among undergraduate women at historically black colleges and universities (HBCUs). *Journal of American College Health, 64*, 469–480. <https://doi.org/10.1080/07448481.2016.1181635>
- Anastario, M. P., Barrick, K., Gibbs, D. A., Pitts, W. J., Werth, S. R., & Lattimore, P. K. (2015). Factors driving Salvadoran youth migration: A formative assessment focused on Salvadoran repatriation facilities. *Children and Youth Services Review, 59*, 97–104. <https://doi.org/10.1016/j.childyouth.2015.10.019>
- Pitts, W. J., Barrick, K., Zhang, S., & Lattimore, P. K. (2015). Estimating labor trafficking among farmworkers: An inverse sampling strategy based on reliable housing predictions. *Journal of Human Trafficking, 1*(2), 117–135. <https://doi.org/10.1080/23322705.2014.977092>
- Anastario, M. P., Omollo, G., Nyanuki, J., Naimer, K., Muthoga, R., Sirkin, S., Barrick, K., et al. (2014). Time series analysis of sexual assault case characteristics and the 2007–2008 period of post-election violence in Kenya. *PLoS One, 9*(8), 1–6. <https://doi.org/10.1371/journal.pone.0106443>
- Barrick, K. (2014). Latino confidence in the police: Role of immigration enforcement, assimilation, and immigration status. *Journal of Ethnicity in Criminal Justice, 12*, 289–307. <https://doi.org/10.1080/15377938.2014.893218>
- Barrick, K., Hickman, M. J., & Strom, K. J. (2014). Representative policing and violence towards the police. *Policing, 8*, 193–204. <https://doi.org/10.1093/policing/pau013>
- Barrick, K., Lattimore, P. K., & Visher, C. (2014). Reentering women: The impact of social ties on long-term recidivism. *Prison Journal, 94*, 279–304. <https://doi.org/10.1177/0032885514537596>
- Barrick, K., Lattimore, P. K., Pitts, W. J., & Zhang, S. (2014). When farmworkers and advocates see trafficking but law enforcement does not: Challenges in identifying labor trafficking in North Carolina. *Crime, Law and Social Change, 61*, 205–214. <https://doi.org/10.1007/s10611-013-9509-z>
- Barrick, K., Krebs, C. P., & Lindquist, C. H. (2013). Intimate partner violence victimization among undergraduate women at Historically Black Colleges and Universities (HBCUs). *Violence Against Women, 19*, 1014–1033. <https://doi.org/10.1177/1077801213499243>
- Bontrager, S., Barrick, K., & Stupi, E. (2013). Gender and sentencing: A meta-analysis of contemporary research. *Journal of Gender, Race, and Justice, 16*, 349–372.
- Lindquist, C. H., Barrick, K., Krebs, C. P., Crosby, C., Lockard, A., & Sanders-Phillips, K. (2013). The context and consequences of sexual assault among undergraduate women at Historically Black Colleges and Universities (HBCUs). *Journal of Interpersonal Violence, 28*, 2437–2461. <https://doi.org/10.1177/0886260513479032>
- Barrick, K., Krebs, C. P., Lindquist, C. H., Moore, C., & Plummer, D. (2012, April). Factors associated with incidents of sexual assault among undergraduate women at Historically Black Colleges and Universities (HBCUs). *Victims and Offenders, 7*, 185–207. <https://doi.org/10.1080/15564886.2012.657287>
- Parker, R., Williams, K., McCaffree, K. J., Acensio, E. K., Browne, A., Strom, K. J., & Barrick, K. (2011, September). Alcohol availability and youth homicide in the 91 largest U.S. cities, 1984–2006. *Drug and Alcohol Review, 30*, 505–514. <https://doi.org/10.1111/j.1465-3362.2011.00336.x>
- Clinton-Sherrod, A. M., Barrick, K., & Gibbs, D. A. (2011). Soldier characteristics, alcohol abuse and mental health risk as predictors of treatment. *Military Psychology, 23*, 22–35. <https://doi.org/10.1080/08995605.2011.534408>

- Krebs, C. P., Barrick, K., Lindquist, C. H., Crosby, C., Boyd, C., & Bogan, Y. (2011). The sexual assault of undergraduate women at historically black colleges and universities (HBCUs). *Journal of Interpersonal Violence*, 26, 3640–3666. <https://doi.org/10.1177/0886260511403759>
- Mancini, C. H., Barrick, K., DiPonio, J. C., & Gertz, M. (2010). Taxation with representation? Examining public fiscal support for diverse correctional policies. *Criminal Justice Policy Review*, 21, 76–97. <https://doi.org/10.1177/0887403409336053>
- Chiricos, T., Barrick, K., Bales, B., & Bontrager, S. (2007). The labeling of convicted felons and the consequences for recidivism: A multi-level analysis. *Criminology*, 45, 547–581. <https://doi.org/10.1111/j.1745-9125.2007.00089.x>

Other Papers

- Berzofsky, M. E., Barrick, K., Scott, T. L., Smith, E. L., & Barnett-Ryan, C. (2022). *Indicators for crime estimates using NIBRS data*. Bureau of Justice Statistics, U.S. Department of Justice. <https://bjs.ojp.gov/content/pub/pdf/iceunibrsd.pdf>
- DeMichele, M., Baumgartner, P., Barrick, K., Comfort, M., Scaggs, S., & Misra, S. (2018). What do criminal justice professionals think about risk assessment at pretrial? *SSRN* (Elsevier). SSRN Electronic Journal. <https://doi.org/10.2139/ssrn.3168490>

Presentations, Posters, and Proceedings

- Barrick, K., Pfeffer, R., Galvan, T., & Grayson, A. (2023, March). *Engaging people with lived experience to understand the scope of sex trafficking*. Presented at the RTI Symposium on Community Safety and Policing Research, Durham, NC. <https://www.youtube.com/watch?v=FCDNZvMlmvY&list=PL8dxTeq11PSOoEjIMs68u3JDbAYdECmsb&index=2&pp=iAQB>
- Barrick, K., Pfeffer, R., Galvan, T., & Grayson, A. (2023). *Engaging people with lived experience to understand the scope of sex trafficking*. RTI Symposium on Community Safety and Policing Research 2023, Research Triangle Park, NC. <https://www.youtube.com/watch?v=FCDNZvMlmvY&list=PL8dxTeq11PSOoEjIMs68u3JDbAYdECmsb&index=2&pp=iAQB>
- Sharkey, T., Maass, K. L., Martin, L., Barrick, K., & Song, Y. (2023). *Modeling effective network disruptions for human trafficking through survivor-informed research: NSF Grant No. 1838315*. Poster session presented at GMU-NSF Conference on Disrupting Operations of Illicit Supply Networks, Arlington, VA.
- Barrick, K., & Pfeffer, R. (2022). *Estimating trafficking prevalence and understanding the experience of survivors: Leveraging researcher-practitioner partnerships*. Presented at MIT Lincoln Laboratory's Counter Human Trafficking Technology Workshop.
- Barrick, K., & Pfeffer, R. (2022, November). *Understanding the scope and nature of sex trafficking in Sacramento, California*. Presented at the 77th American Society of Criminology (ASC) Conference, Atlanta, GA.
- Galvan, T., Vaden, S., Barrick, K., & Pfeffer, R. (2022, November). *Engaging people with lived experience in research: A case study of utilizing a participatory approach to a human trafficking prevalence study*. Presented at the 77th ASC Conference, Atlanta, GA.

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- Pfeffer, R., Barrick, K., & Dank, M. (2022, November). *Understanding what works in the successful investigation, and prosecution of labor trafficking*. Presented at the 77th ASC Conference, Atlanta, GA.
- Pfeffer, R., Barrick, K. & Galvan, T. (2022, January). *Leveraging researcher-practitioner partnerships to improve human trafficking prevalence studies*. Center for Victim Research (Webinar).
- Tezcan, B., Maass, K. L., Sharkey, T., Song, Y., Martin, L., Farrell, A., & Barrick, K. (2022). *Disrupting sex trafficking recruitment using community based resource allocation models*. Presented at the IISE Annual Conference, New Orleans, LA.
- Maass, K. L., Martin, L., Sharkey, T., Barrick, K., & Samad, T. (2021). *A transdisciplinary approach to disrupting sex trafficking networks*. Presented at the International Human Trafficking & Social Justice Conference.
- Barrick, K., Mugambila, E., & Mbilinyi, L. F. (2019). *An assessment of Tanzania's anti-trafficking law*. Presented at the International Conference on Human Trafficking Research, Omaha, NE.
- Richardson, N. J., Barrick, K., Hendrix, J., & Strom, K. (2018). *The legalization of marijuana in Colorado and the subsequent impact on crime*. Presented at the Academy of Criminal Justice Sciences, New Orleans, LA.
- Barrick, K., Lattimore, P., & Dawes, D. (2017). *Desistance from crime over the life course: Preliminary qualitative findings*. Presented at the ASC Conference, Philadelphia, PA.
- Barrick, K. (2017, February). *Challenges in identifying labor trafficking in North Carolina*. Presented at the Human Trafficking Research and Data Advisory Roundtable, San Diego, CA.
- Barrick, K., & Zhang, S. (2016, November). *Finding labor trafficking violations among migrant farmworkers: GIS-enabled multi-stage sampling*. Presented at European Society of Criminology, Washington, DC.
- Lattimore, P. K., Visher, C., Barrick, K., & Tueller, S. J. (2016, November). *Evaluating the long-term effects of prisoner reentry services on recidivism: What types of services matter?* Presented at APPAM, Washington, DC.
- Barrick, K., & Zhang, S. (2016, September). *Finding labor trafficking violations among migrant farmworkers: GIS-enabled multi-stage sampling*. Presented at European Society of Criminology, Muenster, Germany.
- Barrick, K., Richardson, N. J., Liao, D., Berzofsky, M. E., & Heller, D. C. (2015, November). *Trends in public disorder in the Bakken oil region*. Presented at the ASC Conference, Washington, DC.
- Barrick, K., Strom, K. J., Richardson, N. J., & Cooper, A. (2015, November). *Individual and situational influences on injurious assaults against the police*. Presented at the ASC Conference, Washington, DC.
- Richardson, N. J., Barrick, K., Liao, D., Berzofsky, M. E., & Heller, D. C. (2015, November). *An examination of clearance trends in the Bakken region of North Dakota and Montana*. Presented at the ASC Conference, Washington, DC.
- Zhang, S., Barrick, K., & Pitts, W. J. (2015, November). *The challenge of gathering data on labor trafficking in North Carolina*. Presented at the ASC Conference, Washington, DC.
- Cooper, A., & Barrick, K. (2015, October). *Using NIBRS to explore changes in crime in the Bakken Oil Region*. Presented at Association of State Uniform Crime Reporting Programs, Park City, UT.
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- Liao, D., Berzofsky, M. E., Heller, D. C., Barrick, K., & DeMichele, M. T. (2015, August). *Treatment of missing data in the FBI's National Incident Based Reporting System: A case study in the Bakken Region*. Presented at Joint Statistical Meetings, Seattle, WA.
- Pitts, W. J., & Barrick, K. (2014, November). *Addressing community conflict in the Dominican Republic: Evaluation of the Youth Mediators Program*. Presented at the ASC Conference, San Francisco, CA.
- Zhang, S., Barrick, K., & Pitts, W. J. (2014, November). *Estimating labor trafficking using GIS-enabled multi-stage sampling*. Presented at the ASC Conference, San Francisco, CA.
- Zhang, S., Barrick, K., & Pitts, W. J. (2014, September). *Estimating labor trafficking using GIS-enabled multi-stage sampling*. Presented at European Society of Criminology, Prague, Czech Republic.
- Lattimore, P. K., Trudeau, J. V., Anastario, M. P., Barrick, K., Cartwright, J. L., Hourani, L. L., et al. (2014, August). *Multimodal retrospective and prospective unit-level analysis of military workplace violence*. Poster presented at Military Health System Research Symposium, Fort Lauderdale, FL.
- Barrick, K. (2013, December). *Reaching out to hidden populations: Using geo-mapping techniques*. Presented at United Nations Office on Drugs and Crime Expert Group Meeting on Trafficking in Persons Research, Vienna, Austria.
- Barrick, K., Lattimore, P. K., & Pitts, W. J. (2013, November). Labor trafficking among farmworkers in North Carolina. Presented at the ASC Conference, Atlanta, GA.
- Barrick, K., & Pitts, W. J. (2013, November). *Assessing crime, resident trust and police effectiveness in Tegucigalpa, Honduras*. Presented at INL Regional Anti-Gang Working Group Meeting, San Jose, Costa Rica.
- Pitts, W. J., & Barrick, K. (2013, November). *Perceptions of crime, insecurity, and trust in the police in the Dominican Republic in 2013*. Presented at the ASC Conference, Atlanta, GA.
- Barrick, K., & Lattimore, P. K. (2012, November). *Trafficking in persons for labor exploitation in the United States*. Presented at the ASC Conference, Chicago, IL.
- Ryon, S. B., Chiricos, T., Bales, W. D., & Barrick, K. (2012, November). *Labeling convicted felons: Is there a young black or Hispanic male penalty?* Presented at the ASC Conference, Chicago, IL.
- Barrick, K., Brown, A., Parker, R., Strom, K. J., & Williams, K. (2010, November). Explaining intercity variation in youth homicide 1984–2006. Presented at the ASC Conference, San Francisco, CA.
- Barrick, K. (2012, September). *Assessing resident trust and police effectiveness in Colón, El Salvador*. Presented at INL Regional Anti-Gang Working Group, Panama City, Panama.
- Trudeau, J. V., Roehl, J., Barrick, K., Williams, J., Blitstein, J., Morgan, K. C., & Kennedy, E. K. (2010, November). *Crime reduction through community revitalization: Findings from an evaluation of the "Weed and Seed" strategy*. Presented at the ASC Conference, San Francisco, CA.
- Krebs, C. P., Barrick, K., & Lindquist, C. H. (2010, September). *The Historically Black College and University Campus Sexual Assault (HBCU-CSA) study*. Invited final results presentation at NIJ, Washington, DC.
- Barrick, K., Blitstein, J., & Trudeau, J. V. (2010, June). *Traditional analysis of logic model components in evaluating a comprehensive community initiative*. Presented at Society for Prevention Research, Denver, CO.
- Browne, A., Strom, K. J., Barrick, K., Williams, K., & Parker, R. (2010, June). *Intercity variation in youth homicide, 1984–2006*. Presented at NIJ, Arlington, VA.
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- Krebs, C. P., Barrick, K., & Lindquist, C. H. (2010, June). *The historically black college and university—Campus sexual assault (HBCU-CSA) study and the cultural aspect of victimization*. Presented at NIJ Research and Evaluation Conference, Washington, DC.
- Trudeau, J. V., Barrick, K., & Williams, J. (2010, June). *Analyses for evaluating a comprehensive community initiative: The Weed and Seed strategy*. Presented at Society for Prevention Research, Denver, CO.
- Williams, J., Trudeau, J. V., & Barrick, K. (2010, June). *Structural equation modeling in evaluating a comprehensive community initiative*. Presented at Society for Prevention Research, Denver, CO.
- Coyne-Beasley, T., Graham, P. W., Barrick, K., Ford, C., & Norwood, T. (2010, May). *Noncombat violent deaths among adolescents and young adult service members*. Presented at Pediatric Academic Societies, Vancouver, Canada.
- Coyne-Beasley, T., Graham, P. W., Ford, C., Barrick, K., Hawkins, S.R., Shumate, J. A., & Norwood, T. (2010, April). *Violent deaths at home among adolescent and young adult veterans in North Carolina*. Presented at Society for Adolescent Medicine, Toronto, Ontario, Canada.
- Krebs, C. P., Barrick, K., & Lindquist, C. H. (2010, February). *The historically black college and university—campus sexual assault (HBCU-CSA) study*. Presented at National Association of Student Affairs Professionals, Raleigh, NC.
- Strom, K. J., Barrick, K., & Lattimore, P. K. (2009, December). *Assessing migrant impacts on the U.S. criminal justice system*. Presented at BORDERS 2009 annual partners meeting, Tucson, AZ.
- Bales, W. D., Blomberg, T. G., Mann, K., Barrick, K., & Gaes, G. (2009, November). *The electronic monitoring of offenders under community supervision: An assessment of the consequences to public safety*. Presented at the ASC Conference, Philadelphia, PA.
- Barrick, K., & Lindquist, C. H. (2009, November). *The impact of reentry programming on outcomes for female returning prisoners*. Presented at the ASC Conference, Philadelphia, PA.
- Clinton-Sherrod, A. M., Lindquist, C. H., McKay, T. E., Hardison Walters, J. L., & Barrick, K. (2009, November). *Intimate partner violence: The impact on employees and their workplace*. Poster presented at American Public Health Association, Philadelphia, PA.
- Lindquist, C. H., Clinton-Sherrod, A. M., McKay, T. E., Hardison Walters, J. L., & Barrick, K. (2009, November). *The impact of intimate partner violence on employees and their workplace*. Presented at the ASC Conference, Philadelphia, PA.
- Strom, K. J., & Barrick, K. (2009, November). *Accounting for variation in non-fatal youth violence trends across cities in the United States*. Presented at the ASC Conference, Philadelphia, PA.
- Bales, W. D., Barrick, K., Gaes, G., & Mann, K. (2009, June). *Evaluating the effectiveness of electronic monitoring of moderate and high-risk offenders under supervision*. Paper presented at NIJ, Arlington, VA.
- Bales, W. D., Barrick, K., Blomberg, T. G., & Mann, K. (2008, November). *An evaluation of the effectiveness of the electronic monitoring of medium and high risk offenders*. Paper presented at the ASC Conference, St. Louis, MO.
- Lindquist, C. H., Visher, C., Steffey, D. M., & Barrick, K. (2008, November). *The incarceration and reentry experiences of female returning prisoners*. Paper presented at the ASC Conference, St. Louis, MO.
- Strom, K. J., Barrick, K., & Warner, T. D. (2008, November). *Analyzing national and city-level trends in lethal and non-lethal youth violence, 1984–2005*. Paper presented at the ASC Conference, St. Louis, MO.
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- Barrick, K., Bales, W. D., & Gaes, G. (2008, October). *Evaluating the effectiveness of electronic monitoring of moderate- and high-risk offenders under supervision*. Invited paper presented at Justice Research and Statistics Association, Portland, OR.
- Bales, W. D., & Barrick, K. (2008, January). *Evaluating the effectiveness of electronic monitoring of moderate and high-risk offenders under supervision*. Invited paper presented at NIJ Community Corrections Research Network, Washington, DC.
- Barrick, K., Chiricos, T., & Bales, W. D. (2007, November). *Does employment mediate the effects of a felony convict label on recidivism?* Paper presented at the ASC Conference, Atlanta, GA.
- Mancini, C. H., DiPonio, J. C., & Barrick, K. (2007, November). *Public fiscal support for rehabilitative and retributive measures*. Paper presented at the ASC Conference, Atlanta, GA.
- Van Slyke, S., Barrick, K., & Bales, W. D. (2007, November). *The Enron effect: Preliminary findings on white-collar crime scandals and sentencing*. Paper presented at the ASC Conference, Atlanta, GA.
- Barrick, K. (2006, November). *Corporate crime, organizational paradigms and the life course*. Paper presented at the ASC Conference, Los Angeles, CA.
- Barrick, K. (2005, November). *Labeling and recidivism: A quantitative assessment of the evidence*. Poster presented at the ASC Conference, Toronto, Canada.
- Barrick, K., Bales, B., Bontrager, S., & Chiricos, T. (2005, November). *The labeling of convicted felons and the consequences for recidivism: A multi-level analysis*. Paper presented at the ASC Conference, Toronto, Canada.
- Barrick, K., Bontrager, S., Bales, B., & Chiricos, T. (2004, November). *Estimating the consequences of a criminal label on recidivism and employment*. Paper presented at the ASC Conference, Nashville, TN.
- Barrick, K. (2001, April). *Coordinated community responses to domestic violence*. Invited panelist at Elmer and Carol Johnson Administration of Justice Conference, Carbondale, IL.

Technical Reports

- Barrick, K., Pfeffer, R., Tueller, S. J., Tibaduiza, E., Grossman, R. T., Melander, C. L., ... Messier, V. (2022). *Estimating sex trafficking in Sacramento County: Final report*.
- Barrick, K., Pfeffer, R., Melander, C. L., & Galvan, T. (2022). *Estimating the prevalence of sex trafficking in a community: Replication recommendations*.
- Galvan, T., Smith, A., Vaden, S., Harmon, C., Hines, M., Green, A., Baker, B., Roseborough, D., Grayson, A., Baumann, K., Barrick, K., Pfeffer, R., & Mitchell, R. J. (2022). *Survivor experiences with law enforcement: Key findings and recommendations*.
<https://www.rti.org/sites/default/files/cash-actionbrief-lawenforcement11-29-22.pdf>
- Pfeffer, R., Barrick, K., Melander, C. L., Baker, B., Baumann, K., Galvan, T., ... Vaden, S. (2022). *Survivors of sex trafficking, their children, and opportunities for intervention: Key findings and recommendations*.
- Tibaduiza, E., Barrick, K., Presler-Jur, P., & Durall, A. (2022). *Enhancing response to victims: A formative evaluation of OVC's law enforcement-based victim services (LEV) program: Summary results from Phase One of the LEV Formative Evaluation*. National Institute of Justice, Office of Justice Programs, U.S. Department of Justice.
https://www.rti.org/sites/default/files/lev_evaluation_phase_1_summary_2022.06.pdf

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- Barrick, K., & Pfeffer, R. (2020). *Human Trafficking Policy and Research Analyses Project: Comprehensive review of prior prevalence studies and recommendations for field testing in the United States*. Submitted to the Administration for Children and Families, U.S. Department of Health and Human Services.
- Barrick, K., Tibaduiza, E., Dean, C., Young, A. R., & Gremminger, M. M. (2019). *Evaluability assessment and baseline study of the supporting collective healing in the Wake of Harm program: Final report*.
- Barrick, K., Tibaduiza, E., Dean, C., Young, A. R., & Gremminger, M. M. (2019). *Supporting collective healing in the wake of harm: Successes, challenges, and lessons learned*. National Institute of Justice, Office of Justice Programs, U.S. Department of Justice.
- Pitts, W. J., Matute, A., Barrick, K., & Strom, K. J. (2014, February). *Factors affecting homicide rates in Guatemala 2000–2013: A study of the municipalities of Guatemala, Mixco, and Villa Nueva*. Prepared for Democracy and Governance Office, U.S. Agency for International Development.
- Pitts, W. J., Matute, A., Barrick, K., & Strom, K. J. (2013, October). *Factors affecting homicide rates in Guatemala 2000–2013: A study of the municipalities of Guatemala, Mixco, and Villa Nueva*. Prepared for Democracy and Governance Office, U.S. Agency for International Development.
- Barrick, K., Lattimore, P. K., Pitts, W. J., & Zhang, S. (2013, August). *Indicators of labor trafficking among North Carolina migrant farmworkers* (Report No. 0212466). Prepared for National Institute of Justice.
- Barrick, K., & Pitts, W. J. (2013, August). *Assessing crime, resident trust, and police effectiveness in Tegucigalpa, Honduras* (Report No. 0213741). Prepared for Creative Associates.
- Barrick, K., Strom, K. J., & Carcach, C. (2012, September). *Assessing resident trust and police effectiveness in Colon, El Salvador: Final report*. Prepared for the U.S. Department of State, Bureau of International Narcotics and Law Enforcement Affairs.
- Hedge, J. W., Ohse, D. M., King, T. R., Petrusa, J. E., Burke, B., & Barrick, K. (2012, March). *USCIS Violence Against Women Act (VAWA) program study*. Prepared for U.S. Citizenship and Immigration Service, Department of Homeland Security.
- Barrick, K., Hedge, J. W., Kaydos-Daniels, S. C., Evans, B. M., Burke, B., & Eyerman, J. D. (2012, February). *Program Evaluation for DHS Biometric Exit Pilots*. Prepared for Human Factors/Behavioral Sciences Division, U.S. Department of Homeland Security.
- Lattimore, P. K., Barrick, K., Cowell, A. J., Dawes, D., Steffey, D. M., Tueller, S. J., & Visher, C. (2012, February). *Prisoner reentry services: What worked for SVORI evaluation participants?* Prepared for National Institute of Justice.
- Roper Miller, J., & Barrick, K. (2012, January). *2009 evaluation of forensic DNA unit Efficiency Improvement (EIP) Program: Final report*. Prepared for National Institute of Justice.
- Pitts, W. J., Barrick, K., Strom, K. J., Wheaton, W. D., & Graham, P. W. (2012). *Crime observatory handbook: Concept, design, development, and implementation*. Research Triangle Park, NC: RTI International.
- Barrick, K., & Strom, K. J. (2010, December). *Assessing resident trust and police effectiveness in colon, El Salvador: Baseline report*. Prepared for U.S. Department of State, International Narcotics and Law Enforcement Affairs.
- Krebs, C. P., Lindquist, C. H., & Barrick, K. (2010, December). *The historically black college and university campus sexual assault (HBCU-CSA) study: Final report*. Prepared for National Institute of Justice.
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- Strom, K. J., Barrick, K., Brown, A., Williams, K., & Parker, R. (2010, September). *Anticipating the future based on analysis of the past: Intercity variation in youth homicide, 1984–2006*. Prepared for National Institute of Justice.
- Barrick, K., & Trudeau, J. V. (2010, August). *Framework for program evaluation*. Prepared for U.S. Department of Homeland Security.
- Strom, K. J., Berzofsky, M. E., Shook-Sa, B. E., Barrick, K., Daye, C. M., Horstmann, N. L., & Kinsey, S. H. (2010). *Private security industry: A review of the definitions, available data sources, and paths moving forward*. Washington, DC: U.S. Department of Justice, Bureau of Justice Statistics.
- Lindquist, C. H., Barrick, K., Lattimore, P. K., & Visher, C. (2009, December). *Prisoner reentry experiences of adult females: Characteristics, service receipt, and outcomes of participants in the SVORI Multi-site Evaluation*. Prepared for National Institute of Justice.
- Bales, W. D., Mann, K., Blomberg, T., Gaes, G., Barrick, K., Dhungana, K., & McManus, B. (2009, October). *A quantitative and qualitative assessment of electronic monitoring*. Prepared for National Institute of Justice.
- McDermott, J., Garofalo, J., Barrick, K., & Kelley, J. L. (2003). *Responding to domestic violence in Southern Illinois, final report*. Prepared for the U.S. Department of Justice, National Institute of Justice.

Media Appearances

- Barrick, K. (2015, January 4). Human trafficking. *The measure of everyday life: Stories from social science*, WNCU-FM (90.7), Durham, NC. Invited Guest.
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REBECCA PFEFFER

Summary of Professional Experience

Rebecca Pfeffer is a research criminologist in the Victimization and Resilience Research Program in RTI International's Division of Applied Justice Research. Her research interests include better understanding and addressing the victimization of vulnerable populations, ranging from survivors of human trafficking to people with disabilities. Additionally, her work focuses on the law enforcement response to human trafficking and the collaborative efforts of law enforcement and victim service providers. Her work, ranging from program evaluations to exploratory research, often relies upon mixed methodologies. Dr. Pfeffer is an expert on human trafficking and has participated in expert working groups on trafficking research with the Office of Violence Against Women, the McCain Foundation, the Cook County Anti-Trafficking Task Force, and the Human Trafficking Research and Data Advisory Roundtable, among others. Before joining RTI in 2020, Dr. Pfeffer was a professor in the Department of Criminal Justice and Social Work at the University of Houston–Downtown from 2013 to 2020.

Education

PhD, Criminology and Justice Policy, Northeastern University, Boston, Massachusetts, 2013.
MS, Criminology, University of Pennsylvania, Philadelphia, Pennsylvania, 2008.
MS, Teaching, Special Education, Pace University, New York, New York, 2007.
BA, Sociology and Psychology, Pitzer College, Claremont, California, 2005.

Selected Project Experience

Children's Advocacy Centers of Texas' Child Sexual Abuse Prevention Education Program School Buy-In Assessment (2023 to date)—*Principal Investigator*. Funded by the Children's Advocacy Centers of Texas (CACTX), this project involves understanding the perspectives of school/district administrators about the pathways to voluntary curriculum adoption and implementation, as well as factors that influence administrator decision-making. This project is intended to guide the future development of CACTX's school-based child sexual abuse prevention education curriculum.

Understanding the Impact of COVID-19 on Victim Service Provision: Challenges, Innovations, and Lessons Learned (2022 to date)—*Principal Investigator*. Funded by the National Institute of Justice, this study explores how COVID-19 affected the demand for victim service provision, the impact of local culture and mandates on victim service provision, and the short-term and sustained changes to service models based on innovation and/or modernization that occurred during the pandemic. This study examines whether there are differences in these phenomena regionally, in rural and urban settings, and among specific types of victim service providers.

Labor Trafficking in Construction and Hospitality: Analyzing Victim Recruitment, Exploitation, and Service Needs to Identify Strategies for Prevention and Intervention (2022 to date)—*Co-Principal Investigator*. Funded by the National Institute of Justice, this project is focused on understanding variation in labor trafficking exploitation in different labor sectors. This study explores labor trafficking among construction and hospitality workers, focusing on the lived experiences of workers, regardless of whether their exploitation and victimization has been formally identified. Through the mapping of labor trafficking of supply chains, interviews with key stakeholders, surveys of people with lived experience of exploitation in these industries, and in-depth follow up interviews with a subset of these respondents, this study seeks to better understand whether labor trafficking victimization manifests differently in distinct industries.

Understanding What Works in the Successful Identification, Investigation, and Prosecution of Labor Trafficking Cases in the United States (2021 to date)—*Principal Investigator*. Funded by the National Institute of Justice, this project explores the ways that five U.S. counties have been able to successfully prioritize the identification, investigation, and prosecution of labor trafficking cases. This project involves analysis of criminal justice agency human trafficking policies and procedures, sex and labor trafficking case record reviews, and in-depth, semi-structured interviews with criminal justice and victim service provider stakeholders with experience with labor trafficking cases and/or victims.

Understanding the Physical and Psychological Health and Wellness Needs of Minor Sex Trafficking Victims (2021 to date)—*Co-Principal Investigator*. In collaboration with Northeastern University, Boston University, and University of New Hampshire, this National Institute of Justice (NIJ) study captures the physical and psychological health consequences of minor sex trafficking and health access behavior of survivors.

Human Trafficking Policy and Research Analyses Project (2020 to date)—*Project Director*. Funded by the Administration for Children and Families' (ACF) Office of Planning, Research, and Evaluation (OPRE) and Office on Trafficking in Persons (OTIP) to inform the development of antitrafficking strategies, policies, and programs to prevent and respond to human trafficking, this project includes identifying emerging policy and research questions to address sex and labor trafficking in the United States, as well as designing and conducting original studies to inform counter-trafficking strategies, policies, and activities.

- **Creation of a Learning Agenda for the Office on Trafficking in Persons (OTIP)** (2020 to 2022)—*Study Lead*. This activity focuses on identifying knowledge gaps and developing and refining learning questions, leading to a learning agenda and action plan for OTIP.
- **Measuring Human Trafficking Prevalence in Construction: A Field Test of Multiple Estimation Methods**—*Associate Study Lead*. This project includes undertaking a focused prevalence inquiry of human trafficking in the United States. The overarching goal of this task is to advance knowledge of promising methods for estimating human trafficking prevalence in the United States by field testing at least two methods of prevalence estimation within the construction industry in one geographic location in the United States.
- **Formative Evaluation of OTIP's Demonstration Grants to Strengthen the Response to Victims of Human Trafficking in Native Communities (VHT-NC) Program**—*Site Liaison*. This is a cross-site, participatory and culturally responsive evaluation focused on describing the activities, challenges, and accomplishments of projects funded to build, expand, and sustain organizational and local capacity to provide direct services, assistance, and referrals to Native Americans who have experienced human trafficking.

Estimating Sex Trafficking in Sacramento County (2020 to 2022)—*Co-Principal Investigator*. This project, funded by the California Department of Justice, aims to estimate the prevalence of sex trafficking through two independent data collection and analysis strategies. First, administrative data on sex trafficking victims provided by the partnering agencies will be analyzed using multiple systems estimation techniques. The secondary data will be supplemented with semi-structured interviews conducted with a representative sample of sex workers identified through respondent-driven sampling. Collectively, these complementary data collection and analysis strategies will yield a robust prevalence estimate. Data collected through this effort can be used to leverage resources and inform a coordinated, cross-sector response to combat sex trafficking and serve trafficking victims.

Impact of COVID-19 on North Carolina's Victim Service Providers (2020)—*Co-Project Director*. This project initiated a rapid assessment of VSPs across North Carolina during the COVID-19 pandemic to understand the challenges they faced in continuing their service delivery and the strategies they utilized to overcome those challenges to remain available and responsive to clients' needs. Findings from this

project will enhance community and policymaker understanding of the presenting needs of VSPs and provide tangible measures to support the necessary adaptation efforts of these agencies. Further, this study provides a framework for supporting victim service provision during other socially disruptive crises. Oversaw project activities, including project management, data collection, analysis, and dissemination.

Evaluation of the Gulf Coast Coalition Against Sexual Exploitation (2020 to 2021)—Project Director. Sponsored by the Texas Office of the Governor, this project involves an initial evaluation of the Gulf Coast Coalition Against Sexual Exploitation (GCASE). GCASE is a pilot multi-agency, multi-jurisdictional collaboration of law enforcement, prosecutor, and victim service provider partners that aims to address sex trafficking through a multi-pronged approach.

Action Research Evaluation for the Southern District of Texas Enhanced Collaborative Model to Combat Human Trafficking (2019 to 2022)—Action Research Partner. The purpose of this project is to conduct action research activities for the Southern District of Texas Human Trafficking Rescue Alliance's Office for Victims of Crime (OVC)- and Bureau of Justice Assistance (BJA)-funded Enhanced Collaborative Model. Action research activities include survey design, dissemination, and analysis; qualitative interview design, data collection, and analysis; and action research data interpretation and program improvement facilitation.

Legal Responses to Human Trafficking: Evaluability Assessments and Future Evaluation Design (2019 to 2021)—Site Lead. This National Institute of Justice (NIJ)-funded project is being conducted by the Center for Court Innovation (CCI) (lead) and RTI International (sub-contractor). The overall purpose of this project is to conduct an evaluability assessment of legal responses to human trafficking victim-defendants, including human trafficking intervention courts, prosecutor-led programs, and police-led diversion programs. Responsibilities include serving as a site liaison and contributing to writing and dissemination tasks.

Project 180 Evaluation (2017 to 2021)—Project Director. Harris County District Attorney's Office, Houston TX. Funded by the Office of the Texas Governor, this project involves the evaluation of a prostitution diversion program initiated by the Harris County District Attorney's Office that aims to divert prostitution arrestees from the criminal justice system and introduce them to relevant services available within the community. Responsible for program evaluation, including the creation of data collection instruments, collecting data, data analysis, and writing summative evaluation reports at the end of each funding cycle.

Preparing Justice-Involved Women for Successful Reentry and Family Reunification (2017 to 2020)—Co-Principal Investigator. University of Houston-Downtown, Houston, TX. Funded by the Simmons Foundation, this project involved both piloting a curriculum focused on improving family relationships among a population of incarcerated women and the implementation of free weekly video chat calls with family members to assist with successful community reentry. Responsible for the overall oversight of the project, managing project resources, leading analyses, and providing annual updates to funding organization..

Capturing Human Trafficking Victimization through Crime Reporting (2016 to 2018)—Consulting Researcher. Institute on Race and Justice, Northeastern University, Boston, MA. Funded by the National Institute of Justice, this study explored how local law enforcement agencies classify human trafficking cases that they identify through their internal records management and external crime reporting programs in three United States communities. The research team examined over 600 human trafficking investigations and interviewed law enforcement and crime reporting personnel in each study site to understand how human trafficking cases are identified and reported by the police. Interviews with victim service providers and non-law enforcement agencies in each study community about how they identify and report human trafficking victimizations also helped the research team understand the sources of information about human trafficking incidents that exist outside of law enforcement data. Finally, utilizing Multiple System Estimation (MSE) procedures that compare information about identified human

trafficking victims who exist in the data systems of multiple providers in the study communities, the research team identified how frequently human trafficking victims are identified across multiple administrative data systems in a community. Responsible for data collection and site visit coordination.

Human Trafficking in Houston? Examining the HPD's Prostitution Incident Reports for Indicators of Trafficking (2015 to 2016)—*Principal Investigator*. University of Houston–Downtown, Houston, TX. Funded by the University of Houston–Downtown's Organized Research and Creative Activities Award, this study sought to analyze whether there were any predictors of human trafficking among the prostitution cases handled by the Houston Police Department in a calendar year. A total of 1,474 cases involving 1,698 individuals from one calendar year were included in this analysis. Responsible for overall oversight of the project, managing project resources, data collection, analysis, and report writing.

Human Trafficking in Houston, Texas: An Assessment of Local Agency Understanding, Response, and Collaboration (2015)—*Principal Investigator*. University of Houston–Downtown, Houston, TX. Through interviews with local law enforcement and nongovernmental organization representatives, this study, funded by the Stardust Fund, evaluated the strengths of the greater Houston anti-human trafficking collaborative, the gaps in services available to victims of trafficking, and ways in which the process of identifying and responding to Houston could be improved. Responsible for overall oversight of the project, managing project resources, data collection, qualitative analysis, and report writing.

Evaluating Houston's Gang Resistance Education and Training (GREAT) Program (2013 to 2015)—*Co-Principal Investigator*. University of Houston–Downtown, Houston, TX. This project involved a mixed methods approach to assessing the impact of the G.R.E.A.T. program in three Houston-area middle schools. Student surveys were administered as well as interviews with key school and law enforcement stakeholders. Responsible for overall oversight of the project, managing student research assistants, data collection, data analysis, and report writing.

Understanding the Organization, Operation, and Victimization of Labor Trafficking in the United States (2012 to 2014)—*Project Manager*. Institute on Race and Justice, Northeastern University, Boston, MA. Funded by the National Institute of Justice, this study chronicled the experiences of labor trafficking victims from the point of recruitment for work, their forced labor victimization, their attempts to escape and get help, and their efforts to seek justice through civil or criminal cases. Findings include that legal loopholes and lax enforcement enable labor traffickers to commit crimes against workers in major U.S. industries, including agriculture, domestic work, hotels, restaurants, and construction. Served as project manager. Responsible for day-to-day project management, including site visit coordination, data collection, data management, qualitative data analysis, report writing, and collaborated on relevant peer-reviewed publications.

Identifying Challenges to Improve the Identification and Prosecution of State and Local Human Trafficking Cases (2010 to 2012)—*Project Manager*. Institute on Race and Justice, Northeastern University, Boston, MA. Funded by National Institute of Justice, this study used a multi-method approach to examine the way that local and state police, prosecutors, and courts investigate and prosecute human trafficking cases across twelve different jurisdictions in the United States. Through 166 interviews with law enforcement, prosecutors, and victim service providers and a review of 140 closed federal and state human trafficking cases, this study sought to better understand challenges to the identification and investigation of these cases and proposed strategies to overcome these barriers. Served as project manager. Responsible for day-to-day project management, including site visit coordination, data collection, data management, qualitative data analysis, report writing, and collaborated on relevant peer-reviewed publications.

Developing an Action Plan for Eliminating Sex Trafficking (2010)—*Consulting Researcher*. Abt Associates Inc., Cambridge, MA. Funded by Hunt Alternatives, this project aimed to provide an overview of the landscape of anti-demand initiatives to date and present a strategic framework and a set of criteria that may be helpful in prioritizing lines of action. Additionally, this project involved a landscape

assessment of national anti-demand efforts, featuring reviews of practice, policy, law, and research. Conducted interviews with key stakeholders and conducted a literature review.

Systematic Review of Human Trafficking Estimates for Humanity United (2009)—*Graduate Research Assistant*. Institute on Race and Justice, Northeastern University, Boston, MA. Systematic Review of Human Trafficking Estimates for Humanity United. This project, funded by the Humanity United Foundation, focused on a systematic approach to gathering information about the prevalence of human trafficking in the United States. Conducted literature review.

Professional Experience

2020 to date. RTI International, Research Triangle Park, NC.

Senior Research Criminologist (2022 to date). Leads, directs, and collaborates on criminological and criminal justice research projects.

Research Criminologist (2020 to 2022). Led, directed, and collaborated on criminological and criminal justice research projects.

2013 to 2020. University of Houston—Downtown, Department of Criminal Justice and Social Work, Houston, TX.

Associate Professor (2019 to 2020). Tenured in Fall 2019. In addition to the responsibilities below, also mentored junior faculty.

Graduate Program Director (2017 to 2020). Focused on recruitment and marketing for a Master of Science in Criminal Justice program. During period of leadership, the program was listed as one of the top MSCJ programs by the U.S. News and World Report. Coordinated administration including course rotation, faculty teaching assignments, and oversaw graduate assistants.

Assistant Professor (2013 to 2019). Developed, designed and taught various courses at both the undergraduate and graduate levels in face-to-face, online, and hybrid modalities. Served on numerous department-, college-, and university-level committees. Engaged in research consistent with the university's focus on community engagement. Served as a faculty mentor for first time in college (FTIC) freshmen students.

2008 to 2013. Northeastern University, School of Criminology and Criminal Justice, Boston, MA.

Postdoctoral Research Fellow, Center for Criminal Justice Policy Research (2012 to 2013). Served as a project manager for federally funded research projects and conducted tasks ranging from coordinating site visits to data collection instrument formulation to data collection to data analysis and report writing.

Adjunct Professor (2011 to 2013). Taught an introductory undergraduate course called Introduction to Criminal Justice as well as an upper-level undergraduate course on human trafficking. Teaching duties included developing the course material and grading protocols, conducting all lectures, and evaluating the students' work, as well as providing assistance outside of class.

Research Associate, Center for Criminal Justice Policy Research (2009 to 2012). Assisted faculty with research-related activity, including conducting literature reviews, coordinating research projects, qualitative and quantitative data collection, and report writing.

Graduate Assistant (2008 to 2010). Assisted faculty with various teaching and research related tasks including grading student papers and exams and responding to student inquiries about classes.

2005 to 2007. New York City Department of Education, New York, NY.

New York City Teaching Fellow. Taught science to K-5 students in a self-contained (District 75) setting. Designed curriculum for both students diagnosed with autism spectrum disorders or severe emotional disturbances.

Honors and Awards

- Recipient, Curricular Innovation Award. (\$833.24). "Educating Locally About Trafficking Globally." College of Public Service, University of Houston—Downtown, 2019
- Finalist, UHD Faculty Award, Creative and Scholarly Activity, 2018
- Recipient, Curricular Innovation Award. (\$2,064). College of Public Service, University of Houston—Downtown, 2018
- Recipient, Learning Course-Based Community Engagement and Service (LEARN) Award. "Human Trafficking in Houston Bus Tour: A High Impact Practice."(\$500). College of Public Service, University of Houston—Downtown, 2017
- Recipient, Grant from High Impact practices (HIPs) of the Center for Teaching and Learning Excellence. "Educating Locally About Human Trafficking Globally: A Community Research Showcase." (\$1,800) University of Houston—Downtown, 2017
- Recipient, Faculty Involved in Research/Studies with Students for Transformation (FIRST) Grant. (\$966.93). College of Public Service, University of Houston—Downtown, 2017
- Recipient, SAGE Junior Faculty Professional Development Teaching Award, 2016
- Recipient, Organized Research and Creative Activities Award. "Examining the Houston Police Department's Prostitution Incident Reports for Indicators of Trafficking." (\$7,567) University of Houston—Downtown, 2015
- Recipient, Faculty Development Award, to attend Temple University's Inside Out Prison Exchange Program Training Institute, Summer 2015. (\$2,700) University of Houston—Downtown, 2015
- Recipient, Grant from High Impact Practices (HIPs) of the Center for Teaching and Learning Excellence. "Human Trafficking in Houston: An Educational Bus Tour." (\$1,400) University of Houston—Downtown, 2015
- Recipient, Grant from High Impact Practices (HIPs) of the Center for Teaching and Learning Excellence. "What's in an Interview? Deepening Student Understanding and Analytic Ability in Qualitative Research." (\$2,680) University of Houston—Downtown, 2014
- Individual registration scholarship: Responding to Crime Victims with Disabilities National Training Conference. December 13–15: Office for Victims of Crime, 2011
- Northeastern University School of Criminology and Criminal Justice Conference Presentation Award for American Society of Criminology Annual Meeting, 2011
- Honorable Mention, Doctoral Student Paper Competition, 2010
- Division of International Criminology, American Society of Criminology
- The United States and the United Kingdom: Limited Unity in Crime Prevention
- Recipient of the Janet Reno Fellowship, 2007 to 2008, University of Pennsylvania, Department of Criminology

Professional Associations

- Academy of Criminal Justice Sciences, 2013 to date
- American Society of Criminology, 2008 to date
- Alpha Phi Sigma Honor Society
- National Honor Society

Professional Service

Ad hoc reviewer: *Police Quarterly*, *Journal of Human Trafficking*; *Journal of Crime and Justice*; *Journal of Autism and Developmental Disorders*; *Crime, Law, and Social Change*; *World Development*; *Journal of Applied Research on Children*

Member, CHILDREN AT RISK Institute, 2013 to 2022

Member, Houston Rescue and Restore Coalition, 2014 to date

Affiliate, Center for Critical Race Studies, University of Houston–Downtown, 2017 to 2020

Member, Criminal Justice Training Center Advisory Board, University of Houston–Downtown, 2017 to 2020

Faculty Mentor, FTIC Mentoring Program, 2016 to 2018

Member, Center for Teaching and Learning Excellence Advisory Board, 2015 to 2017

Guest Co-Editor, *Organizational Partnerships: How Collaboration Strengthens Families and Communities*. Special issue of *Journal of Family Strengths*, 2016.

Guest Editor, *Underserved Populations: Research, Response and Resilience*. Special issue of *Journal of Family Strengths*. 2014 to 2015.

Seminars and Courses Taught

Human Trafficking (graduate and undergraduate level, face-to-face, online), 2014–2019

Race, Oppression, and Criminal Justice (graduate level, online, face-to-face), 2014–2018

Research Methods (graduate level, face-to-face), 2019

Ethics in Criminal Justice (online, face-to-face), 2013–2018

Issues in Criminal Justice (graduate level, online, face-to-face), 2015–2019

Examining C.J. Policy in the Netherlands and Sweden (graduate-level, hybrid, study abroad trip), 2016

Women in Criminal Justice (graduate-level, online), 2015

Victimology (online), 2013–2017

Introduction to Criminal Justice (online, face-to-face), 2011–2019

Master's Thesis, Chair and Advisor, 2014–2019

Master's Project, Advisor, 2015

Country Experience

Costa Rica, United Kingdom

Computer Skills

SPSS, NVivo

Books, Book Chapters and Monographs

Blackburn, A., Chen, I. & Pfeffer, R. (eds.). (2018). *Emerging trends in cyber ethics and distance education*. Hershey, PA: IGI Global.

Martinez, S., Pfeffer, R. & Stinett, B.. (2020). Victims of human trafficking. In W.S. Parkin and P.A. Collins (Eds.), *Victims of violence* (pp. 341–376). San Diego, CA: Cognella.

Pfeffer, R., Cuevas, C., Kushner, M., & Lockwood, S. (2019). Enhancing the quality of research on understudied populations. In W.S. DeKeseredy, C.M. Rennsion, and A.K. Hall-Sanchez (Eds.), *The Routledge handbook of violence studies* (pp. 56–67). New York, NY: Routledge.

- Farrell, A. & Pfeffer, R. (2019). Human trafficking in North America. In J.B. Clark and S. Poucki (Eds.), *The Sage handbook of human trafficking and modern slavery* (pp. 408–423). Los Angeles, CA: Sage.
- Pfeffer, R. (2019). The Innocence Project. In V.B. Worley and R.M. Worley (Eds.), *American prisons & jails: An encyclopedia of controversies and trends* (pp. 349–341). Santa Barbara, CA: ABC-CLIO.
- Pfeffer, R. & Wright, K. (2019). The Inside-Out Prison Exchange Program. In V.B. Worley and R.M. Worley (Eds.), *American prisons & jails: An encyclopedia of controversies and trends* (341–345). Santa Barbara, CA: ABC-CLIO.
- Farrell, A., Pfeffer, R., Dank, M., & Owens, C. (2018). Human trafficking for labor exploitation. In P. Reichel & R. Randa (Eds.), *Transnational crime and global security* (pp. 233–250). Santa Barbara, CA: Praeger Publishers.
- Godoy, A. & Pfeffer, R. (2018). Student perceptions of online versus face-to-face learning in criminal justice: Considering the ethical implications of disparities. In A. Blackburn, I. Chen, & R. Pfeffer (Eds.), *Emerging trends in cyber ethics and education* (pp. 164–182). Hershey, PA: IGI Global.
- Pfeffer, R. (2017). False confessions in popular culture. In Rafter, N. (Ed.), *Oxford encyclopedia of crime, media and popular culture*. Oxford: Oxford University Press. (DOI: 10.1093/acrefore/9780190264079.013.286)
- Pfeffer, R. & Cuevas, C. (2016). Research on the victimization of understudied populations: Current issues and future directions. In C. Cuevas and Rennison, C.M. (Eds.), *Wiley handbook on the psychology of violence* (pp. 715–726). Oxford, United Kingdom: Wiley Blackwell.
- Pfeffer, R. (2016). Autism spectrum disorders and juvenile justice: The myths of perpetrators and victims. In M. Cavanaugh and McShane, M. (Eds.), *Understanding juvenile justice and delinquency* (pp. 140–158). Santa Barbara, CA: Praeger.
- McDevitt, J. & Pfeffer, R. (2013). Racial assault. In J. Ross (Ed.), *Encyclopedia of street crime in America* (pp. 346–349). Thousand Oaks, CA: Sage.
- Nobo, C. & Pfeffer, R. (2012). Natural disasters and crime: Criminological lessons from Hurricane Katrina. In R. White (Ed.), *Climate change from a criminological perspective* (pp. 173–184). New York, NY: Springer.

Peer-Reviewed Journal Articles

- Barrick, K. & Pfeffer, R. (2021). Advances in measurement: A scoping review of prior human trafficking prevalence studies and recommendations for future research. *Journal of Human Trafficking*. DOI: 10.1080/23322705.2021.1984721
- Farrell, A., De Vries, I., Bright, K., Pfeffer, R. & Dank, M. (2019). Policing labor trafficking in the United States. *Trends in Organized Crime*. <https://doi.org/10.1007/s12117-019-09367-6>
- Valcore, J. & Pfeffer, R. (2018). Systemic error: Measuring gender in criminological research. *Criminal Justice Studies*, 31(4), 333–351, <https://doi.org/10.1080/1478601X.2018.1499022>
- Pfeffer, R., Ormachea, P., & Eagleman, D. (2018). Gendered outcomes in prostitution arrests in Houston, Texas. *Crime & Delinquency*, 64(12), 1538–1567. <https://doi.org/10.1177/0011128717748576>
- Pfeffer, R. (2016). Childhood victimization in a national sample of youth with autism spectrum disorders. *Journal of Policy and Practice in Intellectual Disabilities*, 13(4), 311–319. <https://doi.org/10.1111/jppi.12203>

- Blackburn, A., Pfeffer, R., & Harris, J. (2016). Reentry success: Exploring gender differences among serious and violent parolees. *Women & Criminal Justice, 26*(5), 340–353. <https://doi.org/10.1080/08974454.2016.1203387>
- Cavanaugh, M., Pfeffer, R. & Ahmad, J. (2016). Undergraduate student participation in an evaluation of a police program: A high-impact practice. *Journal of Criminal Justice Education, 27*(3), 324–339. <https://doi.org/10.1080/10511253.2015.1131311>
- Pfeffer, R. (2015). Risk and protective factors for the safety of children with autism spectrum disorders: A qualitative study of caregivers' perspectives. *Journal of Family Strengths, 14*(1), Article 21.
- Farrell, A., Pfeffer, R., & Bright, K. (2015). Police perceptions of human trafficking. *Journal of Crime and Justice, 38*(3), 315–333. <https://doi.org/10.1080/0735648X.2014.995412>
- Farrell, A. & Pfeffer, R. (2014). Policing human trafficking: Cultural blinders and organizational barriers. *Annals of the Academy of Political and Social Science, 653*, 46–64.
- Welsh, B. & Pfeffer, R. (2013). Reclaiming crime prevention: A revisionist American history. *Punishment & Society, 15*(5), 534–553.

Other Publications

- Pfeffer, R. & Sanborn, R. (2017). From “lesbian activist” to beloved mayor of Houston: a conversation with Annise Parker. *Journal of Family Strengths, 17*(2), Article 11.
- Wolff, R. & Pfeffer, R. (2016). Introduction to the issue on organizational partnerships. *Journal of Family Strengths, 16*(2), Article 4.
- Harris, J., Pfeffer, R., Pohl, B., Cohen, M., & Van Horn, L. (2016). Developing understandings of collaborative partnerships between university and community. *Journal of Family Strengths, 16*(2), Article 8.
- Pfeffer, R. & Sanborn, R.D. (2016). *Si Votan*: Texas Latino politicians perspectives on engaging Latino voters in the electoral process. *Journal of Family Strengths, 16*(1), Article 9.
- Pfeffer, R. (2016). Book review: Disability incarcerated: Imprisonment and disability in the United States and Canada. *Contemporary Justice Review, 19*(2), 284–285.
- Pfeffer, R. (2015). Hidden but not forgotten: The Importance of including underserved populations in research. *Journal of Family Strengths, 15*(1), Article 1.
- Pfeffer, R. (2015). Hate crimes and restorative justice, by Mark Austin Walters: A book review. *Crime, Law and Social Change, 63*(3), 217–219.
- Pfeffer, R. (2013). *Autistic and at-risk: a survey of the public and personal safety of children with autism* (Unpublished doctoral dissertation). Northeastern University, Boston, MA.
- Pfeffer, R. (2008). *Autism and crime: A systematic review* (Unpublished master's thesis). University of Pennsylvania, Philadelphia, PA.

Presentations and Proceedings

- Barrick, K., Pfeffer, R., Galvan, T., & Grayson, A. (2023). *Engaging people with lived experience to understand the scope and nature of human trafficking*. Presented at the RTI Symposium on Community Safety and Policing Research, March 16: Research Triangle Park, NC.
<https://www.youtube.com/watch?v=FCDNZvMlmyY&list=PL8dxTeq11PSOoEjIMs68u3JDbAYdECmsb&index=2&pp=iAQB>
- Pfeffer, R., Barrick, K., & Dank, M. (2022). *Understanding what works in the successful identification, investigation, and prosecution of labor trafficking*. Presented at the 77th American Society of Criminology (ASC) conference, November 17: Atlanta, GA.
- Barrick, K., & Pfeffer, R. (2022). *Understanding the scope and nature of sex trafficking in Sacramento, California*. Presented at the 77th American Society of Criminology (ASC) conference, November 17: Atlanta, GA.
- Galvan, T., Vaden, S., Barrick, K., & Pfeffer, R. (2022). *Engaging people with lived experience in research: a case study of utilizing a participatory approach to a human trafficking prevalence study*. Presented at the 77th American Society of Criminology (ASC) conference, November 17: Atlanta, GA.
- Barrick, K., & Pfeffer, R. (2022). *Estimating trafficking prevalence and understanding the experiences of survivors. leveraging researcher-practitioner partnerships and challenges*. MIT Lincoln Laboratory's Counter Human Trafficking Technology Workshop. May 25: virtual conference.
- Pfeffer, R., Barrick, K., & Galvan, T. (2022). *Leveraging researcher-practitioner partnerships to improve human trafficking prevalence studies*. Center for Victim Research, January 5: Webinar.
- Brusman-Lovins, L., Pfeffer, R. & Amalfi, B. (2020). *Implementation of FaceTime as a family visitation opportunity in the face of COVID-19*. Presented at the 1st Annual of the Criminology Consortium. November 18: virtual conference.
- Pfeffer, R. (2019). *Human trafficking prevention in the aftermath of a natural disaster: A case study of Hurricane Harvey*. Presented at the 75th American Society of Criminology (ASC) conference, November 14: San Francisco, CA.
- Brusman-Lovins, L., Pfeffer, R., & Amalfi, B. (2019). *Implementation of FaceTime as a family visitation opportunity: Leveraging technology to increase family connectedness*. Presented at the 75th American Society of Criminology (ASC) conference, November 13: San Francisco, CA.
- Pfeffer, R. (2018). *Human trafficking victims with special needs*. Human Trafficking Research and Data Advisory Roundtable. May 12: San Diego, CA.
- Pfeffer, R. (2018). *Project 180: Turning the response to prostitution upside-down*. Human Trafficking Research and Data Advisory Roundtable. May 12: San Diego, CA.
- Pfeffer, R. (2018). *Institutional challenges to policing human trafficking: Cultural blinders and organizational barriers*. University of California, Riverside, Presley Center for Crime and Justice Studies, A Closer Look at Sex Trafficking. April 11: Riverside, CA.
- Pfeffer, R. (2018). *Hidden in plain sight: Examining Houston police department's prostitution incident reports for indicators of human trafficking*. Montgomery County Coalition Against Human Trafficking, February 2: Houston, TX.
- Pfeffer, R. (2018). *Human trafficking victims with disabilities: Identification, prevention and restoration*. American Probation and Parole Association Annual Meeting, January 24: Houston, TX.

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- Pfeffer, R. & Farrell, A. (2017). *The trafficking of people with disabilities: Perceptions of victim and offender culpability*. Presented at the 73rd American Society of Criminology (ASC) conference, November 15: Philadelphia, PA.
- Lamberton, R. & Pfeffer, R. (2017). *Investigating whether G.R.E.A.T. impacts perceptions of police officers*. Presented at the Academy of Criminal Justice Sciences (ACJS) conference, March 25: Kansas City, MO.
- Pfeffer, R. (2017). *Policing prostitution: Strategies that increase the identification of human trafficking cases*. Presented at the Academy of Criminal Justice Sciences (ACJS) conference, March 24: Kansas City, MO.
- Varela, J. and Pfeffer, R. (2017). *Prostitution diversion in Harris County*. University of Houston—Downtown, Innovations in Criminal Justice Symposium, November 14: Houston, TX.
- Pfeffer, R. (2017). *Preventing human trafficking: Addressing social and cultural factors*. Children at Risk Human Trafficking Summit, November 10: Houston, TX.
- Pfeffer, R. (2017). *Law enforcement response to human trafficking*, Moderator, A Second Cup, May 9: Houston, TX.
- Pfeffer, R. (2017). *Labor trafficking: Then and now*. Panelist, Holocaust Museum of Houston, May 8: Houston, TX.
- Pfeffer, R. (2017). *The Johns stage production and panel event*. Panelist, UNICEF United States Fund and United Against Human Trafficking, January 19: Houston, TX.
- Pfeffer, R. (2016). *Symposium of supported scholarship and creativity*. Panelist, University of Houston—Downtown, October 19: Houston, TX.
- Pfeffer, R. (2016). *Human trafficking in Houston and beyond*. Panelist, Raindrop Women's Association, UNICEF USA and United Against Human Trafficking, May 12: Houston, TX.
- Pfeffer, R. (2016). *Human trafficking in Houston: How a HIP's grant fostered student engagement in community-based problem solving*. Presented at the University of Houston—Downtown's Center for Teaching and Learning Excellence Showcase, April 26: Houston, TX.
- Pfeffer, R. (2016). *Understanding autism: Awareness, advocacy and integration at UHD*. Panelist, University of Houston—Downtown, April 13: Houston, TX.
- Pfeffer, R. (2016). *Not My Life screening and panel event*. Panelist, UNICEF United States Fund, January 24: Houston, TX.
- Pfeffer, R. (2016). *Hidden in plain sight: Examining Houston police department's prostitution incident reports for indicators of human trafficking*. Presented at the 72nd American Society of Criminology (ASC) conference, November 19: New Orleans, LA.
- Valcore, J. & Pfeffer, R. (2016). *Systemic error: The measurement of sex and gender in criminological research*. Presented at the 72nd American Society of Criminology (ASC) conference, November 18: New Orleans, LA.
- Pfeffer, R. & Farrell, A. (2016). *Human trafficking in Texas: An assessment of local agency understanding, response, and collaboration*. Presented at the Academy of Criminal Justice Sciences (ACJS) conference, April 1: Denver, CO.
- Pfeffer, R. & Nyugen, M. (2015). *Human trafficking*. Training for the Harris County Juvenile Probation Department, November 4: Houston, TX.
- Pfeffer, R. (2015). *Human trafficking: Spotlight on special populations*. Panelist, Children at Risk, Texas: 2015 Human Trafficking Summit, October 15: Dallas, TX.
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- Pfeffer, R. (2015). *Hidden in plain sight: The experiences of labor trafficking victims in the United States*. Presented at the 5th Annual Cook County Human Trafficking Task Force Conference, August 7: Chicago, IL.
- Dank, M. & Pfeffer, R. (2015). *Emerging research on human trafficking: Understanding the experiences of LGBTQ youth and labor trafficking victims*. Presented at the 5th Annual Cook County Human Trafficking Task Force Conference, August 6: Chicago, IL.
- Pfeffer, R. (2015). *Human trafficking in Houston*. Panelist, Children at Risk, Texas: The Future State of our Children, June 4: Houston, TX.
- Pfeffer, R. (2015). *Student engagement in faculty research: Evaluating the Houston police department's G.R.E.A.T. program*. Presented at the University of Houston–Downtown's Center for Teaching and Learning Excellence Showcase, April 16: Houston, TX.
- Pfeffer, R. & Gehring, K. (2015). *Buyers and sellers of sex in Houston: Gendered outcomes in prostitution arrests and case dispositions*. Presented at the 71st American Society of Criminology (ASC) conference, November 19: Washington, DC.
- Lamberton, R. & Pfeffer, R. (2015). *Beyond G.R.E.A.T! secondary benefits of the Houston police department's gang resistance education and training program for schools, communities, and law enforcement*. Presented at the 71st American Society of Criminology (ASC) conference, November 19: Washington, DC.
- Farrell, A. & Pfeffer, R. (2014). *The organization, operation, and victimization of labor trafficking in the United States*. Presented at the 70th American Society of Criminology (ASC) conference, November 21: San Francisco, CA.
- Pfeffer, R., Cavanaugh, M., Ahmad, Green, David, Lamberton, R., & Nelson, Joseph. (2014). *Engaging undergraduates in research-based service learning projects: A student and faculty discussion on an evaluation of the Houston police department's G.R.E.A.T. program*. Presented at the Southwestern Association of Criminal Justice (SWACJ) conference, October 3: South Padre, TX.
- Pfeffer, R. (2013). *Labor trafficking in the United States*. Presented at the Massachusetts Department of Public Health. January 14: Boston, MA.
- Pfeffer, R. & Farrell, A. (2013). *Vulnerable and exploited: The trafficking of persons with special needs*. Presented at the 69th American Society of Criminology (ASC) conference, November 21: Atlanta, GA.
- Farrell, A., Pfeffer, R., & Fahy, S. (2012). *Institutional and cultural challenges to the prosecution of human trafficking*. Presented at the Northeastern School of Criminology and Criminal Justice Research Colloquium Series, March 22: Boston, MA.
- Farrell, A., McDevitt, J. & Pfeffer, R. (2012). *Cultural and organizational barriers to the prosecution of human trafficking cases*. Presented at the 68th American Society of Criminology (ASC) conference, November 16: Chicago, IL.
- Pfeffer, R. (2012). *A whole new kind of naïve: The autistic child, risk and maltreatment*. Presented at the 68th American Society of Criminology (ASC) conference, November 14: Chicago, IL.
- Pfeffer, R. (2012). *The victimization of children with autism: Patterns and prevention*. Presented at the 17th International Conference on Violence, Abuse and Trauma, September 9: San Diego, CA.
- Pfeffer, R. (2012). *Is it because he's autistic? The victimization of children with autism*. Presented at the International Family Violence and Child Victimization Research Conference, July 10: Portsmouth, NH.
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- Pfeffer, R. (2011). *Autistic and at-risk: A study of the personal and public safety of children with autism*. Presented at the 67th American Society of Criminology (ASC) conference, November 18: Washington, D.C.
- Pfeffer, R., & Fahy, S. (2011). *Challenges in identifying and investigating human trafficking cases at the local level*. Presented at the 67th American Society of Criminology (ASC) conference, November 17: Washington, DC.
- Pfeffer, R., & Welsh, B. (2010). *Reclaiming crime prevention: A revisionist American history*. Presented at the 66th American Society of Criminology (ASC) conference, November 18: San Francisco, CA.
- McDevitt, J., & Pfeffer, R. (2010). *Hate crime offender rehabilitation programs in the United States*. Presented at the 66th American Society of Criminology (ASC) conference, November 20: San Francisco, CA.

Technical Reports

- Pfeffer, R., D'Arcangelo, B., Krieger, K. & Latzman, N. (2022). *Administration for Children and Families' Office on Trafficking in Persons: Learning agenda*. Submitted to the Administration for Children and Families' Office of Planning, Research, and Evaluation and Office on Trafficking in Persons.
- Pfeffer, R. (2022). *Human Trafficking Rescue Alliance (HTRA) Action Research: Final report*. Submitted to the Houston Police Department and YMCA International.
- Barrick, K., Pfeffer, R., Tueller, S., Tibaduiza, E., Grossman, R., Melander, C., Young, A., Mitchell, R., Galvan, T., Williams, S., Marfori, F., & Messier, V. (2022). *Estimating sex trafficking in Sacramento County: Final report*. Submitted to the California Department of Justice.
- Pfeffer, R., Barrick, K., Melander, C., Baker, B., Baumann, K., Galvan, T., Grayson, A., Green, A., Harmon, C., Hines, M., Roseborough, D., Smith, A., & Vaden, S. (2022). *Survivors of sex trafficking, their children and opportunities for intervention: Key findings and recommendations*. RTI International.
- Galvan, T., Smith, A., Vaden, S., Harmon, C., Hines, M., Green, A., Baker, B., Roseborough, D., Grayson, A., Baumann, K., Barrick, K., Pfeffer, R., & Mitchell, R. (2022). *Survivor experiences with law enforcement: Key findings and recommendations*. RTI International.
- Barrick, K., Pfeffer, R., Melander, C. & Galvan, T. (2022). *Estimating the prevalence of sex trafficking in a community: Replication recommendations*. RTI International.
- Pfeffer, R. (2021). *A formative evaluation of the Gulf Coast Coalition to Address Sexual Exploitation (GC-CASE): Interim Report*. Submitted to the Texas Office of the Governor.
- Latzman, N., King, S., & Pfeffer, R. (2021). *Supporting law enforcement investigations to combat internet crimes against children: Final report*. Submitted to the U.S. Department of Homeland Security.
- Pfeffer, R. (2021). *Human Trafficking Rescue Alliance (HTRA) Action Research: Interim report*. Submitted to the Houston Police Department.
- Barrick, K., & Pfeffer, R. (2021). *Human Trafficking Policy and Research Analyses Project: Comprehensive review of prior prevalence studies and recommendations for field testing in the United States*. Submitted to the Administration for Children and Families, U.S. Department of Health and Human Services.

- Swaner, R., White, E., Krieger, K., Pfeffer, R., Gourdet, C., Hardison Walters, J. & Charm, S. (2021). *Legal responses to trafficking: Evaluability assessments of five programs*. Submitted to the National Institute of Justice.
- Houston-Kolnik, J., Feeney, H. & Pfeffer, R. (2020). *Impact of COVID-19 on North Carolina's victim service providers*. RTI International.
- Pfeffer, R. (2019). *Project 180, a prostitution diversion program: An assessment of version one*. Submitted to the Texas Office of the Governor and the Harris County District Attorney's Office.
- Farrell, A., Dank, M., Kafafian, M., Lockwood, S., Pfeffer, R., Hughes, A., & Vincent, K. (2018). *Final summary report: Capturing human trafficking victimization through crime reporting*. Submitted to the National Institute of Justice.
- Pfeffer, R. (2016). *Hidden in plain sight: An evaluation of indicators of human trafficking in Houston police department's prostitution incident reports*. Submitted to the Houston Police Department.
- Pfeffer, R. and Farrell, A. (2015). *Human trafficking in Houston, Texas: An assessment of local agency understanding, response, and collaboration*. Submitted to the Houston Mayor's Office.
- Owens, C., Dank, M., Breau, J., Banuelos, I., Farrell, A., Pfeffer, R., Bright, K., Heitsmith, R., & McDevitt, J. (2014). *Understanding the organization, operation, and victimization of labor trafficking in the United States*. Submitted to the National Institute of Justice.
- Pfeffer, R., Cavanaugh, M., Ahmad, J., Carreno, Y., Green, D., Lamberton, R., & Nelson, J. (2014). *Houston Police Department's Gang Resistance Education and Training (G.R.E.A.T.) Program: A preliminary analysis*. Submitted to the Houston Police Department.
- Farrell, A., McDevitt, J., Pfeffer, R., Fahy, S., Owens, C., Dank, M., & Adams, W. (2012) *Final report: Identifying the challenges to improve the investigation and prosecution of state and local human trafficking cases*. Submitted to the National Institute of Justice.
- Iganski, P., Smith, D., Dixon, L., Kielinger, V., Mason, G., McDevitt, J., Perry, B., Stelman, A., Bargen, J., Lagou, S. & Pfeffer, R. (2010). *Rehabilitation of hate crime offenders*. Report submitted to the Equality and Human Rights Commission of Scotland.
- Shively, M., McLaughlin, K., Durchslag, R., McDonough, H., Hunt, D., Kliorys, K., Nobo, C., Olsho, L., Davis, S., Collins, S., Houlihan, C., SAGE, Pfeffer, R., Corsi, J., & Mauch, D. (2010). *Developing a national action plan for eliminating sex trafficking: Final report*. Cambridge, MA: Abt Associates, Inc.

Media and Communications

- Pfeffer, R. (2018, March 27). Women and men receive different punishments for their involvement in the same crime: prostitution. *London School of Economics US Center American Politics and Policy* blog.
- Pfeffer, R. (2017, November 28). No prison time. Outrage. And a reason to hope. *Houston Chronicle, Gray Matters*.
- Pfeffer, R. (2017, September 12). Houston has individual heroes. Now it needs collective action. *Houston Chronicle, Gray Matters*.
- Pfeffer, R. (2017, July 27). Why don't we extend our sympathy to people victimized in the course of human smuggling? *Houston Chronicle, Gray Matters*.
- Pfeffer, R. (2017, February 1). Human trafficking isn't just a Super Bowl problem. *Houston Chronicle, Op-Eds*.

- Pfeffer, R. (2016, September 1). Labor Day and every day, we should talk about labor trafficking. *Houston Chronicle*, pp. A19.
- Pfeffer, R. (2016, June 23). Reframe the Debate About Gun Policy So We Can Save Lives. *Houston Chronicle*, pp. A19.
- Pfeffer, R. (2015, November 5). Houston should be ashamed. *Texas Tribune, Trib Talk*.
- Pfeffer, R. (2014, September 19). Ray Rice an exception to typically good pretrial diversion programs. *Houston Chronicle*, pp. B9.
- Pfeffer, R. (2014, February 20). Get insults to the disabled out of conversation. *Houston Chronicle*, pp. B7.
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LAUREN VOLLINGER

Summary of Professional Experience

Lauren Vollinger is a research analyst in RTI's Victimization and Response Program in the Justice Practice Area. Over the past decade, she has partnered with local and state anti-trafficking task forces, schools, and law enforcement to understand the interorganizational needs of agencies to best support survivors of trafficking in their communities. As a community psychologist, she has extensive experience conducting trauma-informed community-based participatory research and evaluation and emphasizes community engagement to disseminate research findings beyond academic circles. Dr. Vollinger's areas of expertise include human trafficking, domestic violence (DV)/intimate partner violence (IPV), economic abuse, coerced debt, help-seeking behaviors of survivors, and community and systems' response to victimization. She is well-versed in qualitative and mixed methods, life history calendar (LHC) methodology, and data visualization and dissemination strategies such as infographics, policy briefs, data briefs, and interactive data dashboards. Dr. Vollinger currently serves as senior project advisor and task lead on multiple projects spanning different crime types (sexual assault, human trafficking, FGM/C) and stakeholder groups.

Education

PhD in Ecological Community Psychology, Michigan State University, East Lansing, MI, 2022.
MA in Ecological Community Psychology, Michigan State University, East Lansing, MI, 2018.
BA in Psychology, DePaul University, Chicago, IL, 2013.

Selected Project Experience

Human Trafficking Policy and Research Analysis Project (HTPRAP) (2022 to date)—*Senior Project Advisor and Environmental Scan Task Lead.* Develop and oversee the completion of environmental scan to assess the current state of economic programming for survivors of trafficking. As part of the OTIP's efforts to carry out E.O. 13985 (Advancing Racial Equity and Support for Underserved Communities Through the Federal Government), the Strategies for Survivor Economic Empowerment (SSEE) project within HTPRAP will focus on economic opportunity and empowerment for people who have experienced human trafficking. Guided by a participatory approach, this project involves an environmental scan and listening sessions with both individuals who have experienced human trafficking and the professionals who provide services to this population. The objective of this project is to compile a resource about promising practices related to economic opportunity programming for use by professionals who provide services to people who have experienced human trafficking.

Advancing Hospital-Based Technology to Support Victims of Interpersonal Violence (2022 to date)—*Landscape Assessment Task Lead.* Funded by the Office for Victims of Crime (OVC), this project will improve the support, care, and protection offered to victims of interpersonal violence by expanding and enhancing existing technology to enable multidisciplinary collaboration among health care providers, law enforcement, prosecutors, and victim service providers (VSPs). Oversees the data collection and analysis of a national assessment of standardized forensic exam documentation practices.

Addressing Female Genital Mutilation and Cutting (FGM/C) Training and Technical Assistance Project (AFTTAP), TTA (2022 to date)—*Outreach Campaign Task Lead.* Supporting Office for Victims of Crime (OVC)-funded grantees in meeting the goals of the Addressing FGM/C program, using strategies for tailored and proactive TTA, including group-level approaches, such as grantee meetings,

webinars, virtual roundtables, and briefs; individual-level approaches; and sustainable materials and resources supporting future initiatives. AFTTAP will share project-created products through RTI's partner, the End FGM/C Network, and offer support to additional communities affected by FGM/C without a grantee. RTI will also create outreach campaign materials to foster sectoral-specific responses to FGM/C among law enforcement, public health, and education sectors. Oversees the Outreach Campaign task which is informed by survivors, impacted communities, target audiences, and content experts; supports external communication; and assists with the creation, modification, and review of TTA deliverables.

Evaluation of the National Human Trafficking Hotline (NHTH) (2022 to date)—*Research Analyst*. With funding from the Administration for Children and Families, this mixed-methods study is the first independent evaluation of the NHTH Program. This evaluation will describe the activities, procedures, and organization of the hotline, describe the customer services of the NHTH, describe the immediate outcomes of the NHTH, and explore the creation of one or more new performance measures. Develops evaluation reports and contributes to dissemination strategies.

Understanding the Impact of COVID-19 on Victim Service Provision: Challenges, Innovations, and Lessons Learned (2022 to date)—*Research Analyst*. Funded by the National Institute of Justice, this study explores how COVID-19 affected the demand for victim service provision, the impact of local culture and mandates on victim service provision, and the short-term and sustained changes to service models based on innovation or modernization that occurred during the pandemic. This study examines whether there are differences in these phenomena regionally, in rural and urban settings, and among specific types of victim service providers. Synthesizes COVID-19 mitigation policies and develops state-level briefs to accompany site visits.

Professional Experience

2022 to date. RTI International, Research Triangle Park, NC.

Research Analyst. Designs, leads, and manages complex research, evaluation, and TTA projects regarding victim services and the criminal justice system. Serves as task lead within multiple research, evaluation, and TTA projects within the Justice Practice Area. Conducts research that focuses on human trafficking, victims' service provision, financial victimization, and economic empowerment.

2021 to 2022. Polaris, Washington DC.

Research Consultant. Developed and led the implementation of qualitative analysis plan for survivor focus group discussions and key informant interviews as part of the National Survivor Study. Collaborated with members of the policy and communications department, lived-experience experts (i.e., survivors), and other research consultants to design and disseminate policy and data briefs. Facilitated focus group discussions among participants who have experienced human trafficking. Consulted on creation of quantitative survey questionnaire.

2015 to 2022. Michigan State University, East Lansing, MI.

Project Director, Department of Psychology. Coordinated a research project to examine the impact of coerced debt and economic abuse in the lives of women who have experienced intimate partner violence (IPV). Managed data storage and organization including participants' financial and legal documents and quantitative data from interview team. Conducted interviews with survivors of IPV. Trained and supervised graduate and undergraduate research assistants to serve on the research team.

Research Associate. Developed training materials for data collection sites as part of the *Victims Access to Justice Project* within the Sexual Assault Kit Initiative (SAKI). Coordinated data

collection with multiple sites across the state of Michigan. Managed multi-site quantitative dataset. Consulted on quantitative data analysis plan.

Contracts, Budget, and Administrative Manager. Wrote and managed contracts and budgets for ongoing research and evaluation activities with external community organizations. Supported community-academic partnerships and evaluation projects on school-based interventions with students, teachers, and administrators.

2020 to 2021. Center for Survivor Agency & Justice (CSAJ) – Washington, D.C.

Research Associate. Managed data for a nationwide survey of sexual assault and domestic violence service-providers, advocates, and attorneys about the economic challenges survivors faced as a result of Covid-19. Assisted in the development of an interactive data dashboard using Tableau software. Designed data briefs and infographics of findings that were disseminated to advocates, funders, and policy makers.

2013 to 2015. DePaul University, Chicago, IL.

Research Associate, Center for Community Research. Supported a longitudinal community participatory intervention with women with experiences of incarceration and treatment for substance use disorders. Monitored and contacted enrolled participants remotely and through community visits. Conducted interviews with previously incarcerated women about the role of a democratically run sober living intervention in their lives upon leaving substance use disorder recovery services. Prepared large longitudinal quantitative datasets for analysis and archiving.

Honors and Awards

Bob and Bets Caldwell Land-Grant Values Award, Psychology Department, Michigan State University, 2021.

Fellowship, Michigan State University's College of Social Sciences Dissertation Completion, 2022.

Traveling Scholar fellowship, Big Ten Academic Alliance, 2019.

Professional Associations

Society for Community Research and Action

American Evaluation Association

Global Association of Human Trafficking Scholars

Professional Service

Ad hoc reviewer for various peer-reviewed journals such as *Violence & Victims* and *Children & Youth Services Review*.

Student Committee, Michigan State University Research Consortium on Gender-Based Violence, 2016–2022.

Graduate Admissions Committee, Ecological-Community Psychology Program, Michigan State University, 2017.

Co-Chair: Midwest Eco Conference Planning Committee, Society of Community Research and Action, 2017.

Mass Incarceration Policy Statement Task Force, Society of Community Research and Action, 2014–2015.

Crisis Counselor and Medical Advocate, Resilience Chicago, 2014–2015.

Proposal Submission Review & Selection committee, Midwest Eco Conference Planning Committee,
Society of Community Research and Action, 2013–2014.

Seminars and Courses Taught

Sexual Assault: Context, Interventions, and Prevention
Internship Training
Internship in Human Services Supervision
Research Methods in Psychology

Lecturer

Special Topics in Women's Health – Human Trafficking
Community Psychology

Special Courses

40-hour Sexual Assault Crisis Intervention Training, 2014.
Sex Trafficking Street Outreach Training, 2014.
Infographics 101 Workshop, 2018.
Interactive Data Dashboards Workshop, 2018.

Computer Skills

SPSS; NVivo; MaxQDA; Canva
Data visualization: infographics, data briefs, data dashboards

Peer-Reviewed Journal Articles

- Vollinger, L., & Campbell, R. (2022). Youth Service Provision and Coordination among Members of a Regional Human Trafficking Task Force. *Journal of Interpersonal Violence*, 37(7–8), NP5669–NP5692. <https://doi.org/10.1177/0886260520961868>
- Vollinger, L. (2021). Concretizing intersectional research methods: Incorporating social justice and action into United States sex trafficking research. *Journal of Human Behavior in the Social Environment*, 31(5), 599–625. <https://doi.org/10.1080/10911359.2020.1799902>
- Campbell, R., Javorka, M., Gregory, K., & Vollinger, L. (2021). Supporting sexual assault survivors with disabilities: Tracing disclosure and referral pathways to postassault health care services. *American Journal of Orthopsychiatry*. <https://doi.org/10.1037/ort0000576>
- Campbell, R., Javorka, M., Hetfield, M., Gregory, K., Vollinger, L., Ma, W. (2021). Developing Trauma-Informed Research Methods: Evaluating the Use of Proxy Respondents to Assess Sexual Assault Survivors' Experiences Seeking Medical Forensic Exams. *Violence & Victims*, 36(6), 793–807.
- Campbell, R., Ma, W., Javorka, M., Gregory, K., Vollinger, L. (2020). The Right to Say 'No': Why Adult Sexual Assault Patients Decline Medical Forensic Exams (MFEs) and Sexual Assault Kit (SAK) Evidence Collection" *Journal of Forensic Nursing*. <https://doi.org/10.1097/JFN.0000000000000315>
- Campbell, R., Ma, W., Javorka, M., Gregory, K., Vollinger, L., & Opsommer, M. (2020). Why do sexual assault survivors seek medical forensic exams and forensic evidence collection? Exploring patterns of service needs in a state-wide study. *Psychology of Violence*. <https://doi.org/10.1037/vio0000355>

Presentations and Proceedings

- Vollinger, L., McCallum Desselle, L. (2022). *The intersection of human trafficking and substance use disorders*. Webinar presented through the Bureau of Justice Assistance's Comprehensive Opioid, Stimulant, and Substance Abuse Program (COSSAP).
- Vollinger, L. (2022). *Economic abuse and coerced debt in the lives of sex trafficking survivors*. Research presentation at the International Human Trafficking & Social Justice Conference.
- Vollinger, L. (2022). *Survivor-driven strategies to minimize participants' feelings of re-exploitation during sex trafficking research*. Thematic panel presentation at the Society for the Psychological Study of Social Issues (SPSSI) Conference, San Juan, Puerto Rico.
- Vollinger, L. (2021). *The process of leaving sex trafficking: Using life history calendar methods to understand the role of law enforcement*. Thematic panel presentation at the Annual American Society of Criminology Conference, Chicago, IL.
- Vollinger, L. (2019). *Barriers to service provision: a needs assessment of a regional human trafficking task force*. A presentation presented at the International Violence, Abuse, and Trauma Summit, San Diego, CA.
- Vollinger, L., Goodman-Williams, R., & Feeney, H. (2019). *Teaching difficult topics online: Ethical challenges and possible solutions*. Roundtable presented at the SCRA Biennial Conference on Community Research and Action, Chicago, IL.
- Vollinger, L. (2019). *Needs assessment of a tri-county human trafficking task force*. An Ignite presentation presented at the SCRA Biennial Conference on Community Research and Action, Chicago, IL.
- Gregory, K., Javorka, M., Vollinger, L., & Campbell, R. (2018). *Multi-sites within multi-sites? A reflection on how to quickly scale up an evaluation project while rapidly responding to stakeholder needs*. Poster presented at the American Evaluation Association conference, Cleveland, OH.
- Stacy, S., Vollinger, L., Al-Zoughbi, L., Von-Maszewski, A. (2018). *Community and school collaboration to create change: Considering the roles and processes for community psychologists*. Roundtable presented at the International Conference of Community Psychology, Santiago, Chile.
- Acevedo-Polakovich, I., Vollinger, L., Normand, M.M. (2018). *Leveraging practice-based evidence to address inequities in community settings*. Symposium presented at the International Conference of Community Psychology, Santiago, Chile.
- Vollinger, L. (2018). *Needs of service providers in a regional human trafficking task force*. Poster presented at the International Conference of Community Psychology, Santiago, Chile.
- Vollinger, L. (2018). *Framing of human trafficking in United States print media: A content analysis*. Poster presented at the American Psychological Association Convention, San Francisco, CA.
- Acevedo-Polakovich, I.D., Stacy, S.T., Nordquist, E.A., Vollinger, L. & Normand, M.M. (2018). *Innovative rapid evaluation strategies to gather and analyze qualitative data*. Workshop presented at Michigan Evaluation Association Conference, Lansing, MI.
- Vollinger, L. (2018). *Community engaged partnerships to address community needs: Community collaboration efforts to address human trafficking*. Symposium presented at the Midwest Psychological Association conference, Chicago, IL.
- Vollinger, L. (2018). *Exploring coalitions in community psychology: Human trafficking task force referral networks*. Symposium presented at the Midwest Psychological Association Conference, Chicago, IL.
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- Acevedo-Polakovich, I. D., Stacy, S. T., Nordquist, E. A., Normand, M. M. & Vollinger, L. (2018). *From Flint to the world and back: Disparities, social determinants, and the Flint Community Education Initiative*. Paper Presented at the Health Flint Research Coordinating Center Symposium. Flint, MI.
- Vollinger, L., & Feeney, H. (2017). *Human trafficking: Understanding prevalence, context, and social responses: Referral network analysis of a regional human trafficking task force*. Roundtable presented at the Annual American Society of Criminology Conference, Philadelphia, PA.
- Vollinger, L., Acevedo-Polakovich, I., Stacy, S., & Nordquist-Szafranski, E. (2017). *Communities and Schools: Case studies in joint community and educational development: Communities and schools: Practical models, approaches, and strategies to organize communities around schools and education*. Symposium presented at the Michigan State University's College of Education Conference, East Lansing, MI.
- Gleason, K. D., Sunquist, M., Chiaramonte, D., Vollinger L., Vandegrift, C., Lawlor, J., Fox, P., & Jason, L. (2016). *Statistical tools for contextualizing social issues*. Workshop presented at the Midwest Ecological-Community Psychology Conference, Chicago, IL.
- Vollinger, L. (2016). *Collaborative survey development with a local human trafficking task force*. Poster presented at the Midwest Ecological-Community Psychology Conference, Chicago, IL.
- Vollinger, L., Ram, D., Salina, D., Droege, J., & Jason, L. (2014). *Housing relationships of justice-involved women in recovery*. Poster presented at the Midwest Ecological-Community Psychology Conference, Chicago, IL.
- Tucker, E., Wilson, R., Ram, D., Pope, B., Vollinger, L., Chiaramonte, D., Whitehead, N., Nisle, S., Droege, J., Campagna, K. (2014). *A day in my shoes: An interactive approach to understanding structural and systemic barriers*. Workshop presented at the Midwest Ecological-Community Psychology Conference, Chicago, IL.
- Vollinger, L., Ram, D., Salina, D., Droege, J., & Jason, L. (2014). *Timeline of housing for justice-involved women in recovery*. Poster presented at the Midwestern Psychological Association Conference, Chicago, IL.
- Barringer, A., Weaver, C., Droege, J., Chiaramonte, D., Nisle, S., Pope, B., Stone, A., Vollinger, L., Wilmoth, C., & Witek, C. (2013). *Collaborative interviewing with diverse community populations*. Workshop presented at the Midwest Ecological-Community Psychology Conference, Chicago, IL.
- Adams, A., Littwin, A., & Vollinger, L. (2021). *Coerced debt and human trafficking*. Virtual panel discussion presented to the University of Michigan School of Law.
- Vollinger, L. (2020). *The art of amplifying survivor identities in anti-sex trafficking work*. TedxMSU talk, East Lansing, MI.
- Vollinger, L. (2019). *School nurses and human trafficking*. Invited talk for medical staff in the Kane County School District, Elgin, IL.
- Vollinger, L. (2019). *What can individuals do about human trafficking?* Invited talk at the Community Human Trafficking Awareness Conference for the Capital Area Anti-Trafficking Alliance.
- Vollinger, L. (2017). *Human trafficking: What school nurses need to know*. IGNITE presentation given to the Illinois Association of School Nurses, St. Charles, IL.
- Vollinger, L. (2014). *Profiles of human trafficking*. Invited talk at Luther College, Decorah, IA.
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Technical Reports

- Gregory, K., Kitzmiller, M., Livsey, S., McGillivray, K., Zaman, Z., Hetfield, M., & Vollinger, L. (2021). *New beginnings family advocacy program: Evaluation report*. East Lansing, MI: The Family Advocacy Program Evaluation, Michigan State University.
- Campbell, R., Feeney, H., Javorka, M., Vollinger, L., & Gregory, K. (2019). *Medical forensic exam & sexual assault kit decision-making study*. East Lansing, MI: The Michigan Sexual Assault Kit Initiative (SAKI) Project, Michigan State University.
- Nordquist-Szafranski, E. A., Vollinger, L., Stacy, S. T., Lindstrom, M. J., & Acevedo-Polakovich, I. D. (2017). *A college access network in Eaton County? A landscape scan of local acceptability, appropriateness, and adoptability*. East Lansing, MI: Community-Academic Innovation and Dissemination Laboratory at Michigan State University.
- Stacy, S. T., Lindstrom, M. J., Nordquist-Szafranski, E. A., Vollinger, L. A., Bustos, T. E., & Acevedo Polakovich, I. D. (2017). *The Flint Community Education Initiative: 2016-2017 implementation assessment*. East Lansing, MI: Community-Academic Innovation and Dissemination Laboratory at Michigan State University.
- Stacy, S. T., Nordquist-Szafranski, E. A., Normand, M. M., Al-Zoughbi, L., Vollinger, L., & Acevedo Polakovich, I. D. (2017). *The Flint Community Education Initiative: 2016-2017 school year formative evaluation report*. East Lansing, MI: Community-Academic Innovation and Dissemination Laboratory at Michigan State University.
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LILLY YU

Summary of Professional Experience

Lilly Yu, PhD, is a research scientist in the Victimization and Resilience Program at RTI International. She has 10 years of experience conducting social science research on gender-based violence, particularly the criminal, family, and immigration legal systems' response to victimization and social and legal services delivery for survivors. She has extensively studied a range of human trafficking issues, including the criminalization of survivors, anti-trafficking policies and practices in youth-serving settings, and screening and identification. Her research interests also include improving people's access to justice in civil and criminal legal systems, non-carceral interventions for responding to and repairing harm, and the impact of legal status on noncitizen's experiences in the justice system. Dr. Yu specializes in qualitative study design, data collection, and data analysis to explain policy and program outcomes. She currently leads two studies that understand implementation and uptake of victimization prevention efforts in school settings.

Education

PhD, Sociology and Social Policy, Harvard University, 2023

MA, Sociology, Harvard University, 2021

BA, Sociology, Minor in Poverty, Justice, & Human Capabilities, Rice University, 2014

Selected Project Experience

Children's Advocacy Centers of Texas' Child Sexual Abuse Prevention Education Program School Buy-In Assessment (2023 to date)—*Co-principal Investigator*. Funded by the Children's Advocacy Centers of Texas (CACTX), this project involves understanding the perspectives of school/district administrators about the pathways to voluntary curriculum adoption and implementation, as well as factors that influence administrator decision-making. This project is intended to guide the future development of CACTX's school-based child sexual abuse prevention education curriculum.

Justice for All: Effective Administration of Criminal Justice Training and Technical Assistance (TTA) Program (2023 to date)—*Research Analyst*. Funded by the Bureau of Justice Assistance, this project has the objective of supporting state and local governments with TTA to ensure compliance with the provisions of the Sixth Amendment of the United States Constitution, which includes rights to speedy trial, impartial jury, witnesses at trial, and counsel. Manages a TTA team specializing in court systems research, evaluation design, data collection, policy analysis, and reporting.

Labor Trafficking in Construction and Hospitality: Analyzing Victim Recruitment, Exploitation, and Service Needs to Identify Strategies for Prevention and Intervention (2023 to date)—*Qualitative Data Collection; Qualitative Data Analysis Lead*. Funded by the National Institute of Justice (NIJ), this project examines variation in labor trafficking exploitation in different labor sectors. This study explores labor trafficking among construction and hospitality workers, focusing on the lived experiences of workers, regardless of whether their exploitation and victimization have been formally identified. Through the mapping of labor trafficking of supply chains, interviews with key stakeholders, surveys of people with lived experience of exploitation in these industries, and in-depth follow-up interviews with a subset of these respondents, this study seeks to better understand whether labor trafficking victimization manifests differently in distinct industries.

Advancing the Understanding of Immigration, Crime, and Crime Reporting at the Local Level with a Synthetic Population (2023 to date)—*Dissemination*. RTI, along with the Migration Policy Institute, the Police Foundation, and Dr. Jennifer Van Hook, are leading a rigorous analysis of the spatial and temporal relationships between immigration, documentation status, crime, and the reporting of crime.

Human Trafficking Policy and Research Analysis Project (2022 to date)—*Subproject Lead*. Funded by the U.S. Department of Health and Human Services' Administration for Children and Families' Office of Planning, Research, and Evaluation and Office on Trafficking in Persons (OTIP) to inform the development of antitrafficking strategies, policies, and programs to prevent and respond to human trafficking, this project includes identifying emerging policy and research questions to address sex and labor trafficking in the United States, as well as designing and conducting original studies to inform counter-trafficking strategies, policies, and activities. Leads the process evaluation of the OTIP Human Trafficking Youth Prevention Education (HTYPE) Demonstration Program, an eight-site, 3-year Demonstration Program that funds local educational agencies, in partnership with a nonprofit or nongovernmental organization, to create, implement, and build the capacity of schools to deliver prevention education and skills-based training to educators and other school staff and students.

Understanding What Works in the Successful Identification, Investigation, and Prosecution of Labor Trafficking Cases in the United States (2022 to date)—*Qualitative Data Analysis, Case Analysis*. Funded by the U.S. Department of Justice's NIJ, this project explores the ways that five U.S. counties have been able to successfully prioritize the identification, investigation, and prosecution of labor trafficking cases. This project involves analysis of criminal justice agency human trafficking policies and procedures, sex and labor trafficking case record reviews, and in-depth, semi-structured interviews with criminal justice and victim service provider stakeholders with experience with labor trafficking cases and/or victims.

Enhancing Response to Victims: A Formative Evaluation of OVC's LEV Services Program (2022 to date)—*Qualitative Data Collection*. Funded by the U.S. Department of Justice's NIJ, RTI is conducting a multisite, formative evaluation of the Office for Victims of Crime's Law Enforcement-Based Victim (OVC's LEV) program, which develops and enhances crime victim specialist programs in law enforcement agencies. Research objectives are to develop a comprehensive inventory and typology of all 73 LEV sites, develop logic models and identify core components of a subset of 10 sites, conduct evaluability assessments of the subset of sites, develop recommendations for future outcome evaluation, and develop an implementation guide and fidelity measures. These objectives will be achieved through a mixed-methods research design that includes input from OVC and the LEV training and technical assistance team, a web survey of all LEV sites, virtual and in-person interviews with LEV staff in a subset of sites, and interviews with victims who have received assistance.

Identify, Respond, Prevent: Addressing Human Trafficking among Juvenile Justice- and Child Welfare-Involved Youth (2022 to date)—*Dissemination*. The aim of this grant, which is funded by NIJ, is to conduct an analysis of cross-system linked data to describe trafficking victimization among youth involved in the juvenile justice system and/or child welfare system. Study goals include assessing predictive validity of Florida's human trafficking screening tool, informing response to youth who experience trafficking while in agency supervision or otherwise, and informing secondary and tertiary prevention efforts.

Distributing Representation: Immigrants' Access to Legal Representation Study (2018 to date)—*Principal Investigator*. This study examines immigrant survivors' access to legal representation by understanding the case selection and representation decisions of attorneys themselves. Featuring interviews with over 100 attorneys across the three primary types of immigrant legal representation (nonprofit legal services, private firms, and corporate law firm pro bono programs) who represent undocumented immigrants in applying for victimization- or humanitarian-based legal statuses (e.g., U visa, T visa, Special Immigrant Juvenile Status, asylum, and Violence Against Women Act Self-

Petitions), this study describes and explains which immigrant victims ultimately get access to legal representation and the impact of federal and local policy, criminal justice and immigration system agencies, and organizational constraints on survivors' application processes.

Reducing Exclusionary Discipline and Ensuring School Safety: Massachusetts School Discipline Project (2017 to 2018)—*Project Manager*. Funded by the U.S. Department of Justice's NIJ, the Urban Institute conducted a study that addressed (1) how school administrators and staff are responding to limitations on disciplinary actions that exclude students from school; (2) the nature of implementation challenges and unintended consequences faced by districts and individual schools; (3) how stakeholders in school climates perceive reforms' implications for school climate and safety; and (4) the extent to which school administrative data and stakeholder perceptions of school climate are in accord.

Center for Victim Research (2017 to 2018)—*Technical Assistance Provider*. Funded by U.S. Department of Justice's OVC, the Center for Victim Research (CVR) is designed to be a one-stop shop for victim service providers and researchers, connecting and sharing knowledge to increase access to victim research and data, and to improve the utility of research and data collection to crime victim services.

Evaluation of Promoting Adolescent Sexual Health and Safety (PASS) (2017 to 2018)—*Survey Team*. Funded by the U.S. Department of Health and Human Services' Administration for Children and Families, Administration on Children, Youth, and Families, the Promoting Adolescent Sexual Health and Safety (PASS) program is a community-based program that educates and trains youth and adults in sexual health and safety. This study conducted a semi-experimental evaluation to determine whether the PASS program leads to certain outcomes as compared to young people who receive alternative community based programming at different sites.

Qualitative and Intermediate Outcome Evaluation of the Advocate, Intervene, Mentor (AIM) Program (2016 to 2018)—*Project Manager and Qualitative Data Analysis Lead*. Funded by the New York City Center for Economic Opportunity, this study was an implementation and outcome evaluation of the Advocate, Intervene, Mentor (AIM) program, a court-mandated juvenile alternative-to-placement program serving New York City Department of Probation clients 13 to 18 years of age with high criminogenic risk.

Milwaukee Police Department's Body Worn Camera Evaluation (2015 to 2018)—*Qualitative Data Collection and Analysis Lead*. Funded by the U.S. Department of Justice's Bureau of Justice Assistance, this study conducted a randomized controlled trial of the Milwaukee Police Department's (MPD's) body-worn camera (BWC) program. RCT findings were complemented by qualitative focus groups of Milwaukee community members' and MPD sworn officers' perceptions of MPD's BWC program.

Bending Toward Justice: Perceptions of Justice Among Human Trafficking Survivors (2016 to 2018)—*Site Liaison, Qualitative Data Collection, Dissemination*. Funded by the U.S. Department of Justice's NIJ, this study was the first to ask survivors of human trafficking how they perceive their interactions with the justice system and how they define justice in their own terms. This study examined qualitative interviews with 80 survivors of sex and labor trafficking and 100 human trafficking stakeholders in eight diverse metropolitan locations across the country.

New York State Sexual Assault Cases (2016 to 2018)—*Project Manager, Qualitative Data Collection, Dissemination*. Funded by the U.S. Department of Justice's NIJ, this study used data from a review of sexual assault cases reported to police between 2015 and 2017 in two jurisdictions (n = 534) to understand whether the presence of a sexual assault medical forensic examination (SAMFE) predicts the likelihood of achieving criminal case processing outcomes and whether the relationship of the SAMFE with criminal case processing outcomes is moderated by other legal and extralegal case characteristics.

Intersection of Human Trafficking with Runaway & Homeless Youth and Child Welfare (2014 to 2017)—*Project Manager, Site Liaison*. Funded by the U.S. Department of Health and Human Services' Administration for Children and Families, Office of Planning, Research and Evaluation, this project

reviewed existing human trafficking identification and screening tools, created a screening tool for use in runaway and homeless youth programs and child welfare settings, and pretested the tool with 617 youth respondents in three states.

Outcomes of Anti-Trafficking Project Legal Program (2015 to 2017)—Project Manager, Qualitative Data Collection, Case Analysis. Funded by the Legal Aid Society, this study examined the consequences of prostitution criminalization for virtually all defendants charged with prostitution offenses in New York City and 51 Legal Aid Society Exploitation Intervention Program clients who had their charges vacated. This study coded all EIP clients' case files, conducted interviews with 20 clients, and analyzed 1,413 defendants' case data.

Charles Colson Task Force on Federal Corrections (2014 to 2016)—Research Assistant. The Charles Colson Task Force on Federal Corrections is a nine-person, bipartisan, blue-ribbon panel created by Congress to examine challenges in the federal corrections system and develop practical, data-driven solutions. The Task Force's final recommendations were informed by over a year of fact-finding, rigorous data analysis, and testimony from and discussions with key experts and stakeholders and provide a blueprint for reforms to the federal corrections system that are sensible, cost-effective strategies to reduce the federal prison population, and enhance public safety. The work of the Task Force was funded by the U.S. Department of Justice's Bureau of Justice Assistance.

Understanding How LGBTQ and YMSM Youth are Engaged in the Commercial Sex Market and Interact with the Juvenile Justice System (2013 to 2016)—Qualitative Data Analysis, Dissemination. Funded by the U.S. Department of Justice's Office of Juvenile Justice and Delinquency Prevention, this was the first study to focus on lesbian, gay, bisexual, transgender, and queer or questioning (LGBTQ) youth; young men who have sex with men (YMSM); and young women who have sex with women (YWSW) who get involved in the commercial sex market in order to meet basic survival needs, such as food or shelter. This study was based on interviews with 283 youth in New York City.

Bridging the Gap: Integrating Crime Victim Services Research and Practice (2014 to 2015)—Project Manager, Survey Lead. Funded by the U.S. Department of Justice's OVC, this project undertook an assessment of victim service providers' level of awareness and knowledge about the benefits of research and evaluation for their work, paired with an assessment of researchers' interest in, and capacity for, translating their work for a practitioner audience.

2014 Census of Publicly Funded Forensic Crime Laboratories (2015)—Survey Team. Funded by the U.S. Department of Justice's Bureau of Justice Statistics, the Census of Publicly Funded Forensic Crime Laboratories provided a comprehensive look at the forensic services provided by federal, state, and local crime labs across the nation and the resources devoted to completing the work. The Census collected data on staff, budgets, and workloads within publicly operated labs. The Census also provided information on lab accreditations, proficiency tests, and other quality assurances.

Arts Infusion Initiative Evaluation (2015)—Qualitative Data Collection Team. Funded by the National Guild for Community Arts Education and the Chicago Community Trust, this project conducted a mixed-methods evaluation of the Arts Infusion Initiative. The Arts Infusion Initiative was an arts-based set of programs that helped expose, inspire, and connect detained youth and those at risk of incarceration to rigorous and engaging arts instruction, infused with social and emotional learning goals.

Estimating the Unlawful Commercial Sex Economy in the United States (2013)—Qualitative Data Analysis, Dissemination. Funded by the U.S. Department of Justice's NIJ, this study measured the size and structure of the underground commercial sex economy in eight major U.S. cities.

Professional Experience

2022 to date. RTI International, Washington, DC.

Research Scientist. Conducts, manages, and leads research on institutional responses to crime victimization. Specializes in qualitative research design, data collection, and analysis.

2018 to 2021. Harvard University, Cambridge, MA.

Teaching Fellow (2020 to 2021). Reviewed interview protocols, coding schemes, coded transcripts, and final papers for 10 student projects in required graduate-level qualitative methods course. Developed and taught qualitative methods training workshops on creating interview protocols, interviewing skills, conducting data analysis using NVivo software, and conducting content analysis of text). Mentored 20 undergraduate students weekly in creating interview-based podcasts.

Research Assistant (2019 to 2020). Trained and supervised a team of three undergraduate researchers on data collection for content analysis study of social movement discourse.

2014 to 2018. Urban Institute, Washington, DC.

Research Analyst. Provided research support, qualitative data collection and analysis, survey data collection, technical assistance, and project management across 17 studies. Specialized in research with vulnerable research subjects (e.g., children, crime victims, justice-involved communities) and government and nonprofit actors. Managed communications with hundreds of external project partners and audiences. Disseminated research findings via technical reports, blog posts, journal articles, and presentations for government, scholarly, practitioner, and public audiences. Supported and managed the development of over 15 grant and contract proposals.

Honors and Awards

Certificate of Distinction in Teaching, Harvard University, Fall 2020 and Spring 2021

Graduate Society Summer Predissertation Fellowship, Harvard University, 2021

Wiener PhD Scholar in Poverty and Justice, Multidisciplinary Program in Inequality and Social Policy Fellowship, Harvard University, 2019–2021

National Science Foundation Graduate Research Fellowship, 2018–2023

President's Award for Research for Estimating the Size and Structure of the Underground Commercial Sex Economy, Urban Institute, 2015

Professional Service

Student Representative, Committee on Higher Degrees, Department of Sociology, Harvard University, 2019–2022

Student Liaison, Standing Committee on Higher Degrees in Social Policy, Harvard University, 2019–2020

Recruitment Committee, Justice Policy Center, Urban Institute, 2015–2016

Computer Skills

NVivo, Stata, Qualtrics

Peer-Reviewed Journal Articles

- Yu, L. (2023). Third-party brokers: How administrative burdens on nonprofit attorneys worsen immigrant legal inequality. *RSF: The Russell Sage Foundation Journal of the Social Sciences*. Forthcoming.
- Yu, L. (2023). Legibility and burden: Representing immigrants' winnable claims to humanitarian status. *Law & Social Inquiry*. First View.
- Yu, L. (2023). A "good fit": Client sorting amongst nonprofit, private, and pro bono immigration attorneys. *Law & Society Review* 57(2), 141–161.
- Yu, L., Walsh, K., & Zweig, J. (2022). The link between the SAMFE and law enforcement perceptions of victim credibility. *Feminist Criminology* 17(1), 26–49.
- Tiry, E., Zweig, J., Walsh, K., Farrell, L., & Yu, L. (2022). Beyond forensic evidence: Examining sexual assault medical forensic exam mechanisms that influence sexual assault case outcomes. *Journal of Interpersonal Violence* 37(7–8):NP5693-NP5727.
- Zweig, J., Farrell, L., Walsh, K., & Yu, L. (2021). Community approaches to sexual assault: VAWA's role and survivors' experiences. *Violence Against Women* 27(1), 30–51.

Presentations and Proceedings

- Yu, L. (2022). *Immigrant victim exceptionalism under Crimmigration? Attorneys' perceptions of threats and tradeoffs*. Presented to American Public Policy Analysis & Management, Washington, DC.
- Yu, L. (2022). *Immigrant victim exceptionalism under Crimmigration? Attorneys' perceptions of threats and tradeoffs*. Presented to the American Society of Criminology, Atlanta, GA.
- Yu, L. (2022). *Expandable and worthy? Victim exceptionalism tradeoffs in immigrant legal services*. Presented to the American Sociological Association, Los Angeles, CA.
- Yu, L. (2022). *Third-party brokers: How administrative burdens on nonprofit attorneys worsen immigrant legal inequality*. Administrative Burdens as a Mechanism of Inequality in Policy Implementation, Russell Sage Foundation.
- Yu, L. (2021). *Winnability & burden: Representing claims to humanitarian status*. American Sociological Association.
- Yu, L. (2019). *The victim-centered paradox: Court-based human trafficking interventions*. Beyond Discourse: Critical and Empirical Approaches to Human Trafficking, University of Kansas.
- Yu, L. (2019). *Bending towards justice: Perceptions of justice among human trafficking survivors*. Empowerment-Based Approaches in Anti-Human Trafficking Study Group, Carr Center for Human Rights Policy, Harvard Kennedy School, Harvard University.
- Yahner, J. & Yu, L. (2018). *Human trafficking evaluation landscape: Gaps and opportunities*. Roundtable on Effective Evaluation of Human Trafficking Programs, Office for Victims of Crime, U.S. Department of Justice.
- Yu, L., Love, H., Hussemann, J., & Owens, C. (2017). *Experiences of procedural justice among human trafficking survivors: Service providers and criminal justice actors*. American Society of Criminology.
- Owens, C., Hussemann, J., Flynn, A., Love, H., & Yu, L. (2017). *Plenary panel: Bending toward justice*. Freedom Network USA.
- Yu, L., Walsh, K., & Zweig, J. (2017). *The role of sexual assault medical forensic exam evidence in the investigation and prosecution of sexual assault cases*. American Society of Criminology.

- Peterson, B., Lawrence, D., & Yu, L. (2017). *Milwaukee Police Department's Body Worn Camera Program: Initial results of a rigorous RCT and QED evaluation*. Academy of Criminal Justice Sciences.
- Dank, M. & Yu, L. (2017). *Developing a human trafficking screening tool for pretest in the child welfare system and with runaway and homeless youth*. National RHY Grantees Training, U.S. Department of Health and Human Services.
- Dank, M., & Yu, L. (2016). *Developing a human trafficking screening tool for pretest in the child welfare system and with runaway and homeless youth*. American Society of Criminology.
- Peterson, B. & Yu, L. (2016). *Preliminary Results from Milwaukee Police Department's random controlled trial evaluation of body worn cameras*. American Society of Criminology.
- Walsh, K., Yu, L., & Zweig, J. (2016). *Barriers to and facilitators of sexual assault case processing: How does the evidence from the sexual assault medical forensic exam factor into the investigation process?* American Society of Criminology.
- Peterson, B., Lawrence, D., & Yu, L. (2016). *Milwaukee Police Department and Urban Institute: Data collection and evaluation strategies for assessing the impact of body-worn cameras on police-community relationships*. Smart Suite Summit, Bureau of Justice Assistance, U.S. Department of Justice.
- Yu, L., & Dank, M. (2016). *Interactions with the criminal justice and child welfare systems for LGBTQ youth, YMSM, and YWSW who engage in survival sex*. Human Rights Campaign Time to THRIVE Conference, Human Rights Campaign.
- Yu, L., & Dank, M. (2015). *Developing a human trafficking screening tool for pretest in the child welfare system and with runaway and homeless youth*. American Society of Criminology.
- Yu, L., Yahner, J., & Zweig, J. (2015). *Victim service practitioners' perspectives on bridging the gap between research and practice*. American Society of Criminology.
- Yu, L. (2014). *Modern Day Abolitionists: Contestation and collaboration in the local anti-human trafficking movement*. American Sociological Association.

Technical Reports

- Yu, L., Brown, J., Hendrix, J., Pfeffer, R., Halpin, S., & Charm, S. (2023). *Human Trafficking Youth Prevention Education (HTYPE) demonstration program: Year 2 reflections*, OPRE Report No. 2023-133, Washington, DC: Office of Planning, Research, and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services.
- Cramer, L., Lynch, M., Lipman, M., Yu, L., & Astone, N. (2018). *Evaluation report on NYC's Advocate, Intervene, Mentor Program*. Washington, DC: Urban Institute.
- Peterson, B., Yu, L., La Vigne, N., & Lawrence, D. (2018). *The Milwaukee Police Department's Body-Worn Camera Program*. Washington, DC: Urban Institute.
- Yu, L., Hussemann, J., Love, H., & McCoy, E. (2018). *Alternative forms of justice for human trafficking survivors: Considering procedural, restorative, and transitional*. Washington, DC: Urban Institute.
- Love, H., Hussemann, J., Yu, L., McCoy, E., & Owens, C. (2018). *Justice in their own words: Perceptions and experiences of (in)justice among human trafficking survivors*. Washington, DC: Urban Institute.

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- Love, H., Hussemann, J., Yu, L., McCoy, E., & Owens, C. (2018). *Comparing narratives of justice: How survivors, criminal justice stakeholders, and service providers perceive justice in human trafficking cases*. Washington, DC: Urban Institute.
- McCoy, E., Owens, C., Yu, L., Love, H., & Hussemann, J. (2018). *Delivering justice for human trafficking survivors: Implications for practice*. Washington, DC: Urban Institute.
- Dank, M., Yahner, J., Yu, L., Vasquez-Noriega, C., Gelatt, J., & Pergamit, M. (2017). *Pretesting a human trafficking screening tool in the child welfare and runaway and homeless youth systems*. Washington, DC: Urban Institute.
- Dank, M., Yahner, J., Yu, L., Mogulescu, K., & White, K. B. (2017). *Consequences of policing prostitution*. Washington, DC: Urban Institute.
- Dank, M., Yu, L., & Yahner, J. (2016). *Access to Safety: Health Outcomes, substance use and abuse, and service provision for LGBTQ youth, YMSM, and YWSW who engage in survival sex*. Washington, DC: Urban Institute.
- Dank, M., Yu, L., Yahner, J., Mora, M., & Conner, B. (2015). *Locked in: Interactions with the criminal justice and child welfare systems for LGBTQ youth, YMSM, and YWSW who engage in survival sex*. Washington, DC: Urban Institute.
- Yahner, J., Hussemann, J., Ross, C., Gurvis, A., Paddock, E., Vazquez-Noriega, C., & Yu, L. (2015). *Arts Infusion Initiative, 2010–15: Evaluation report*. Washington, DC: Urban Institute.
- Yahner, J., Hussemann, J., Ross, C., Gurvis, A., Paddock, E., Vazquez-Noriega, C., & Yu, L. (2015). *Arts Infusion Initiative, 2010–15: Evaluation brief*. Washington, DC: Urban Institute.
- Dank, M., Yahner, J., Madden, K., Banuelos, I., Yu, L., Ritchie, A., Mora, M., & Conner, B. (2015). *Surviving the streets of New York: Experiences of LGBTQ youth, YMSM, and YWSW engaged in survival sex*. Washington, DC: Urban Institute.
- Dank, M., Khan, B., Downey, P.M., Kotonias, C., Mayer, C., Owens, C., Pacifici, L., & Yu, L. (2014). *Estimating the size and structure of the underground commercial sex economy in eight major US cities*. Washington, DC: Urban Institute.
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SAMANTHA CHARM

Summary of Professional Experience

Samantha Charm is a research public health analyst in RTI International's Victimization and Resilience program. She has more than 8 years of experience in health research and practice. Ms. Charm is skilled in research and evaluation, including projects in hospital and clinical settings. Her areas of focus have included victim services, human trafficking of minors and adults, child welfare, sexual assault, sexual and reproductive health, implementation science, and quality improvement interventions. Her projects have required training in a variety of mixed methods approaches, including quantitative and qualitative data collection and analysis, evaluability assessment, formative research, implementation assessment, and program adaptation.

Education

MPH, Maternal and Child Health, UNC Gillings School of Global Public Health, Chapel Hill, NC, 2014.
BA, Sociology, Wesleyan University, Middletown, CT, 2009.

Selected Project Experience

Legal Responses to Human Trafficking: Evaluability Assessments and Future Evaluation Design (2019 to date)—*Research Analyst*. This National Institute of Justice (NIJ)-funded project is being conducted by the Center for Court Innovation (CCI) (lead) and RTI International (sub-contractor). The overall purpose of this project is to conduct an evaluability assessment of legal responses to human trafficking victim-defendants, including human trafficking intervention courts, prosecutor-led programs, and police-led diversion programs. Contributes to evaluability assessment sit visits, data collection, and analysis.

Improving Outcomes for Child and Youth Victims of Human Trafficking: Children and Youth Technical Assistance Program (2019 to date)—*Project Manager and Technical Assistance Provider*. The purpose of this project is to support Office for Victims of Crime (OVC)-funded grantees of the Improving Outcomes for Children and Youth Victims of Human Trafficking program. RTI is developing, delivering, and assessing grantee-focused training and technical assistance (TTA), including identifying grantee-specific and shared needs; delivering TTA using multiple group and individual approaches; collaborating with OVC and other TTA providers; and assessing TTA processes for internal TTA improvement. Provides individualized TA to two grantees and contributes to other TTA activities (e.g., resource development).

Domestic Human Trafficking and the Child Welfare Population (2017 to date)—*Research Analyst*. The purpose of this project is to support the Administration for Children and Families (ACF) Children's Bureau to identify and better assist the children and youth served by its programs who are victims of human trafficking or who are at risk of exploitation in the form of human trafficking. Project tasks examine the characteristics of children and youth in child welfare settings who are victims of human trafficking or at risk of human trafficking, current child welfare program policies and practices related to this population, promising models to address human trafficking in the child welfare population, and the development of study designs to advance the field. Assists with state program policy document review and instrument development for primary data collection with youth transitioning out of child welfare.

Evaluation of the National Human Trafficking Hotline (NHTH) (2017 to date)—*Observational Listening Task Lead and Qualitative Analyst*. The overall purpose of this project is to support ACF in its

efforts to describe the activities, procedures, and organization of the NHTH, describe the customer services of the NHTH, describe the immediate outcomes of the NHTH, and explore the creation of one or more new performance measures. Conducts qualitative data collection and analysis including interviews and focus groups with trafficking victims, service providers, and law enforcement. Leads document review and development of a mixed-methods observational data collection protocol and analysis to assess the components of hotline calls.

Measuring Outcomes in Services to Domestic Victims of Human Trafficking: Instrument Development and Testing (2017 to date)—*Research Analyst*. The purpose of this project, funded by the National Institute of Justice, is to refine and assess an evaluation instrument designed to document clients' progress toward proximal outcomes related to safety, well-being, social connectedness, and self-sufficiency. Participates in consultation with experts, scoring exercise, and validity and reliability testing.

Development and Evaluation of Interventions to Prevent Sexual Assault Victimization, Revictimization, and Perpetration (2016 to date)—*Intervention Development Subtask Lead and Evaluation Analyst*. The objectives of this project are to develop five tablet-based interventions that will be provided during Air Force Basic Military Training (BMT), a complementary classroom intervention for the entire BMT class and to select/develop outcome evaluation measures and evaluation design and procedures to assess impact at each stage of the interventions. Leads intervention content development for perpetration prevention program; assists with formative research analysis, primary and revictimization program development, and evaluation design.

Effectiveness and Patient Acceptability of Stellate Ganglion Block (SGB) for Treatment of Posttraumatic Stress Disorder (PTSD) Symptoms among Active Duty Military Members (2016 to 2018)—*Qualitative Analyst*. This study, the first of its kind to be funded by the Department of Defense, evaluated the efficacy of SGB in decreasing overall PTSD symptomatology in active duty service members. In addition, the study implemented qualitative methodologies to assess the degree to which service members and providers are accepting of the procedure for such treatment. Led qualitative analysis of interviews with service members who received SGB to assess experience and acceptability. Assisted with preparing Institutional Review Board (IRB) documentation.

Preventing Intimate Partner Violence among Teens Who Are Pregnant or Parenting (2016 to 2017)—*Intervention Adaptation and Evaluation Support*. The objective of this National Institute of Child Health and Human Development-funded project was to adapt the evidence-based Safe Dates intimate partner violence prevention program to comprehensively address the issues and risks faced by female teenagers who are pregnant or parenting and to evaluate the feasibility and acceptability of the adapted program compared with the original program. Completed formative research to inform the adaptation, including conducting focus groups and conducted randomized pilot study with 60 female participants in North Carolina collecting implementation data and pre-test and 6-month follow-up outcome surveys. Assisted with adapted program materials and electronic data collections survey.

2012–2013 National Surveys on Drug Use and Health (NSDUHs): Examination of Veterans' Parenting and Youth Offspring Substance Use, Major Depressive Episode, and Thoughts of Suicide (2016 to 2017)—*Literature Review Support*. This Substance Abuse and Mental Health Services Administration project involved the development of a journal article combining 2005–2012 NSDUH data to estimate the prevalence of substance use among youths living with veteran parents and to make comparisons with youths living with nonveteran parents. Assisted with literature review.

Video Counseling for Effective Postpartum Contraception: A Randomized Clinical Trial (2015 to 2016)—*Project Manager and Evaluation Support*. The goal of the randomized clinical trial conducted at the University of North Carolina School of Medicine, Department of Obstetrics and Gynecology was to evaluate the addition of tiered-effectiveness video-based counseling during prenatal care increases uptake of postpartum LARC. Registered and updated record on clinicaltrials.gov. Assisted in research design, survey development, intervention implementation and participant recruitment and retention.

Two-Week Postpartum Intrauterine Contraception Insertion: A Study of Acceptability and Short-Term Outcomes (2014 to 2016)—*Project Manager and Analyst*. The primary objective of this pilot trial conducted at the University of North Carolina School of Medicine, Department of Obstetrics and Gynecology was to assess the acceptability to postpartum women of receiving a Levonorgestrel Intrauterine System two-weeks after delivery. Composed and managed IRB applications, adverse event reporting and reports to funders. Managed electronic database and completed data analyses in Stata. Collaborated on published manuscript.

A Phase 3, Multi-Center, Open-Label Study of a Levonorgestrel-Releasing Intrauterine System for Long-Term, Reversible Contraception (2014 to 2016)—*Site Manager*. The primary objective of this study sponsored by Medicines360 was to assess the efficacy of a levonorgestrel-releasing intrauterine system (LNG20) in nulliparous and parous females of child-bearing potential who request long-term, reversible contraception for up to 7 years using pregnancy rates. Coordinated the University of North Carolina School of Medicine, Department of Obstetrics and Gynecology study site, including data collection, reporting and participant retention. Managed regulatory documentation and budgeting.

Immediate vs. 4-8 Week Postpartum Levonorgestrel-releasing Intrauterine System Placement: A Randomized Clinical Trial (2014 to 2015)—*Analyst*. The goal of this randomized control trial conducted at the University of North Carolina School of Medicine, Department of Obstetrics and Gynecology was to compare the frequency of breastfeeding at 6 months among women receiving the levonorgestrel-releasing intrauterine system (LNG-IUS) immediately after vaginal delivery compared to 4–8 weeks later. Wrote manuscript utilizing survival analysis to compare breastfeeding duration between groups.

Professional Experience

2016 to date. RTI International, Research Triangle Park, NC.

Research Public Health Analyst. Task leader across research and evaluation projects related to victim services, human trafficking, sexual assault, military populations, services for pregnant and parenting teens, and other health promotion topics. Leads qualitative research tasks, including tool development, interviews and focus groups, developing codebooks, data analysis, and report writing. Analyzes survey and other quantitative data. Contributes to project reports, project deliverables, manuscripts, and grant and contract proposals.

01/2014 to 05/2014. Wake County Department of Health and Human Services, Raleigh, NC.

Clinic Quality Improvement Specialist. Employed the Model for Improvement to evaluate registration and clinic flow and applied rapid cycle testing to reduce turn away of patients seeking care at the free sexually transmitted infection clinic by 70%.

08/2013 to 12/2013. UNC Health Care and Carrboro Farmers' Market, Chapel Hill, NC.

Qualitative Evaluation Consultant. Developed interview guide and conducted semi-structured interviews with a systematic sample of vendors to assess experience with program to accept WIC and EBT benefits at the Carrboro Farmer's Market. Analyzed interviews using Atlas.ti and presented results and recommendation for program improvement.

2012 to 2016. Department of Obstetrics and Gynecology, UNC School of Medicine, Chapel Hill, NC.

Research Manager (June 2014 to June 2016). Manage two investigational contraceptive device trials including data collection, reporting and budgeting. Collaborate in developing data collection, evaluation and statistical analysis plans for observational and intervention studies, and randomized control trials. Develop and test data collection tools and electronic REDCap and Stata databases. Collaborate in writing research protocols, manuscripts, grant applications, and reports

to funders. Compose and track regulatory documents and IRB applications and correspondence for 10 division projects.

Research Assistant (September 2012 to May 2014). Formulated and performed descriptive, comparative and survival analysis in Stata. Developed surveys and interview guides for patients and providers as formative research for program to integrate of HIV and family planning services.

Honors and Awards

Delta Omega Society Academic Excellence Award, 2014
Phi Kappa Phi Honor Society, 2009
Wesleyan University Departmental High Honors, 2009
Wesleyan University Health Education Award, 2009

Computer Skills

Stata, Atlas.ti, Qualtrics, SurveyGizmo, Microsoft Office Suite (Word, Excel, PowerPoint), Epic EHR

Selected Peer-Reviewed Journal Articles

- Cutbush, S. L., Charm, S. B., Tueller, S. J., Krieger, K. E., & Gibbs, D. A. (2021). The outcomes for human trafficking instrument: Validity and reliability testing. *Journal of Human Trafficking*. <https://doi.org/10.1080/23322705.2021.1928860>
- Silber Ashley, O., Lane, M. E., Morgan, J. K., Charm, S., Tharp, A., & Brown, M. (2019). Perceptions of high-risk situations for sexual assault: Gender differences in the U.S. Air Force. *Military Medicine*, 184(Suppl 1), 443-450. <https://doi.org/10.1093/milmed/usy350>
- Staley, A., Charm, S., Slough, L., Zerden, M., & Morse, J. (2019) Prenatal contraceptive counseling by video. *Southern Medical Journal*, 112(1), 8-13. doi:10.14423/SMJ.0000000000000913.
- Krashin, J. W., Stuart, G. S., Garrett, J., Spector, H., Bryant, A. G., Charm, S., & Morse, J. E. (2017). Contraception insurance coverage and receipt of long-acting reversible contraception or depot medroxyprogesterone acetate on the day of abortion. *Obstetrics and Gynecology*, 130(1), 109-117. <https://doi.org/10.1097/AOG.0000000000002070>
- Ramesh, S., Charm, S., Kalinowski, A., Liberty, A., & Stuart, G. (2017). Management of intrauterine contraception in early pregnancy. *Southern Medical Journal*, 110(8), 550-553. doi:10.14423/SMJ.0000000000000685
- Zerden, M. L., Stuart, G. S., Charm, S. B., Bryant, A. G., Garrett, J., & Morse, J. E. (2017). Two-week postpartum intrauterine contraception insertion: A study of feasibility, patient acceptability and short-term outcomes. *Contraception*, 95(1), 65-70. doi:10.1016/j.contraception.2016.08.005

Selected Presentations and Proceedings

- Gibbs, D. A., Latzman, N. E., Dolan, M. M., & Charm, S. B. (2019). *Child welfare response to human trafficking: Evaluation opportunities and challenges*. Presented at the National Child Welfare Evaluation Summit, Washington, DC.
- Charm, S., Rae Olmsted, K. L., Morgan, J. K., Peeler, J., & Walters, B. B. (2018). *Recruiting service members for studies of posttraumatic stress disorder treatments: Experiences from a randomized controlled trial of stellate ganglion block*. Poster session presented at Military Health System Research Symposium, Kissimmee, FL.

- Rae Olmsted, K. L., Walters, B. B., Peeler, J., Morgan, J. K., Charm, S., Bartoczek, M., & Mulvaney, SW. (2018). *Stellate ganglion block for treatment of posttraumatic stress disorder symptoms: Preliminary findings from an effectiveness and acceptability study*. Military Health System Research Symposium, Kissimmee, FL.
- Scaglione Palchick, N. M., & Charm, S. (2018). *Preventing sexual assault in the Air Force: A collaborative approach to intervention development, implementation, and evaluation*. RTI International's Global Gender Center Symposium, Durham, NC.
- Morgan, J. K., Ashley, O., Hill, J., Relyea, M., & Charm, S. (2017). *Risky situations for male sexual assault victimization in the military and strategies for prevention: The role of qualitative interviews in formative research*. Society for Prevention Research, Washington, DC.
- Ashley, O., Counts, J., Charm, S., Morgan, J., Hill, J. L., Relyea, M., ... Tharp, A. (2017). *Perceptions of high-risk situations for sexual assault: Gender differences in the United States Air Force*. Poster session presented at 2017 Military Health System Research Symposium, Kissimmee, FL.

Selected Technical Reports

- Charm, S. B., Lutzman, N. E., Gilot, B., & Dolan, M. M. (2022). *Identifying and addressing human trafficking in child welfare agencies: Compilation of screening tools*. RTI International.
- Fowler, C. I., Wood, D. W., Tilley, A., Grimes, K. E. L., Feinberg, R. K., Charm, S. B., & Rutledge, R. I. (2021). *Patient preference information study for contraceptives: Literature review, market research & expert interviews: Task 3 report*. RTI International.
- Kan, M. L., Morgan, J. K., Lowe, A. N., Grimes, K. E. L., Charm, S. B., Johnson, K. L., Buben, A., & Eckhoff, R. P. (2021). *Implementing the Sexual Communication and Consent Program in US Air Force basic military training: Final feasibility and pilot report*.
- Hill, J. L., Counts, J., Charm, S., Palen, L-A., Ashley, O. S., & Lane, M. E. (2017). *Formative research findings from focus groups and interviews with general population airmen and sexual assault survivors in the U.S. Air Force*.

Selected Briefings

- Ashley, O. S., Charm, S., Relyea, M., Morgan, J. K., & Palen, L. (2017). *Sexual communication and consent program overview*. Presented to Headquarters U.S. Air Force, Pentagon, Washington, DC.
- Ashley, O. S., Charm, S., Relyea, M., Morgan, J. K., & Palen, L. (2017). *Sexual communication and consent program overview*. Presented to 737th Training Group, Research Triangle Park, NC.