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

Lori A. Shibinette
Commissioner

Joseph E. Ribsam, Jr.
Director

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

June 15, 2021

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

REQUESTED ACTION

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

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

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

See attached fiscal details.

EXPLANATION

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

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

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

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

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

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

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

Area served: Statewide

Source of Funds:

CFDA #93.659, FAIN #2101NHADPT;

CFDA #93.658, FAIN #2101NHFOST;

CFDA #94.558, FAIN #2101NHTANF; and

CFDA #93.778, FAIN #2101NHMedicaid.

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

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

Respectfully submitted,

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

Lori A. Shibinette

Commissioner

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

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

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

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

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

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

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

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

University of Kansas Center for Research, Inc.

Fiscal Details - Amendment #5

Contract #2014-138

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

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

Total	\$213,150	\$174,975	\$388,125
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STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY

27 Hazen Dr., Concord, NH 03301
Fax: 603-271-1516 TDD Access: 1-800-735-2964
www.nh.gov/doit

Denis Goulet
Commissioner

June 1, 2021

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

Dear Commissioner Shibinette:

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

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

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

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

Sincerely,

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

Denis Goulet

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

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

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

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

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

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

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

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

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

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

State of New Hampshire
Department of Health and Human Services

6/14/2021

Date

DocuSigned by:
Joseph E. Ribsam, Jr.

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

University of Kansas Center for Research, Inc.

6/1/2021

Date

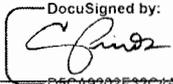
DocuSigned by:
Alicia Reed

Name: Alicia Reed
Title: Director, Research Administration/Assistant Vice Chancellor

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

OFFICE OF THE ATTORNEY GENERAL

6/14/2021
Date

DocuSigned by:

Name: Catherine Pinos
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

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

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price

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

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

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

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

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

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

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

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

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

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

1.2 Annual Subscription Fee

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

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

Business Information

Business Details

Business Name: UNIVERSITY OF KANSAS
CENTER FOR RESEARCH, INC. Business ID: 716395

Business Type: Foreign Nonprofit Corporation Business Status: Good Standing

Business Creation Date: 10/20/2014 Name in State of UNIVERSITY OF KANSAS CENTER
Incorporation: FOR RESEARCH, INC.

Date of Formation in
Jurisdiction: 10/20/2014

Principal Office 2385 Irving Hill Road, Lawrence, Mailing Address: NONE
Address: KS, 66045, USA

Citizenship / State of Foreign/Kansas
Incorporation:

Last Nonprofit
Report Year: 2020

Next Report Year: 2025

Duration: Not Stated

Business Email: kteel@ku.edu Phone #: NONE

Notification Email: kteel@ku.edu Fiscal Year End
Date: NONE

Principal Purpose

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

Page 1 of 1, records 1 to 1 of 1

Principals Information

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

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

Registered Agent Information

Name: C T Corporation System

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

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

Trade Name Information

No Trade Name(s) associated to this business.

Trade Name Owned By

No Records to View.

Trademark Information

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

Filing History Address History View All Other Addresses Name History Shares

Businesses Linked to Registered Agent Return to Search Back



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Business Information

Business Details

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

Principal Purpose

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

Page 1 of 1, records 1 to 1 of 1

Principals Information

Name/Title	Business Address
Diane Goddard / Treasurer	2385 Irving Hill Road, Lawrence, KS, 66045, USA
Gina Cregg / Chief Financial Officer	2385 Irving Hill Road, Lawrence, KS, 66045, USA

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https://www.kansas.gov/business/formation/education/cdo/

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STATE OF KANSAS
OFFICE OF THE SECRETARY OF STATE

[Visit Kansas Business One Stop](#)

Business Entity Search

Date: 06/01/2021

Be advised the business information on this page is for summary informational purposes only. It is not an official filing with the Secretary of State's office and should not be relied on as such. Please view actual documents filed by customers with the secretary of State's office to ensure accurate information. When filing a Uniform Commercial Code statement on an entity, consult with your attorney to ensure the correct debtor name.

Business Summary

Current Entity Name

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC
[File Name Change Online](#)

Business Entity ID Number

0031468
[View History and Documents](#)

Current Mailing Address: 2385 IRVING HILL RD, LAWRENCE, KS 66045 | [Update](#)

Business Entity Type: KANSAS NOT FOR PROFIT CORPORATION

Date of Formation in Kansas: 06/12/1962

State of Organization: KS

Current Status: ACTIVE AND IN GOOD STANDING

[Certificate of Good Standing](#)

Resident Agent and Registered Office

Resident Agent: KIMBERLY GRUNEWALD

Registered Office: 1450 JAYHAWK BOULEVARD ROOM 245, LAWRENCE, KS 66045

[Update Resident Agent/Office](#)

Annual Reports

The following annual report information is valid for active and delinquent status entities only.

Tax Closing Month: 05

The Last Annual Report on File: 06/2020

CERTIFICATE OF AUTHORITY

I, Simon Atkinson, hereby certify that:

1. I am a duly elected Officer of the University of Kansas Center for Research, Inc.

2. The following is a true copy of a vote taken at a meeting of the Board of Directors/shareholders, duly called and held on October 17, 2019, at which a quorum of the Directors/shareholders were present and voting.

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

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

Dated: June 1, 2021



Signature of Elected Officer

Name: Simon Atkinson

Title: President



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

5/28/2021

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

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

PRODUCER Arthur J. Gallagher Risk Management Services, Inc. 235 Highlandia Drive, Suite 200 Baton Rouge LA 70810	CONTACT NAME: Cheryl Kelley PHONE (A/C, No, Ext): 512-652-2461 FAX (A/C, No): 512-652-2462 E-MAIL ADDRESS: cheryl_kelley@ajg.com														
INSURED UNIVOFK-16 University of Kansas Center for Research, Inc. 2385 Irving Hill Rd., RM 108 Lawrence KS 66045	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">INSURER(S) AFFORDING COVERAGE</th> <th style="text-align: center;">NAIC #</th> </tr> </thead> <tbody> <tr> <td>INSURER A : Trumbull Insurance Company</td> <td style="text-align: center;">27120</td> </tr> <tr> <td>INSURER B : Hartford Casualty Insurance Company</td> <td style="text-align: center;">29424</td> </tr> <tr> <td>INSURER C :</td> <td></td> </tr> <tr> <td>INSURER D :</td> <td></td> </tr> <tr> <td>INSURER E :</td> <td></td> </tr> <tr> <td>INSURER F :</td> <td></td> </tr> </tbody> </table>	INSURER(S) AFFORDING COVERAGE	NAIC #	INSURER A : Trumbull Insurance Company	27120	INSURER B : Hartford Casualty Insurance Company	29424	INSURER C :		INSURER D :		INSURER E :		INSURER F :	
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INSURER D :															
INSURER E :															
INSURER F :															

COVERAGES **CERTIFICATE NUMBER:** 397195580 **REVISION NUMBER:**

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

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			43UENHN7020	7/1/2020	7/1/2021	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 300,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$
A	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY			43UENHN7020	7/1/2020	7/1/2021	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$
B	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$ 10,000			43RHUHN7168	7/1/2020	7/1/2021	EACH OCCURRENCE \$ 5,000,000 AGGREGATE \$ 5,000,000
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N	N/A				PER STATUTE OTH-ER E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$

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

CERTIFICATE HOLDER

CANCELLATION

NH DHHS 129 Pleasant Street Concord, NH 03301	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
---	---



May 12, 2021

To Whom It May Concern:

In response to your request for a certificate of insurance for the University of Kansas, please be advised that under the Kansas Tort Claims Act, K.S.A. 75-6101 *et seq.* ("Act"), the State of Kansas has assumed liability for the negligent or wrongful acts and omissions of its employees and agents acting within the scope of their responsibilities on behalf of the State of Kansas, as outlined in that Act. This includes the University of Kansas and its employees. The liability for claims within the scope of the Act may not exceed Five Hundred Thousand Dollars (\$500,000) per occurrence. The University of Kansas will remain covered by the Act for the duration of the Event. Additionally, the State is required to indemnify its employees for injury or damages proximately caused by the employee's acts or omissions that fall within the parameters of the Act.

Further, Kansas's workers compensation fund, which is wholly self-insured, provides workers compensation coverage to State employees, per K.S.A. 44-575.

I trust that the coverage provided by the Kansas Tort Claims Act will adequately fulfill any requested insurance requirements, but please feel free to contact me if you have any questions or need additional information.

Sincerely,

A handwritten signature in cursive script that reads "Kimberly Grunewald".

Kimberly Grunewald
Deputy General Counsel

MISSION STATEMENT

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

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

FINANCIAL STATEMENTS
June 30, 2020 and 2019

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

FINANCIAL STATEMENTS
June 30, 2020 and 2019

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Crowe LLP
Independent Member Crowe Global

INDEPENDENT AUDITOR'S REPORT

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

Report on the Financial Statements

We have audited the accompanying financial statements of the University of Kansas Center for Research, Inc., a component unit of the University of Kansas, which comprise the statements of financial position as of June 30, 2020 and 2019, and the related statements of activities, and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes 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.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with 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. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements 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 entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

(Continued)

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the University of Kansas Center for Research, Inc. as of June 30, 2020 and 2019, 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.

Other Matter

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

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated September 30, 2020 on our consideration of the University of Kansas Center for Research, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is 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 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 University of Kansas Center for Research, Inc.'s internal control over financial reporting and compliance.

Crowe LLP

Crowe LLP

Indianapolis, Indiana
September 30, 2020

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF FINANCIAL POSITION
June 30, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Assets		
Current assets		
Cash and cash equivalents	\$ 27,293,651	\$ 25,229,207
Current investments	68,218,156	58,296,854
Accounts receivable, net	20,982,619	22,852,561
Note receivable, net – current	108,327	708,411
Prepaid expenses	<u>106,604</u>	<u>248,923</u>
Total current assets	116,709,357	107,335,956
Non-current assets		
Property and equipment, net	16,301,287	17,020,635
Buildings and equipment in progress	<u>326,861</u>	<u>952,263</u>
Total property and equipment, net	16,628,148	17,972,898
Long-term investments	6,892,826	7,267,937
Notes receivable, net	<u>4,555,076</u>	<u>4,012,658</u>
Total non-current assets	<u>28,076,050</u>	<u>29,253,493</u>
Total assets	<u>\$ 144,785,407</u>	<u>\$ 136,589,449</u>
Liabilities and Net Assets		
Current liabilities		
Accounts payable and accrued expenses	\$ 16,293,360	\$ 18,088,339
Bonds payable, net – current	888,917	3,486,466
Notes payable – current	4,176,392	1,382,663
Assets held for others	7,746,793	8,327,499
Deferred revenues – sponsored research	<u>10,226,291</u>	<u>9,134,164</u>
Total current liabilities	39,331,753	40,419,131
Non-current liabilities:		
Notes payable	11,357,700	4,385,479
Bonds payable, net	<u>6,796,658</u>	<u>19,458,446</u>
Total non-current liabilities	<u>18,154,358</u>	<u>23,843,925</u>
Total liabilities	<u>57,486,111</u>	<u>64,263,056</u>
Net Assets		
Without donor restrictions	80,408,189	65,060,175
With donor restrictions	<u>6,891,107</u>	<u>7,266,218</u>
Total net assets	<u>87,299,296</u>	<u>72,326,393</u>
Total liabilities and net assets	<u>\$ 144,785,407</u>	<u>\$ 136,589,449</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2020

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, Gains, and Other Support			
Direct research income	\$112,319,380	\$ -	\$112,319,380
Facilities & administrative (F&A) revenue	<u>25,129,508</u>	<u>-</u>	<u>25,129,508</u>
	<u>137,448,888</u>	<u>-</u>	<u>137,448,888</u>
Service centers	15,483,354	-	15,483,354
Royalties	2,186,035	-	2,186,035
Investment returns, net	352,399	(112,577)	239,822
Other income	1,267,474	-	1,267,474
Gain on refunding	604,024	-	604,024
Net assets released from restriction	<u>262,534</u>	<u>(262,534)</u>	<u>-</u>
Total revenues, gains and other support	<u>157,604,708</u>	<u>(375,111)</u>	<u>157,229,597</u>
Expenses			
Program services:			
Direct research expenses	109,237,534	-	109,237,534
Capitalized expenses for property and equipment	<u>(2,262,259)</u>	<u>-</u>	<u>(2,262,259)</u>
	<u>106,975,275</u>	<u>-</u>	<u>106,975,275</u>
Research unit/school expenses	4,381,483	-	4,381,483
Service centers	10,614,653	-	10,614,653
Other programs services	3,917,667	-	3,917,667
Interest expense	<u>708,978</u>	<u>-</u>	<u>708,978</u>
Total program services expenses	126,598,056	-	126,598,056
Supporting services expenses:			
University support	1,407,768	-	1,407,768
Research administration and unit support	12,883,904	-	12,883,904
Matching costs	<u>702,761</u>	<u>-</u>	<u>702,761</u>
Total supporting services expenses	<u>14,994,433</u>	<u>-</u>	<u>14,994,433</u>
Total expenses	<u>141,592,489</u>	<u>-</u>	<u>141,592,489</u>
Change in net assets before transfers	16,012,219	(375,111)	15,637,108
Transfers to University	<u>(664,205)</u>	<u>-</u>	<u>(664,205)</u>
Change in net assets	15,348,014	(375,111)	14,972,903
Net assets, beginning of year	<u>65,060,175</u>	<u>7,266,218</u>	<u>72,326,393</u>
Net assets, end of year	<u>\$ 80,408,189</u>	<u>\$ 6,891,107</u>	<u>\$ 87,299,296</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2019

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, Gains, and Other Support			
Direct research income	\$113,858,005	\$ -	\$113,858,005
Facilities & administrative (F&A) revenue	<u>27,419,930</u>	<u>-</u>	<u>27,419,930</u>
	<u>141,277,935</u>	<u>-</u>	<u>141,277,935</u>
Service centers	11,797,011	-	11,797,011
Royalties	3,821,258	-	3,821,258
Investment returns, net	2,631,415	323,623	2,955,038
Other income	2,281,054	-	2,281,054
Net assets released from restriction	<u>327,749</u>	<u>(327,749)</u>	<u>-</u>
Total revenues, gains and other support	<u>162,136,422</u>	<u>(4,126)</u>	<u>162,132,296</u>
Expenses			
Program services:			
Direct research expenses	120,398,619	-	120,398,619
Capitalized expenses for property and equipment	<u>(2,077,485)</u>	<u>-</u>	<u>(2,077,485)</u>
	<u>118,321,134</u>	<u>-</u>	<u>118,321,134</u>
Research unit/school expenses	4,155,072	-	4,155,072
Service centers	4,628,895	-	4,628,895
Other programs services	3,971,983	-	3,971,983
Interest expense	<u>707,164</u>	<u>-</u>	<u>707,164</u>
Total program services expenses	131,784,248	-	131,784,248
Supporting services expenses:			
University support	1,636,594	-	1,636,594
Research administration and unit support	12,448,052	-	12,448,052
Matching costs	<u>1,014,530</u>	<u>-</u>	<u>1,014,530</u>
Total supporting services expenses	<u>15,099,176</u>	<u>-</u>	<u>15,099,176</u>
Total expenses	<u>146,883,424</u>	<u>-</u>	<u>146,883,424</u>
Change in net assets before transfers	15,252,998	(4,126)	15,248,872
Transfers to University	<u>(451,005)</u>	<u>-</u>	<u>(451,005)</u>
Change in net assets	14,801,993	(4,126)	14,797,867
Net assets, beginning of year	<u>50,258,182</u>	<u>7,270,344</u>	<u>57,528,526</u>
Net assets, end of year	<u>\$ 65,060,175</u>	<u>\$ 7,266,218</u>	<u>\$ 72,326,393</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF CASH FLOWS
Years ended June 30, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Cash flows from operating activities		
Cash received for research contracts, grants and service accounts and unit support	\$ 139,479,401	\$ 145,700,460
Royalties received	2,536,885	4,703,260
Interest received	1,576,984	1,543,292
Payments to suppliers and University	(138,568,194)	(140,600,046)
Interest paid	(710,339)	(1,050,142)
Other operating receipts	<u>16,750,828</u>	<u>14,078,065</u>
Net cash from operating activities	<u>21,065,565</u>	<u>24,374,889</u>
Cash flows from investing activities		
Purchase of property and equipment	(3,641,471)	(3,221,247)
Purchase of investments	(11,145,887)	(9,914,829)
Proceeds from sales and maturities of investments	436,233	468,556
Collection of notes receivable	<u>57,667</u>	<u>54,569</u>
Net cash from investing activities	<u>(14,293,458)</u>	<u>(12,612,951)</u>
Cash flows from financing activities		
Principal payments on note payable	(1,382,663)	(627,788)
Principal payments on bonds	<u>(3,325,000)</u>	<u>(3,245,000)</u>
Net cash from financing activities	<u>(4,707,663)</u>	<u>(3,872,788)</u>
Increase in Cash and Cash Equivalents	2,064,444	7,889,150
Cash and Cash Equivalents, Beginning of Year	<u>25,229,207</u>	<u>17,340,057</u>
Cash and Cash Equivalents, End of Year	<u>\$ 27,293,651</u>	<u>\$ 25,229,207</u>
Reconciliation of Change in Net Assets to Net Cash Provided by Operating Activities		
Change in net assets	\$ 14,972,903	\$ 14,797,867
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	3,989,698	4,171,590
Amortization	(185,313)	(143,538)
Gain on refunding	(604,024)	-
Loss on disposal of property and equipment	335,930	-
Realized and unrealized gains on investments	1,163,463	(1,552,554)
Transfer of assets to University of Kansas	664,205	451,005
Changes in:		
Accounts receivable, net	1,869,942	2,295,547
Prepaid expenses	142,319	14,798
Accounts payable and accrued expenses	(1,794,979)	1,331,194
Assets held for others	(580,706)	390,566
Deferred revenues - research	<u>1,092,127</u>	<u>2,618,414</u>
Net cash provided by operating activities	<u>\$ 21,065,565</u>	<u>\$ 24,374,889</u>
Non-cash activities:		
Refunding of bond payable through issuance of note payable	\$ 10,145,000	\$ -

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

Cash Equivalents: The Center considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2020 and 2019, cash equivalents consisted primarily of an interest-bearing checking account that is fully collateralized by FDIC insurance and US Bank.

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

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

Impairment of Long-Lived Assets: On an ongoing basis, the Center reviews its long-lived assets for impairment whenever events or circumstances indicate that the carrying amount may be overstated. The Center recognizes impairment losses if the undiscounted cash flows expected to be generated are less than the carrying value of the related asset. If impaired, the assets are adjusted to fair value based on the discounted cash flows. No impairment is thought to exist as of June 30, 2020 or 2019.

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

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

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO FINANCIAL STATEMENTS
 June 30, 2020 and 2019

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

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

Direct research income consisted of the following as of June 30, 2020 and 2019:

	<u>2020</u>	<u>2019</u>
Non-Exchange	\$ 76,201,844	\$ 68,286,993
Exchange	<u>36,117,536</u>	<u>45,571,012</u>
	<u>\$ 112,319,380</u>	<u>\$ 113,858,005</u>

Approximately 46% and 45% of all grant revenues was received from three grantors (federal agencies) in the form of direct awards during the years ended June 30, 2020 and 2019, respectively.

Non-exchange support funded by grants is recognized as the Center reaches agreed milestones or incurs outlays eligible for reimbursement under the grant agreements. The costs of projects on a cost-reimbursement basis are recognized as incurred and related revenue is recognized when earned (primarily as costs are incurred), whether billed or unbilled. Grant activities and outlays are subject to audit and acceptance by the granting agency and, as a result of such audit, adjustments could be required. During the year ended June 30, 2019, the Center returned \$7,124,684 of funding related to self-reported disallowed costs from prior years, respectively.

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

As of June 30, 2020, the Center had approximately \$204 million of conditional funding available from granting agencies over the next five years, which will be earned as milestone are met or qualified expenses are incurred.

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

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

Service Center revenues represent reciprocal transactions in exchange for an equivalent benefit and is thus recognized as an exchange transaction with revenue recognized as services are performed. Payment for these services is due within 30 days of billing and the Center reserves the right to suspend services in the event that billings for such serves are not paid timely and neither the Center nor the University are liable for any resulting loss, damage or expense connected with such suspension. Service Center agreements may be terminated in whole or in part for any reason by either the Center or the customer upon 15 days' written notice to the other party.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

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

The composition of accounts receivable at June 30, 2020 and 2019 are as follows:

	<u>2020</u>	<u>2019</u>
Accounts receivable:		
Federal	\$ 14,751,233	\$ 13,503,578
State	2,560,036	2,842,859
Other	<u>4,156,990</u>	<u>6,601,603</u>
	21,468,259	22,948,040
Allowance for doubtful accounts	<u>(485,640)</u>	<u>(95,479)</u>
Total accounts receivable, net	<u>\$ 20,982,619</u>	<u>\$ 22,852,591</u>

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

	<u>Federal</u>	<u>State</u>	<u>Other</u>	<u>Total</u>
Balance as of June 30, 2018	\$ 627,189	\$ 788,003	\$ 5,100,558	\$ 6,515,750
Revenue recognized	(627,189)	(788,003)	(5,100,558)	(6,515,750)
Payments received for future performance obligations	<u>1,172,887</u>	<u>3,519,182</u>	<u>4,442,095</u>	<u>9,134,164</u>
Balance as of June 30, 2019	1,172,887	3,519,182	4,442,095	9,134,164
Revenue recognized	(1,172,887)	(3,519,182)	(4,442,095)	(9,134,164)
Payments received for future performance obligations	<u>1,805,137</u>	<u>2,918,882</u>	<u>5,502,272</u>	<u>10,226,291</u>
Balance as of June 30, 2020	<u>\$ 1,805,137</u>	<u>\$ 2,918,882</u>	<u>\$ 5,502,272</u>	<u>\$ 10,226,291</u>

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

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

The Center does not expect the total amount of unrecorded tax benefits to significantly change in the next 12 months. The Center recognizes interest and/or penalties related to income tax matters in income tax expense. The Center did not have any amounts accrued for interest and penalties at June 30, 2020 and 2019. At June 30, 2020 and June 30, 2019, the Center has not recorded any expected tax benefits.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Reclassifications: Certain reclassifications have been made to present last year's financial statements on a basis comparable to the current year's financial statements. These reclassifications had no effect on the change in net assets or total net assets.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to June 30, 2020, to determine the need for any adjustments or disclosures to the financial statements for the year ended June 30, 2020. Management has performed their analysis through September 30, 2020, the date the financial statements were issued.

COVID-19 Impact: In December 2019, a novel strain of coronavirus, COVID-19, surfaced and has spread around the world, with resulting business and social disruption. The coronavirus was declared a Public Health Emergency of International Concern by the World Health Organization on January 30, 2020. On March 9, 2020, students of the University did not return to campus and courses were later converted to an online format. On March 20, 2020, only essential research activities were allowed to continue in campus facilities until further notified and all travel was suspended.

On March 19, 2020, OMB released M-20-17 allowing salaries to continue to be charged to awards consistent with the institutions policy for personnel who are unable to work because of COVID restriction. From March 20, 2020 through June 30, 2020, staff continued work and non-essential research activity when possible from non-campus facility locations.

On May 15, 2020 the University began re-opening research and other facilities over a period of four weeks. As of June 30, 2020, all campus research facilities were reopened, though travel activity remains limited.

While the specific financial impact of the pandemic is not deemed to be practically estimable, due to the changing dynamics of the pandemic and the impact on research activities, the Center experienced an overall reduction in revenues and related expenditure activity during the year ended June 30, 2020. However, additional flexibility on project extensions from OMB M-20-17 is expected to allow expenditures not incurred during the year to be incurred and claimed in the future.

Additionally, the Center incurred additional expenditures of \$750,486 related to COVID-19 activities during the year ended June 30, 2020.

The future operations and business results of the Center could be materially adversely affected by ongoing national, state and local actions taken in an effort to contain the coronavirus, including by not limited to uncertainty related to the continuation of on campus activity at the University.

Significant estimates as disclosed in Note 1, such as the fair value of investments and collectability of accounts receivable, may be materially adversely impacted.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 2 - INVESTMENTS

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

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

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

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

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

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

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

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

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

The Center classifies funds that are available for immediate expenditure as current assets and funds invested in KU Endowment's long-term investment program and other investment funds as noncurrent assets. The funds available for immediate expenditure can be redeemed on a short-term basis. The Center has visibility to the underlying holdings which are considered to be Level 1 and Level 2 inputs.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO FINANCIAL STATEMENTS
 June 30, 2020 and 2019

NOTE 2 - INVESTMENTS (Continued)

The Center's investments at June 30 consisted of the following:

	<u>Fair Value measurement at Reporting Date Using</u>		
	<u>Fair Value</u>	<u>Level 1</u>	<u>NAV</u>
<u>June 30, 2020</u>			
Unites States treasury bills	\$ 2,499,675	\$ 2,499,675	\$ -
Mutual funds:			
Domestic equity funds	15,114,902	15,114,902	-
Domestic bond funds	22,959,329	22,959,329	-
Domestic real estate funds	5,610,228	5,610,228	-
International equity funds	9,472,404	9,472,404	-
International bond funds	6,014,189	6,014,189	-
International real estate funds	2,739,757	2,739,757	-
Money market funds	3,807,672	3,807,672	-
Investments held by KU Endowment	<u>6,892,826</u>	<u>-</u>	<u>6,892,826</u>
	<u>\$ 75,110,982</u>	<u>\$ 68,218,156</u>	<u>\$ 6,892,826</u>

	<u>Fair Value measurement at Reporting Date Using</u>		
	<u>Fair Value</u>	<u>Level 1</u>	<u>NAV</u>
<u>June 30, 2019</u>			
Unites States treasury bills	\$ 6,005,618	\$ 6,005,618	\$ -
Mutual funds:			
Domestic equity funds	13,087,807	13,087,807	-
Domestic bond funds	18,102,905	18,102,905	-
Domestic real estate funds	5,134,036	5,134,036	-
International equity funds	8,488,522	8,488,522	-
International bond funds	4,801,885	4,801,885	-
International real estate funds	2,588,422	2,588,422	-
Money market funds	87,659	87,659	-
Investments held by KU Endowment	<u>7,267,937</u>	<u>-</u>	<u>7,267,937</u>
	<u>\$ 65,564,791</u>	<u>\$ 58,296,854</u>	<u>\$ 7,267,937</u>

Total investment return is comprised of the following:

	<u>2020</u>	<u>2019</u>
Interest and dividend income, net	\$ 1,515,861	\$ 1,078,861
Realized gain	780,982	1,825,897
Unrealized gain/(loss)	<u>(2,057,021)</u>	<u>50,280</u>
	<u>\$ 239,822</u>	<u>\$ 2,955,038</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 3 - NOTES RECEIVABLE

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

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

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

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

A summary of changes in notes receivable is as follows:

	June 30, <u>2019</u>	<u>Additions</u>	<u>Repayments</u>	June 30, <u>2020</u>	Current <u>Portion</u>
BTBC notes	\$4,721,069	\$ -	\$ (57,667)	\$4,663,402	\$ 108,327

Future repayment activity for the notes is as follows:

Year Ending <u>June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2021	\$ 108,327	\$ 153,881	\$ 262,208
2022	243,120	123,591	366,711
2023	250,098	116,613	366,711
2024	257,288	109,423	366,711
2025	264,698	102,013	366,711
Thereafter	<u>3,539,871</u>	<u>632,790</u>	<u>4,172,661</u>
	<u>\$ 4,663,402</u>	<u>\$ 1,238,311</u>	<u>\$ 5,901,713</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 4 - PROPERTY AND EQUIPMENT

Property and equipment at June 30, 2020 and 2019 consists of:

	June 30, <u>2019</u>	<u>Increases</u>	<u>Decreases</u>	June 30, <u>2020</u>
Land	\$ 808,808	\$ -	\$ -	\$ 808,808
Building	1,916,236	-	-	1,916,236
Office and scientific equipment	<u>73,374,138</u>	<u>3,606,280</u>	<u>(2,885,290)</u>	<u>74,095,128</u>
	76,099,182	3,606,280	(2,885,290)	76,820,172
Less accumulated depreciation	<u>59,078,547</u>	<u>3,989,698</u>	<u>(2,549,360)</u>	<u>60,518,885</u>
	17,020,635	(383,418)	(335,930)	16,301,287
Buildings and equipment in progress	<u>952,263</u>	<u>197,369</u>	<u>(822,771)</u>	<u>326,861</u>
Total property and equipment, net	<u>\$ 17,972,898</u>	<u>\$ (186,049)</u>	<u>\$ (1,158,701)</u>	<u>\$ 16,628,148</u>

The statements of financial position of the Center include only those property and equipment purchases or donations that remain the Center's property. Accordingly, the historical cost of property and equipment purchased by the Center and transferred to the University are reflected within the University's financial statements. Transfers to the University were \$664,205 and \$451,005 during the years ended June 30, 2020 and 2019, respectively.

NOTE 5 - ASSETS HELD FOR OTHERS

The Center has entered into an agreement with another community-based organization to administer the Assistive Technology for Kansans program. In association with this agreement, the Center will maintain certain administrative and fiduciary responsibilities related to certain financial assets of the program. These financial assets primarily consist of investments. Accordingly, the amounts of financial assets administered by the Center under the program are also reported as assets held for others. At June 30, 2020 and 2019, these amounts totaled \$7,746,793 and \$8,327,499, respectively.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 6 - BONDS PAYABLE

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

	<u>June 30, 2019</u>	<u>Additions</u>	<u>Retirements</u>	<u>June 30, 2020</u>	<u>Current Portion</u>
Revenue bonds:					
Series 2012E	\$ 13,620,000	\$ -	\$ (13,620,000)	\$ -	\$ -
Series 2014E	<u>8,520,000</u>	<u>-</u>	<u>(850,000)</u>	<u>7,670,000</u>	<u>865,000</u>
	22,140,000	-	(14,470,000)	7,670,000	865,000
Bond premiums	966,977	-	(836,221)	130,756	23,917
Bond issuance costs	<u>(162,065)</u>	<u>-</u>	<u>46,884</u>	<u>(115,181)</u>	<u>-</u>
Total	<u>\$ 22,944,912</u>	<u>\$ -</u>	<u>\$ (15,259,337)</u>	<u>\$ 7,685,575</u>	<u>\$ 888,917</u>

Long-term debt at June 30, 2020, is comprised of the following:

Revenue Bonds	<u>Balance at June 30, 2020</u>	<u>Balance at June 30, 2019</u>
<p>\$29,675,000 - Series 2012E Kansas Development Finance Authority Revenue Refunding Bonds (\$14,075,000 tax-exempt and \$15,600,000 taxable). The bonds are due in annual installments ranging from \$2,190,000 to \$2,950,000 with final maturity on February 1, 2024. Interest at rates ranging from 2.00% to 5.00% is payable semi-annually. A rating of AA Stable was assigned by Standard & Poor's and a rating of Aa1 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds from the 2012E bonds were used to extinguish the Series 2005B Kansas Development Finance Authority Taxable Revenue Bonds, which were originally used to finance the construction of the Multidisciplinary Research building. During the year ended June 30, 2020, the bonds were refunded through the issuance of the loan from the University disclosed in Note 7.</p>	\$ -	\$ 13,620,000
<p>\$10,580,000 - Series 2014E Kansas Development Finance Authority Revenue Bonds (tax-exempt). The bonds are due in annual installments ranging from \$90,000 to \$4,045,000 final maturity on February 1, 2025. Interest at rates ranging from 2.00% to 3.00% is payable semi-annually. A rating of AA was assigned by Standard & Poor's and a rating of Aa2 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University's revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds for the 2014E bonds were used to advance refund \$10,560,00 of the 2006G Kansas Development Finance Authority Tax-Exempt Revenue Bonds described above, which were originally used to finance the construction of the Structural Biology Center Phase III building.</p>	<u>7,670,000</u>	<u>8,520,000</u>
	<u>\$ 7,670,000</u>	<u>\$ 22,140,000</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 6 - BONDS PAYABLE (Continued)

In accordance with University policy, the capitalized costs of the Multidisciplinary Research building and Structural Biology Center Phase III building have been previously transferred to and are reported on University's financial statements. At June 30, 2020 and 2019, the net book value of these facilities was approximately \$28.0 million and \$30.5 million, respectively.

Future revenue bond debt service requirements at June 30, 2020 are as follows:

Year Ending <u>June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2021	\$ 865,000	\$ 230,100	\$ 1,095,100
2022	890,000	204,150	1,094,150
2023	920,000	177,450	1,097,450
2024	950,000	149,850	1,099,850
2025	<u>4,045,000</u>	<u>121,350</u>	<u>4,166,350</u>
	<u>\$ 7,670,000</u>	<u>\$ 882,900</u>	<u>\$ 8,552,900</u>

The Series 2014 Bond is secured by loan agreements with the Kansas Development Finance Authority. The bond agreement contains various restrictive covenants. The Center is subject to limitations on additional indebtedness under the agreements. At June 30, 2020, the Center reported compliance with these covenants.

Interest expense, net of amortization, related to all bonds payable for the years ended June 30, 2020 and 2019, was \$477,172 and \$707,164, respectively.

NOTE 7 - NOTES PAYABLE

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

	<u>June 30, 2019</u>	<u>Additions</u>	<u>Retirements</u>	<u>June 30, 2020</u>	<u>Current Portion</u>
KU Endowment	\$ 5,768,142	\$ -	\$ (1,382,663)	\$ 4,385,479	\$ 1,424,143
Series 2012E					
Refunding	-	<u>10,145,000</u>	-	<u>10,145,000</u>	<u>2,355,000</u>
	<u>5,768,142</u>	<u>10,145,000</u>	<u>(1,382,663)</u>	<u>14,530,479</u>	<u>3,779,143</u>
Premium	-	<u>1,102,634</u>	<u>(99,021)</u>	<u>1,003,613</u>	<u>397,249</u>
Total	<u>\$ 5,768,142</u>	<u>\$ 11,247,634</u>	<u>\$ (1,481,684)</u>	<u>\$ 15,534,092</u>	<u>\$ 4,176,392</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 7 - NOTES PAYABLE (Continued)

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

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

Year Ending <u>June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2021	\$ 1,424,143	\$ 131,564	\$ 1,555,707
2022	1,466,867	88,840	1,555,707
2023	<u>1,494,470</u>	<u>44,834</u>	<u>1,539,304</u>
	<u>\$ 4,385,480</u>	<u>\$ 265,238</u>	<u>\$ 4,650,718</u>

Interest expense related to this note for the years ended June 30, 2020 and 2019 was \$159,218 and \$185,601, respectively.

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

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

Year Ending <u>June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2021	\$ 2,355,000	\$ 507,250	\$ 2,862,250
2022	2,470,000	389,500	2,859,500
2023	2,595,000	266,000	2,861,000
2024	<u>2,725,000</u>	<u>136,250</u>	<u>2,861,250</u>
	<u>\$ 10,145,000</u>	<u>\$ 1,299,000</u>	<u>\$ 11,444,000</u>

Interest expense related to this note for the year ended June 30, 2020 was \$72,588.

NOTE 8 - RESEARCH PROJECT EXPENDITURES/REVENUES

The University has transferred substantially all of its research grants to the administrative control of the Center. The University and Center total sponsored research activity for the years ended June 30, 2020 and 2019 was as follows:

	<u>2020</u>	<u>2019</u>
<u>University Activity (Unaudited)</u>		
University Research Expenditures	\$ 16,425,930	\$ 10,015,788
University Indirect Cost	<u>3,690,216</u>	<u>2,978,862</u>
Total University Activity (Unaudited)	20,116,146	12,994,650
<u>Center for Research Activity</u>		
Center for Research Expenditures	112,319,380	113,858,005
Center Indirect Cost	<u>25,129,508</u>	<u>27,419,930</u>
Total Center for Research Activity	<u>137,448,888</u>	<u>141,277,935</u>
Total Sponsored Activity – University and Center (unaudited)	<u>\$ 157,565,034</u>	<u>\$ 154,272,585</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 9 - NET ASSETS

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

	<u>2020</u>	<u>2019</u>
Dole Institute	\$ 5,742,620	\$ 6,057,060
Humanities	<u>1,148,487</u>	<u>1,209,158</u>
	<u>\$ 6,891,107</u>	<u>\$ 7,266,218</u>

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

Net assets released from restrictions

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

	<u>2020</u>	<u>2019</u>
Dole Institute	\$ 217,741	\$ 252,281
Humanities	<u>44,793</u>	<u>75,468</u>
	<u>\$ 262,534</u>	<u>\$ 327,749</u>

NOTE 10 - ENDOWMENTS

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

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

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 10 – ENDOWMENTS (Continued)

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

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

As of June 30, 2020 and 2019, the original corpus value of the endowment was \$5,996,006. The changes in donor-restricted endowment net assets for the years ended June 30, 2020 and 2019 were:

Endowment net assets, July 1, 2018	\$ 7,270,344
Investment return, net	323,623
Amounts appropriated for expenditure	<u>(327,749)</u>
Endowment net assets, June 30, 2019	7,266,218
Investment return, net	(112,577)
Amounts appropriated for expenditure	<u>(262,534)</u>
Endowment net assets, June 30, 2020	<u>\$ 6,891,107</u>

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

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

Funds with Deficiencies: From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donor or SPMIFA requires the Center to retain as a fund of perpetual duration. There were no such funds with deficiencies as of June 30, 2020 and 2019.

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 10 - ENDOWMENTS (Continued)

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

NOTE 11 - RELATED PARTY TRANSACTIONS

During the years ended June 30, 2020 and 2019, amounts paid by the University (and reimbursed by the Center) for salaries, benefits, scholarships, fellowships, tuition, and other operating expenses amounted to approximately \$91,978,528 and \$96,889,514, respectively. Of these amounts, approximately \$13,171,807 and \$12,821,118 are included in accounts payable and accrued expenses at June 30, 2020 and 2019, respectively.

The University provides support to the Center to fund general and administrative salaries and benefits, funds to invest in University programs and certain utility, maintenance, and custodial expenses paid by the University for the benefit of the Center. The following amounts were paid by the University for the years ended June 30, 2020 and 2019:

	<u>2020</u>	<u>2019</u>
Provost funding:		
Salaries and benefits	\$ 2,113,278	\$ 2,012,407
Other Investments	<u>2,107,804</u>	<u>2,096,023</u>
	4,221,082	4,108,430
Utilities	53,663	56,203
Information technology services	66,258	66,258
Maintenance	34,413	49,912
Custodial	<u>38,707</u>	<u>30,872</u>
	<u>\$ 4,414,123</u>	<u>\$ 4,311,675</u>

Effective July 1, 2009, the University established a central pool for the payout of vacation leave when faculty or staff resign or terminate employment. The effective rate is 0.45% of eligible payroll as of June 30, 2020 and 2019.

The Center provided support to KU Endowment for departmental benefit in funding research, graduate studies, distinguished professorships, scholarships and fellowships. Support of \$1,502,401 and \$1,825,292 was provided to KU Endowment during the fiscal years 2020 and 2019 and is included in other program services on the statement of activities.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 11 - RELATED PARTY TRANSACTIONS (Continued)

During the year ended June 30, 2020, the Center and the University of Kansas Medical Center Research Institute, Inc. jointly fund the operations of KU Center for Technology Commercialization (KUCTC) and \$1,187,375 was provided to KUCTC. KUCTC did not require supplemental funding during the fiscal year ended June 30, 2019; therefore, no amounts were provided to KUCTC during the year ended June 30, 2019.

NOTE 12 - OPERATING LEASES

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

Future minimum lease payments at June 30, 2020 were:

2021	\$ 1,024,505
2022	686,843
2023	671,421
2024	654,315
2025	574,981
Thereafter	<u>4,259,840</u>
	<u>\$ 7,871,905</u>

Rent expense for all operating leases was \$1,004,542 and \$1,095,403 for the years ended June 30, 2020 and 2019, respectively.

NOTE 13 - DEFINED CONTRIBUTION PROGRAM

All employees working for the Center are University of Kansas employees. The University has a defined contribution pension program covering all staff employees who have worked at the University for more than one year. Participating employees contribute 5.5% of their salary, and the Center contributes an additional 8.5%. Participating employees are fully vested immediately. The Center contributed \$119,506 and \$129,723 for 2020 and 2019 to the defined contribution pension program, respectively.

NOTE 14 - COMMITMENTS AND CONTINGENCIES

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 15 - LIQUIDITY AND AVAILABILITY

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

	<u>2020</u>	<u>2019</u>
Financial assets at year-end:		
Cash and cash equivalents	\$ 27,293,651	\$ 25,229,207
Current investments	68,218,156	58,296,854
Accounts receivable, net	20,982,619	22,852,561
Notes receivable, net – current	<u>108,327</u>	<u>708,411</u>
Total financial assets	116,602,753	107,087,033
Less amounts not available to be used:		
Investments held as assets held for others	<u>(7,746,793)</u>	<u>(8,327,499)</u>
Financial assets available to meet general expenditures within one year	<u>\$ 108,855,960</u>	<u>\$ 98,759,534</u>

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

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

NOTE 16 - EXPENSES BY NATURE

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

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

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

The tables on the following page present these functional expenses by their natural classification for the years ended June 30, 2020 and 2019.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2020 and 2019

NOTE 16 - EXPENSES BY NATURE (Continued)

Year ended June 30, 2020

	Program Services							Supporting Services				Total
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/ School Expenses	Service Centers	Other Programs Services	Interest Expense	Total Program Services	University Support	Research Admin., Unit Support, Startup	Matching Costs	Total Supporting Services	
Salaries and wages	\$ 49,045,485	\$ -	\$ 1,759,391	\$ 7,877,073	\$ 1,274,769	\$ -	\$ 59,956,718	\$ 124,719	\$ 6,167,415	\$ 209,180	\$ 6,501,314	\$ 66,458,032
Taxes & fringe benefits	10,917,204	-	418,466	2,224,338	176,052	-	13,736,060	15,768	1,699,586	56,286	1,771,640	15,507,700
Subaward payments	12,245,368	-	-	-	8,829	-	12,254,197	-	(14,228)	-	(14,228)	12,239,969
Professional fees	3,939,255	-	207,578	4,006,802	999,156	-	9,152,791	363,812	266,210	35,903	665,925	9,818,716
Supplies	4,517,134	-	521,266	1,726,799	81,910	-	6,847,109	7,817	272,763	79,651	360,231	7,207,340
Travel and food	3,241,069	-	435,566	844,547	70,231	-	4,591,413	24,027	151,502	33,602	209,131	4,800,544
Tuition	5,123,523	-	183,130	87,308	58,839	-	5,452,800	-	100,024	105,435	205,459	5,658,259
Participant fees	4,137,233	-	10,135	6,413	(3,720)	-	4,150,061	3,680	65,157	86,917	155,754	4,305,815
Depreciation	2,748,816	-	118,190	90,584	3,823	-	2,961,413	-	1,028,285	-	1,028,285	3,989,698
Equip. & non-capital	2,543,100	(2,262,259)	82,834	10,558	90,845	-	465,078	499	280,041	19,297	299,837	764,915
Interest expense	-	-	-	-	-	708,978	708,978	-	-	-	-	708,978
Other expense	3,023,543	-	601,610	1,991,169	1,142,798	-	6,759,120	867,446	2,445,026	60,931	3,373,403	10,132,523
Allocated service fees	7,755,804	-	43,317	(8,250,938)	14,135	-	(437,682)	-	422,123	15,559	437,682	-
Total	\$ 109,237,534	\$(2,262,259)	\$ 4,381,483	\$ 10,614,653	\$ 3,917,667	\$ 708,978	\$ 126,598,056	\$ 1,407,768	\$ 12,883,904	\$ 702,761	\$ 14,994,433	\$ 141,592,489

Year ended June 30, 2019

	Program Services							Supporting Services				Total
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/ School Expenses	Service Centers	Other Programs Services	Interest Expense	Total Program Services	University Support	Research Admin., Unit Support, Startup	Matching Costs	Total Supporting Services	
Salaries and wages	\$ 50,804,864	\$ -	\$ 1,812,379	\$ 6,365,861	\$ 1,324,885	\$ -	\$ 60,307,989	\$ 172,549	\$ 5,913,860	\$ 403,164	\$ 6,489,573	\$ 66,797,562
Taxes & fringe benefits	11,962,856	-	480,796	1,772,977	212,931	-	14,429,560	38,011	1,598,516	105,837	1,742,364	16,171,924
Subaward payments	14,265,868	-	-	-	-	-	14,265,868	-	-	-	-	14,265,868
Professional fees	5,063,183	-	331,984	1,678,180	8,802	-	7,082,149	342,813	371,988	-	714,801	7,796,950
Supplies	4,557,772	-	377,581	2,111,994	107,140	-	7,154,487	20,353	286,254	165,354	471,961	7,626,448
Travel and food	5,045,260	-	576,282	891,136	117,942	-	6,630,620	29,280	197,403	6,851	233,534	6,864,154
Tuition	4,716,681	-	127,659	157,101	72,910	-	5,074,351	-	8,189	96,464	104,653	5,179,004
Participant fees	4,744,578	-	20,629	6,139	16,364	-	4,787,710	-	-	16,063	16,063	4,803,773
Depreciation	3,033,128	-	113,666	326,958	3,545	-	3,477,297	-	694,296	-	694,296	4,171,593
Equip & non-capital	3,644,465	(2,042,565)	115,549	14,535	51,865	-	1,783,849	6,353	406,060	123,023	535,436	2,319,285
Interest expense	-	-	57,682	-	-	707,164	764,846	-	127,919	-	127,919	892,765
Other expense	4,582,029	(34,920)	28,565	(409,210)	2,031,925	-	6,198,389	1,027,235	2,676,266	92,208	3,795,709	9,994,098
Allocated service fees	7,977,935	-	112,300	(8,286,776)	23,674	-	(172,867)	-	167,301	5,566	172,867	-
Total	\$ 120,398,619	\$(2,077,485)	\$ 4,155,072	\$ 4,628,895	\$ 3,971,983	\$ 707,164	\$ 131,784,248	\$ 1,636,594	\$ 12,448,052	\$ 1,014,530	\$ 15,099,176	\$ 146,883,424

SUPPLEMENTARY INFORMATION

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER</u>				
<u>DEPARTMENT OF AGRICULTURE</u>				
<u>Direct Award</u>				
Mycorrhizal Amendments	10.000	Agreement	S	315
Virus and Vector Protein Expression	10.001	58-3020-5-024		711
Reprogramming extracellular nanovesicles as highly potent vaccines against bovine respiratory disease	10.310	2017-67021-28898		161,864
NRI: INT: COLLAB: Collaborative Autonomy and Safety for Teamed Human-Unmanned Aircraft Systems in Fast Evolving Wildfire Environment	10.310	2019-67021-28992		(288)
NRI: INT: COLLAB: An autonomous insect Sense, Identify, and Manage Platform	10.310	2019-6702-28986		54,804
NRI: INT: COLLAB: Collaborative Autonomy and Safety for Teamed Human-Unmanned Aircraft Systems in Fast Evolving Wildfire Environment	10.310	2019-67021-28992		130,008
Legume-rhizobia mutualism as a driver of grassland composition and community resistance to invasion	10.310	2019-67012-29534		53,293
Ethnobotanical Research, Mapping and Monitoring on the Rio Grande National Forest	10.699	17-CS-11020900-019		5,363
<u>Pass through KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
Pilot Projects to Reduce Dependency	10.596	40552		31
<u>Pass through KANSAS STATE UNIVERSITY</u>				
Develop canopy sensing and computational systems for real-time control and feedback of irrigation technology	10.310	S17170		68,020
PAPMEAGER: Wheat Phenome/Genome Sensing/Modeling via Microwave Scattering Inversion	10.310	S17144	2017-67007-25943	28,706
<u>Pass through MICHIGAN STATE UNIVERSITY</u>				
Developing and promoting water-, nutrient-, and climate-smart technologies to help agricultural systems adapt to climate and society changes	10.310	RC104693B	2015-68007-23133	76,023
INFEWS/T1: Developing Pathways Toward Sustainable Irrigation Across The Continental United States Using Process-based Systems Models (SIRUS)	10.310	RC108063UK	2018-67003-27406	40,386
<u>Pass through UNIVERSITY OF DELAWARE</u>				
Reducing uncertainty in carbon cycle science of North America: a synthesis program across United States	10.310	38517	2014-67003-22070	(899)
<u>DEPARTMENT OF COMMERCE</u>				
<u>Direct Award</u>				
University Center Program: The University Center will engage in RedTire expansion, entrepreneurial consulting, a venture student incubator and commercialization of STEM research.	11.303	ED18DEN3030031		123,106
Airborne Snow Depth Retrieval for Improved Hydrological Modeling	11.459	NA19OAR4590206		201,740
<u>Pass through COLORADO STATE UNIVERSITY</u>				
Center for Risk-Based Community Resilience Planning	11.619	G-00745-10		18,748
<u>Pass through UNIVERSITY CORP FOR ATMOSPHERIC</u>				
FOSSflood: The LivingFlood Application Build on Free Open Source Software	11.467	SUBAWD000648		3,064
<u>Pass through UNIVERSITY OF ALABAMA-TUSCALOOSA</u>				
Center for Remote Sensing of Snow and Soil Moisture Measurement	11.462	A18-0336-S001	NA18NW54620043B	350,997
<u>Pass through UNIVERSITY OF OKLAHOMA</u>				
Southern Climate Impacts Planning Program (SCIPP) Phase III	11.431	2019-11		50,627
<u>DEPARTMENT OF DEFENSE</u>				
<u>Direct Award</u>				
Advanced Radar Waveforms for Navy Platforms	12.000	N00014-16-C-2029		204,018
Archaeological Curation Agreement with Tulsa District COE	12.000	W912BV-16-P-0087		14,939
Science of Security for Cyber-physical Systems (SCpS)	12.000	H98230-18-D-0009		685,790
Impact of Shear Layer Swirl on Near- and Far-field Noise Emissions from Twin-Engine Military Aircraft	12.000	W912HQ219P0006		116,456
Advancement in Seismic Imaging for Tunnel Detection: ASII System upgrade to ASII-skinny (single streamer, stationary source)	12.000	W912HZ18C0033		6,227
Enhanced Implementation of K-Scope & ASII Tunnel Detection Analysis Approach Using FWI, Modal Segmentation Methods, and Integrated Multi-Modal Techniques	12.000	W912HZ19C0014		621,193
Advancement in Seismic Imaging for Tunnel Detection: ASI to ASII-skinny	12.000	W912HZ19C0031		195,766
Navy Applications of Physical MIMO and Waveform Diversity	12.000	N00014-20-C-1006		189,042
Waveform Diversity Experimentation System (WaDES)	12.300	N00014-19-1-2666		282,297

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF DEFENSE (Continued)</u>				
Blocking breast cancer metastasis by targeting RNA-binding protein HuR	12.420	W81XWH-16-1-0729	\$	292,306
High-throughput TCR repertoire-based platforms for antigen-specific cancer immunotherapy	12.420	W81XWH-18-1-0296		95,935
Development of a Military-Specific Transdiagnostic Eating-Disorder Survey and Screening Tool in a Nationally Representative Sample of Veterans	12.420	W81XWH1910207		232,151
A High-Order CPR Method on Overset Adaptive Cartesian and Prismatic Meshes for Rotorcraft Flow Simulations	12.431	W911NF-15-1-0505		96,228
Electrochemistry: Development of a "Macro" Si-SCEM Protocol to Investigate Reaction Intermediates for the HER and OER, and its Use for Designing Earth-Abundant Electrocatlysts	12.431	W911NF-17-1-0098		32,651
Fundamental Physics of Carbon-based Nanohybrids for High-performance Infrared and Ultraviolet Detection	12.431	W911NF-16-1-0029		17,879
Cognitive Radar to Address Spectral Congestion	12.431	W911NF-15-2-0063		129,675
Helicopter collision-avoidance radar	12.431	W911NF-16-2-0222		22,332
Graphics Processing Unit (GPU) Infrastructure for Massively Parallel Computing Research (ARO)	12.431	W911NF2010065		236,565
Computational modeling of the effect of microstructural properties on induction heating of conductive asphalt concrete	12.630	W912HZ17P0116		7,575
Towards Extreme-Scale Computing with High-Order Discontinuous Methods	12.800	FA9550-16-1-0128		29,710
Studies in Stochastic Control and Differential Games	12.800	FA9550-17-1-0073		117,386
Time-varying metamaterials: dynamic transformation optics and parametric phenomena	12.800	FA9550-16-1-0152 Mod		1,876
Parametric Resonances in Time-Varying Media for Optical Limiting Applications	12.800	FA9550-20-1-0046		33,294
<u>Pass through ADAPTIVE METHODS</u>				
Advanced Sonar Signal Processing	12.000	3112-SC002	N00024-15-C-525	40,663
<u>Pass through ADVANCED TECHNOLOGY INTERNATIONAL</u>				
Coded APSK for Improved Spectral Efficiency in Aeronautical/Mobile Telemetry	12.000	2017-319		513,537
<u>Pass through ADVENTIUM LABS</u>				
Vulnerabilities Out of Learned Timed Automata (VOLTA)	12.000	1071-001-001-007	FA8750-19-C-0083	107,537
<u>Pass through BATTLE MEMORIAL INSTITUTE</u>				
Studying Community Programs to Reduce Childhood Obesity	12.000	236802		15,186
Point Velocity Probe to Aid in the Evaluation of Groundwater Flow Rate and Direction within the Groundwater-Surface Water Transition Zone	12.000	US001-0000756266	N3943016D1802 / N3943018F4379	3,566
<u>Pass through BLACK RIVER SYSTEMS COMPANY</u>				
Evaluation for PCFM & CPM Wave Forms	12.000	1515-S05-BR5C	FA8650-15-C-1838	148,056
<u>Pass through BRIGHAM YOUNG UNIVERSITY</u>				
Space Time Coding for Multi-h CPM	12.000	17-0493	W15QKN-15-9-1004	126,479
<u>Pass through COLLINS AEROSPACE</u>				
StairCase	12.000	CW2251607	HR00111890001	138,844
<u>Pass through DEFENSE ENGINEERING CORPORATION</u>				
Waveform Research and Development for Emerging RF Sensing Technologies	12.000	PO 10316	A8650-17-C-1026	4,598
<u>Pass through FIBERTEK, INC.</u>				
Acquisition Design and Data Conditioning in Advance of Implementation of K-Scope for Assessment of Groundbreaker Capabilities to Improve Subterranean Detection Capabilities	12.000	Subcontract No. W909MY- Univrs	W909MY-12-D-007	87,701
<u>Pass through MATRIX RESEARCH, INC.</u>				
Master Agreement	12.000	S2014-012	FA8650-14-D-1722	251,412
<u>Pass through NEW SOUTH ASSOCIATES</u>				
Curation Services FY19	12.000	TO46-W912P919F0202	W912P917D0012	12,513
<u>Pass through R. CHRISTOPHER GOODWIN & ASSOCIATES INC</u>				
The University of Kansas Center for Research, Inc. & R. Christopher Goodwin & Associates Master Sponsored Research Agreement	12.000	23230	W912BV-10-D-2011	40,775
<u>Pass through SOLUTION IES, INC.</u>				
Estimating Mobile-Immobile Mass Transfer Parameters using Direct Push Tools	12.000	2015.0031.ARMY		59,546
<u>Pass through SOUTHWESTERN OHIO COUNCIL FOR HIGHER EDUCATION (SOCHE)</u>				
Wideband Fast Spatial Spectrum Sensing Using Digital Beamforming	12.300	RY3-KU-20-6-AFRL2	FA8650-19-2-9300	5,994

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF DEFENSE (Continued)</u>				
<u>Pass through UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Does TBI Affect mtDNA Heteroplasmy?	12.420	Z3H00010	W811XWH 18-1-0497	\$ 46,075
Circulating Extracellular Vesicles for Early Detection and Real-Time Monitoring of Ovarian Cancer	12.420	Z3G00000	W81XWH1910360	489
<u>Pass through UNIVERSITY OF MARYLAND-COLLEGE PARK</u>				
The Role of Phenology and Phenology Change in the Transmission of Arthropod-Borne Diseases Implications for Management on Military Lands	12.000	42698-78442101		25,791
<u>DEPARTMENT OF THE INTERIOR</u>				
<u>Direct Award</u>				
Long Term Property Curation with the University of Kansas	15.000	14OR6018P0054		4,246
Bureau of Indian Affairs Archeological Collections and Association Documentation Curated at the University of Kansas Natural History Museum Identifying, Cataloging, Photographing, and Rehousing BIA Collections	15.159	A17AC00068		30,592
Archaeological Evaluation of the KibRidge site (5MF3687)	15.224	L15AC00252		644
Fouling-resistant, Self-decontaminating Membranes for Effective Desalination of Oily Saline Wastewater	15.506	R17AC00132		7,600
Geologic Mapping in Kansas for FY18	15.810	G18AC00197		20,567
Geologic Mapping in Kansas for FY19	15.810	G19AC00231		119,884
Preservation of Kansas Oil, Gas, and Water Well Geologic Data, Records, and Samples, and Aerial Photographs, FY2018	15.814	G18AP00073		29,812
Preservation of Kansas Oil and Gas Well Geologic Data, Records, and Samples, and Aerial Photographs, FY2019	15.814	G19AP00094		61,755
Maintenance of the Kansas Geological Survey's (KGS) Data Services to the National Groundwater Monitoring Network (NGWMN) and establishment of a Trend well network in the Kansas River alluvial aquifer	15.980	G17AC00170		8,976
Maintain existing and expand Kansas-based data services to the NGWMN.	15.980	G19AC00191		6,570
<u>Pass through ALASKA DEPARTMENT OF FISH AND GAME</u>				
Phylogeography and Species Limits of the Grey Headed Chickadee	15.634	19-052		2,020
<u>Pass through AMERICAVIEW INC.</u>				
StateView Program Development and Operations for the State of Kansas	15.815	AV18-K5-01	G18AP00077	19,815
<u>Pass through KANSAS DEPARTMENT OF WILDLIFE PARKANSAS & TOURISM</u>				
Geographic Information System (GIS) & Remote Sensing Support Services	15.611	Agreement		152,576
<u>Pass through KANSAS WATER RESOURCES INSTITUTE</u>				
Does nutrient form control harmful algal bloom (HAB) toxin release?	15.805	S18154	G16AP00054	20,542
Assessing the effectiveness of streambank stabilization projects on the Cottonwood River using Unmanned Aircraft Systems (drones)	15.805	S18155	G16AP00054	15,153
<u>Pass through UNIVERSITY OF CALIFORNIA - DAVIS</u>				
Synchrony of native fish movements: synthesis science towards adaptive water management in the Central Valley	15.512	A19-3215-S001	R19AC000051	31,531
<u>DEPARTMENT OF JUSTICE</u>				
<u>Direct Award</u>				
Macro-Level Influences on Police Decision-Making and Engagement with Victims of Serious Violent Crimes: A Narrative Case Study of Two States	16.560	2019-V3-GX-0001		7,141
Evidence-Based Interventions in Juvenile Detention Facilities: The Role of Perceptions of Staff	16.734	2016-R2-CX-0026		11,976
<u>DEPARTMENT OF LABOR</u>				
<u>Pass through KANSAS BOARD OF REGENTS</u>				
The Demand for Community College Credits and Labor Market Outcomes	17.261	Agreement		1,806
<u>DEPARTMENT OF TRANSPORTATION</u>				
<u>Direct Award</u>				
Master Agreement: Unmanned Aircraft Systems (UAS) Center of Excellence (COE) Companion IDIQ Contract Proposal	20.000	692M15-18-D-00015		5,508
<u>Pass through COLORADO STATE UNIVERSITY</u>				
Emerging Technologies for Construction Delivery	20.200	G-91279-01	DTFH61-13-H-00024	395
<u>Pass through IOWA DEPARTMENT OF TRANSPORTATION</u>				
Phase III Iowa Pore Index: Morphometric Properties of Aggregates	20.205	20-SPR1-003		34,686

See accompanying notes to schedule.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020**

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF TRANSPORTATION (Continued)</u>				
<u>Pass through KANSAS DEPARTMENT OF TRANSPORTATION</u>				
Construction of Low-Cracking High-Performance Bridge Decks Incorporating New Technology	20.205	RE-7000-01	S	2
Construction of Low-Cracking High-Performance Bridge Decks Incorporating New Technology - 2019	20.205	RE-0778-01		97,190
2019 Local Technical Assistance Program (LTAP)	20.215	RE 0255-19-LTAP-R025(519)		337,275
Self De-Icing LED Signals	20.000	RE-0721-01		82,888
Development of Training for Local Transportation Agencies on the Use of Unmanned Aircraft Systems	20.000	RE-0786-01		13,196
<u>Pass through LEIDOS, INC.</u>				
Alternative Designs to Alleviate Freeway Bottlenecks at merge/Diverge Weaving Areas	20.000	PO10199221		217
<u>Pass through OK DEPARTMENT OF TRANSPORTATION</u>				
Evaluating the Performance of Existing Reinforcement for Oklahoma Bridges	20.200	SPRY-0010(082)RS		167,688
<u>Pass through TEXAS A&M RESEARCH FOUNDATION</u>				
Placement of PANDA-AP (Pavement Analysis using Nonlinear Damage Approach for Airports)	20.106	M2000379	692M15-19-T-000027	6,810
<u>Pass through UNIVERSITY OF NEBRASKA - LINCOLN</u>				
University Transportation Centers Open Competition 2016	20.701	25-1121-0005-150		184,788
<u>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</u>				
<u>Direct Award</u>				
Energy Deposition in the Upper Atmospheres of Jupiter and Saturn by Energetic Particles: The Polar Aurora and Atmospheric Electrodynamics	43.001	NNX14AG79G		3,684
Airborne Radar Surveys of Land and Sea Ice and Data Processing Using CReSIS Instrumentation to Support IceBridge Observations	43.001	NNX16AH54G		918,520
Controls on Iceberg Distribution Around Greenland	43.001	NNX16AJ90G		84,629
Confronting models of star formation quenching in galaxy clusters with archival Spitzer data	43.001	NNX17AF25G		7,341
Extreme Energy Particle Astrophysics with ANITA-V - University of Kansas Center for Research, Inc. (Co-I)	43.001	80NSSC18K0461		5,235
What Shapes the Passive Galaxy Population in Distant Clusters? Understanding the Role of Quenching and Merging with a Spitzer Archival Study	43.001	80NSSC19K0592		7,312
AGILE: Advanced energetic Ion Electron Telescope	43.001	80NSSC19K0714		181,363
Ultra-high Energy Particle Astrophysics with ANITA-V - University of Kansas Center for Research, Inc. (Co-I)	43.001	80NSSC19K1072		4,693
Multichannel Sense-and-Avoid Radar for Small UAVs	43.002	NNX15AN94A		(1,030)
<u>Pass through COLUMBIA UNIVERSITY</u>				
MoonDB Phase 2: Restoration of Lunar Geochronological and Lunar Meteorite Data	43.001	2(GG013230)	80NSSC18K0514	54,656
<u>Pass through DARCORPORATION</u>				
Learning Autopilot Systems for Unmanned Aerial Systems	43.000	22952	80NSSC19C0102	58,798
<u>Pass through GEORGIA INSTITUTE OF TECHNOLOGY</u>				
Oceans Across Space and Time	43.001	AWD-102551-G3	80NSSC18K1301	6,445
<u>Pass through JET PROPULSION LAB - CALIFORNIA TECHNOLOGY</u>				
RESEARCH SUPPORT AGREEMENT	43.001	1615851		1,921
Spitzer Transits of New TESS Planets	43.001	1646728	Prime Contract	1,057
<u>Pass through SMITHSONIAN ASTROPHYSICAL OBSERVATORY</u>				
Does Excess Mid-Infrared Emission Reliably Signal an AGN?	43.001	ARO-21012X	NAS8-03060	14,866
<u>Pass through SOUTHWEST RESEARCH INSTITUTE</u>				
Cassini Ion Neutral Mass Spectrometer (INMS) Team Member Participation	43.002	D99006L		19,058
<u>Pass through SPACE TELESCOPE SCIENCE INSTITUTE</u>				
The role of quenching and merging in shaping the passive galaxy population	43.000	HST-AR-14310.001-A		82,531
GOGREEN Survey: The Relationship between Quenching, Morphological Transformation and Size Growth of Satellite Galaxies	43.000	HST-GO-15294.012-A	NAS5-26555	7,378
Atmospheric characterization of two temperate mini-Neptunes formed in the same protoplanetary nebula	43.000	HST-GO-15814.013-A	HST-GO-15814.013-A	3,699
<u>Pass through UNIVERSITIES SPACE RESEARCH ASSOCIATION (USRA)</u>				
Searching for Torus Emission in Cold Quasars	43.000	SOF 07-0096	NNA17BF53C	26,893
<u>Pass through UNIVERSITY OF COLORADO</u>				
Participation in NASA Mars Atmosphere and Evolution mission	43.000	1546525		88,504
Participation in NASA Mars Atmosphere and Evolution mission (MAVEN Scientist Support)	43.000	Agreement		(6,022)

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (Continued)				
Pass through UNIVERSITY OF OKLAHOMA				
Analysis of TRMM-GPM Observations to Improve Our Process-Level Understanding and Modeling of Latent Heating in Tropical Easterly Waves	43.008	2019-65	80N55C19K0720	\$ 13,957
Pass through WICHITA STATE UNIVERSITY				
Active Wing Shaping Control for Morphing Aircraft	43.008	WSU SUB 10429 v2	NNX15AN04A	243
17-EPSCoR Prop-0037, Efficient and Compact Thermal and Water Management Systems using Novel Capillary Structure for Space Technology	43.008	WSU#15675		38,616
Development of Next-Generation Acoustic Liners for Aircraft Engine Noise Reduction	43.008	20-00255		501
INSTITUTE OF MUSEUM AND LIBRARY SERVICES				
Direct Award				
Illegal Emigration: Soviet Defectors and the Borders of the Cold War World	45.160	FEL-262095-19		30,000
Advancing Research Collaboration in the Humanities	45.130	CH-50951		425,000
Humanities Challenge Project II	45.130	CH-20811		500,000
Pass through HUMANITIES KANSAS				
The Roots of Pentecostalism in Kansas	45.129	218037MJ	SO-253126-17	(558)
NATIONAL SCIENCE FOUNDATION				
Direct Award				
GOALI - Balancing Flocs and Granules for Activated Sludge Process Intensification: Stoke's vs Fick's Laws	47.041	CBET-1512667		1,015
SusChEM: Novel Electrochemical CO2 Conversion Systems with CO2-Expanded Liquids	47.041	CBET-1605524		96,292
WERF: Determining the fate and major removal mechanisms of microplastics in water and resource recovery facilities	47.041	CBET-001707069		59,873
Non-classical Micromorphic Continuum Model for Granular Microstructure Design	47.041	CMMI-1727433		100,848
FEWtures: Innovation Analysis Framework for Resilient Futures, with Application to the Central Arkansas River Basin	47.041	CBET-1956084		129,242
CAREER: Advanced Thermal Management of Lithium-Ion Battery Packs: Combining Physics-Based and Machine Learning Models toward High Thermal Safety	47.041	CMMI-1847651		61,187
Collaborative Research: Development of Atomically Thin Tunnel Barriers for High-Performance Tunnel Junctions	47.041	ECCS-1809293		152,914
CAREER: Quantification of the kinetic energy of particles in complex flows using magnetic particle tracking	47.041	CBET-1944187		17,038
CAREER: Spectrokinetic Studies for Understanding Metal-Support Interactions in Catalytic Oxidation of Ethanol	47.041	CBET-1847655		46,695
Assessing the Influence of Hazard Mitigation Planning on Disaster Recovery	47.041	CMMI-1760183		126,740
RET Site: Exploring Career Opportunities through Water-Themed Engineering Research (ECO-WaTER)	47.041	EEC1801710		104,732
Engineering the Ionic Polymer Phase-Fluid Interface of the PEM Fuel Cell Catalyst Layer for Higher Performance	47.041	CBET-1803058		133,414
Control of Reconfigurable Battery Energy Storage Systems	47.041	CMMI-1763093		51,858
CAREER: Integrated Modeling of Hazard Mitigation Stakeholder Networks for Compassionate, Sustainable Risk Reduction	47.041	CMMI-1751696		73,673
EAGER: Suppressing Lithium Dendrite Growth by Functionally Graded Materials	47.041	CMMI-1840732		67,456
Planning Grant: Engineering Research Center for Intelligent Infrastructure for Safe, Efficient and Resilient Mobility (ERC-I2SERM)	47.041	EEC-1840432		56,112
CAREER: Assessing the Role of Buildings and Organizations in Community Disaster Resilience	47.041	CMMI-1847373		78,382
REU SITE: iDEA Incubator for Porous Materials: Integrating Discovery, Engineering and Art	47.041	EEC-1852308		68,666
RAPID: 2018 Hurricane Season: Assessing the performance of elevated wood buildings, including manufactured housing, in the wake of Hurricane Michael	47.041	CMMI-1903486		15,274
PFI-RP: Development of Continuous Process Concepts for Upgrading Lignin in Biorefineries	47.041	IIP-1919267		46,849
Collaborative Research: Development and Application of a Molecular and Process Design Framework for the Separation of Hydrofluorocarbon Mixtures	47.041	CBET-1917480		19,290
MRI: Acquisition of an Advanced Gravimetric Analyzer for Material Research at KU-Lawrence	47.041	CBET-1920252		75,244
CAREER: Understanding the role of quantum coherence in exciton transport and separation in molecular aggregates	47.049	DMR-1351716		70,016
Studies in Adaptive and Optimal Control of Stochastic Systems	47.049	DMS-1411412		28,162
CAREER: Innovative Strategies for Fluorination of Common Functional Groups	47.049	CHE-1455163		114,701
CAREER: Catalysis on Singly Dispersed Bimetallic Catalytic Sites	47.049	CHE-1462121		4,233
Thermodynamics and Structure of Chemically Heterogeneous Solid-Liquid Interfaces	47.049	CHE-1465226		55,472
Topics in Algebraic Geometry: Gromov-Witten Theory and Donaldson-Thomas Theory	47.049	DMS-1600997		21,793

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
NATIONAL SCIENCE FOUNDATION (Continued)				
Stochastic partial differential equations, fractional noises and limit theorems	47.049	DMS-1512891	5	55,578
Probing and manipulating strained interfaces with oxide superconductors	47.049	DMR-1508494		81,287
Novel transport phenomena in two-dimensional crystals beyond graphene	47.049	DMR-1505852		62,062
Collaborative Research: Mapping and Tracking Conformational Control of Nitric Oxide Synthase Activation	47.049	CHE-1710613		85,435
Collaborative Research: The GOGREEN Survey - Caring about the Environment	47.049	AST-1517815		14,493
Stability and Long Time Behavior for Infinite-Dimensional Dynamical Systems	47.049	DMS-1516245		26,758
Local cohomology, the Frobenius endomorphism, D-module theory, and invariant theory	47.049	DMS-1623035		1,570
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1560279		96,711
CAREER: First Principles Evaluation of Optical Activity in Solids	47.049	CHE-1650942		108,669
Electronic Structure and Reactivity of Peroxo- and Hydroxomanganese Compounds	47.049	CHE-1565661		83,216
Existence, Stability and Dynamics of Nonlinear Waves	47.049	DMS-1614785		28,882
Elementary Particle Physics with Collider Experiments	47.049	PHY-1607262		420,757
Collaborative research: Modelling and inference for spatiotemporal climate impacts on complex ecosystems	47.049	DMS-1714195		125,789
Stability of solitary waves in dynamical systems	47.049	DMS-1614734		43,856
Applying the Frobenius Morphism and Convexity to Study Singularities	47.049	DMS-1600702		20,452
Single Molecule Electrophoresis using Nanochannel Columns Fabricated in Thermoplastics	47.049	CHE-1660002		(31)
System of hyperbolic conservation laws and nonlinear wave equations	47.049	DMS-1715012		40,353
New algorithms to enable faster, more accurate analysis of hydrogen exchange mass spectrometry data	47.049	CHE-1709176		59,042
INFEWS N/P/H2O: Supramolecular Recognition and Catalysis Targeting Phytate, an Organic Sink for Phosphate in the Human Phosphorus Cycle	47.049	CHE-1710535		114,529
Collaborative Research: The Effect of Filaments on the Gas in Galaxies	47.049	AST-1716690		88,914
Adaptive Data Assimilation for Nonlinear, Non-Gaussian, and High-Dimensional Combustion Problems on Supercomputers	47.049	DMS1723066		23,749
Dynamic elements: effects of co-solvents on peptide folding pathways	47.049	CHE-1807852		193,066
Design of oligozulene-based organometallics for probing new paradigms in charge delocalization, transport, and storage at the nanoscopic scale	47.049	CHE-1808120		56,731
CAREER: New frontiers for Frobenius, singularity theory, differential operators, and local cohomology	47.049	DMS-1945611		16,155
Removing the Barriers to the Calculation of Activation Energies, Activation Volumes, and Mechanistic Insight for Chemical Dynamics	47.049	CHE-1800559		157,818
Synthesis via Decarboxylative Activation	47.049	CHE-1800147		133,457
Understanding the restructuring of model metal catalysts in reactant gases	47.049	CHE1800577		14,621
Stochastic Analysis and Asymptotic Problems	47.049	DMS-1811181		109,811
Collaborative Research: Extreme Starbursts and Outflows: The Formation of Massive Compact Galaxies	47.049	AST-1814159		8,080
Novel Computational Mathematics for Aperiodic Multilayers	47.049	DMS-1819220		40,122
Geometric and Electronic Structure Contributions to Bond-breaking and Bond-making Reactions of Mid-valent Manganese-Oxygen Complexes	47.049	CHE-1900384		63,587
Collaborative Research: The Chemistry of Riboflavin Biosynthesis	47.049	CHE-1904494		12,806
Broadband Two-Photon Absorption Spectroscopy for High-Repetition Rate Lasers	47.049	CHE-1905334		168,811
Collaborative Research: Beyond the Bulk Flow: Developing More Powerful Analysis Methods to Test Consistency of Large-scale Flows with the Standard Cosmological Model	47.049	AST-1907404		6,778
A study of hypersurfaces in general position inspired by Frobenius	47.049	DMS-1902321		15,940
Dynamics and stability of nonlinear waves	47.049	DMS-1908626		24,072
Particle Physics at the Energy Frontier with the CMS Experiment	47.049	PHY-1913886		119,246
Engineering interfaces for high-performance oxide superconductor nanocomposite films	47.049	DMR-1909292		92,226
Graduate Research Workshop in Combinatorics 2019	47.049	DMS-1923238		15,770
CAREER: Probing the High Energy Frontier with the CMS Experiment	47.049	PHY-1945038		445
RAPID: COVID-19 Behavior, perception, and control across geographic and economic gradients	47.049	DMS-2028297		377
CAREER: Improving Understanding of Antarctic Glacier Dynamics Through an Interactive Numerical Flowline Model	47.050	OPP-1255488		165,447
RCN: Facilitating Indigenous Research, Science and Technology (FIRST)	47.050	PLR-1417767		52,677
Collaborative Research: Stability and Dynamics of Antarctic Marine Outlet Glaciers	47.050	PLR-1543530		47,905
Collaborative Research: Permian and Triassic Icehouse to Greenhouse Paleoenvironments and Paleobotany in the Shackleton Glacier Area, Antarctica	47.050	PLR-1443546		106,106

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
NATIONAL SCIENCE FOUNDATION (Continued)				
Collaborative Research: Experimental Investigation of Actinide Partitioning in Zircon and its Applications to Geochronology	47.050	EAR-1654637	5	19,988
INSPIRE: Forging new connections among mammalian evolution, climate change, and tectonics during the Eocene.	47.050	EAR-1543684		69,236
EarthCube Data Infrastructure: Collaborative Proposal: Development of an Integrated Data System for the Geological Field Sciences	47.050	ICER-1639734		188,059
EarthCube Data Infrastructure: Collaborative Proposal: A unified experimental-natural digital data system for analysis of rock microstructures	47.050	ICER-1639738		95,298
Collaborative Research: EAGER: The Language of the Forests: Gwich'in Seasonal Relationships to the Interior Alaska Boreal Forests	47.050	PLR-1650692		50,082
Collaborative Research: Mechanisms governing synoptic-scale, rapid cloud dissipation in subtropical marine low clouds	47.050	AGS-1656237		59,832
Collaborative Research: Topographic controls on Antarctic Ice Sheet grounding line behavior - integrating models and observations	47.050	OPP-1745055		26,466
Collaborative Research: Filling in the Central Himalayan Seismic Gap: A Structural, Neotectonic, and Paleoseismic Investigation of the Western Nepal Fault System	47.050	EAR-1827866		101,650
RAISE-SitS: Designing models to forecast how biogeochemical fluctuations in soil systems govern soil development, terrestrial water storage and ecosystem nutrient fluxes.	47.050	EAR-1841614		66,080
CAREER: UAS-Based Radar Suite for Sounding and Mapping Glaciers	47.050	OPP-1848210		139,493
TESTING MODELS OF CALCITE MICROCRYSTAL DIAGENESIS TO PREDICT MICROPOROSITY DISTRIBUTION IN LIMESTONES	47.050	EAR-1916642		54,935
Collaborative Research: Time of Transformation: integrating the dynamic geologic, climatic and biotic systems of North America during the Early to Late Cretaceous transition	47.050	EAR-1925942		1,004
Collaborative Research: What Created the Southern Tibetan Plateau Drainage Divide? Integrated Tectonic and Geomorphic Investigation of the Gangdese Range and Yarlung River	47.050	EAR-1917706		5,809
EarthCube Data Capabilities: Collaborative Proposal: Broaden in Community Use and Adoption of StraboSpot	47.050	ICER-1928389		36,039
CAREER: Continental Paleoenvironmental Responses to Carbon Cycle Perturbations During the mid-Cretaceous Greenhouse	47.050	EAR-1941017		108,294
CAREER: Filling the Gaps in Domain-Specific Functional-Based Solutions High-Performance Execution	47.070	CCF-1350901		37,917
NeTS: Medium: Collaborative Research: Digital Subcarrier Multiplexed Networks: From the Core to the Access	47.070	CNS-1409853		69,924
SBE TWC: Small: Collaborative Research: Privacy Protection in Social Networks: Bridging the Gap Between User Perception and Privacy Enforcement	47.070	CNS-1422206		28,665
SHF: Small: Collaborative Research: Explore, Understand, and Build a New Profiling Framework for Managed Language Virtual Machines	47.070	CCF-1619140		77,339
CSR: Small: The Deterministic Memory Approach for Predictable and High Performance Cyber Physical Systems	47.070	CNS-1718880		66,624
AF: Small: Collaborative Research: A Robust Framework for Overcoming the Tangled Mesh Problem	47.070	CCF-1717894		72,517
EAGER: Digital Inequalities in the Heartland: Exploring the Information Security Experiences of Marginalized Internet Users	47.070	CNS-1742815		24,294
CDS&E: Collaborative Research: A Computational Framework for Reconstructing and Visualizing Myocardial Active Stresses	47.070	OAC-1808553		80,437
CSR: Small: Collaborative Research: Real-Time Computing Infrastructure for Integrated CPU-GPU SoC Platforms	47.070	Agreement		66,706
AF: Small: Collaborative Research: Effective numerical algorithms and software for nonlinear eigenvalue problems	47.070	CCF-1812927		24,881
Collaborative Research: Intelligent Solutions for Navigating Big Data from the Arctic and Antarctic	47.070	IIS-1838236		118,648
CRII: SaTC: Creating and Managing Structurally-Morphing IT Systems Moving Targets	47.070	CNS-1850406		49,176
Planning IUCRC University of Kansas: Center for High-Assurance Secure Systems and IoT (CHASSI)	47.070	CNS-1916732		3,186
EAGER: SaTC: Early-Stage Interdisciplinary Collaboration: A Sociotechnical Metrics Framework for Network and Security Operations Centers	47.070	CNS-1915824		56,327
Collaborative Research: CSL-MultiAD: Assessing Collaborative STEM Learning through Rich Information Flow based on Multi-Sensor Audio Diarization	47.070	IIS-1918012		21,485
SaTC: CORE: Small: Digital Homelessness in the Heartland: Safeguarding and Enhancing the Experiences of Public Internet Users	47.070	CNS-1946180		23,077
CAREER: Integrating phylogenetics and development to investigate character evolution in hydrozoans	47.074	DEB-0953571		(28)
Delineating the roles of rising CO2 and temperature on flowering time across pre-industrial through future conditions	47.074	IOS-1457236		81,280
Collaborative Research: Discovery and analysis in the cradle of speciation theory: biotic surveys of Melanesia's terrestrial vertebrates	47.074	DEB-1557053		106,040
Collaborative Research: Automated and community-driven synthesis of the tree of life	47.074	DEB-1208393		1,511

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>NATIONAL SCIENCE FOUNDATION (Continued)</u>				
Integrating Fossil Data into Likelihood-based Phylogenetic Analyses with Trilobites as a Model System	47.074	DEB-1256993	5	16,379
Collaborative Research: Unique structural proteins and cross-linking reactions that control physical properties of insect exoskeletons	47.074	IOS-1258027		142
CAREER: Teaching Modern Biodiversity Science from Fieldwork to Phylogeny: Diversity, Systematics, & Evolution of Ecologically Promiscuous Aquatic Beetles	47.074	DEB-1453452		104,780
ICOB: Molecular and morphological characterization of polar capsules in the parasitic Myxozoa	47.074	IOS-1321759		39,571
Digitization TCN: Collaborative Research: Fossil Insect Collaborative: A Deep-Time Approach to Studying Diversification and Response to Environmental Change	47.074	EF-1304957		880
IOS Preliminary Proposal: COLLABORATIVE RESEARCH: Genetics and development of parallel pollination system evolution in Penstemon	47.074	IOS-1555418		83,055
Collaborative Research: Fire-Fungal-Plant Feedbacks in Pyrogenic Ecosystems	47.074	DEB-1557000		50,205
Collaborative Research: Interactive Effects of Exogenous and Endogenous Spatial Heterogeneity on Plant Diversity	47.074	DEB-1456976		4,655
Evolutionary dynamics of collateral gene silencing by piRNA	47.074	MCB-1413532		4,923
Constraints on the evolution of chromosome dosage compensation: a test in butterflies and moths	47.074	DEB-1457758		1,785
Bridging observational, experimental and genomic insights on species and speciation through comparative analyses in a new vertebrate model systems	47.074	DEB-1457774		84,200
Collaborative Research: Hierarchical Functioning of River Macrosystems in Temperate Steppes - From Continental to Hydrogeomorphic Patch Scales	47.074	EF1442595		317,688
Collaborative Research: Developing novel methods for estimating coevolutionary processes using tapeworms and their shark and ray hosts	47.074	DEB-1457776		48,557
Collaborative Research: beta-catenin regulation during asymmetric stem cell divisions	47.074	IOS-1456538		(1,037)
Dissertation Research: Testing the Hypothesis of Ecological Speciation in Malaysia's Karst Geckos	47.074	DEB-1702036		1
DIMENSIONS: COLLABORATIVE RESEARCH: The evolution of pollination syndrome diversity in Penstemon	47.074	DEB-1542402		138,776
ABI Sustaining: Supporting Biological Collections Computing with Specify	47.074	DBI-1565098		207
doseR: a novel linear modeling framework for dosage compensation analysis	47.074	DBI-1661454		147,698
Bilateral BBSRC-NSF/BIO: ABI Innovation: Modeling protein interactions to interpret genetic variation	47.074	DBI-1565107		87,438
DISSERTATION RESEARCH: Assessing multi-scale drivers of pollinator assembly and plant-pollinator network architecture in the context of prairie restoration	47.074	DEB-1600525		4,508
Digitization TCN: Collaborative Research: The Cretaceous World: Digitizing Fossils to Reconstruct Evolving Ecosystems in the Western Interior Seaway	47.074	DBI-1602067		109,500
Can improving predictions of soil oxygen dynamics increase understanding of greenhouse gas hotspots and hot moments?	47.074	DEB-1613325		2,744
Investigating novel functions of septate junction proteins during morphogenesis in Drosophila	47.074	IOS-1656835		136,515
Dimensions US-China: Collaborative Research: Microbe eco-evolutionary feedbacks as drivers of plant coexistence, diversity gradients, and overyielding	47.074	DEB-1738041		372,386
Collaborative Research: Ecological Dynamics of the Plant-Arbuscular Mycorrhizal Fungal Mutualism: Contribution to Plant Species Turnover and Coexistence	47.074	DEB-1556664		60,764
RAPID: Decline and Resilience of White Ash Populations during an Emerald Ash Borer Invasion	47.074	IOS-1644618		999
LTREB Renewal: Long-term studies of secondary succession and community assembly in the prairie-forest ecotone of eastern Kansas	47.074	DEB-1655500		61,158
Collaborative Research: Phylogenetic Systematics and the Evolution of Reproductive Innovation in an Adaptive Radiation of Limnonectes Fanged Frogs	47.074	DEB-1654388		63,869
DISSERTATION RESEARCH: Determining anucleated sperm function in Lepidoptera	47.074	DEB-1701931		2,191
Collaborative Research: Digitization TCN: oVert: Open Exploration of Vertebrate Diversity in 3D	47.074	DBI-1701932		12,654
Collaborative Research: ABI Development: Cultivating a sustainable Open Tree of Life	47.074	DBI-1759838		145,708
SG: Collaborative Research: Measuring intra-locus sexual conflict across the genome in a dioecious plant	47.074	DEB-1753630		32,612
Bilateral BBSRC-NSF/BIO: CIBR: Structural modeling of interactome to assess phenotypic effects of genetic variation	47.074	DBI-1917263		165,351
Collaborative Research: Cestode phylogeny and genomics: A spine for the spineless, gutless worms	47.074	DEB-1921411		9,551
Collaborative Research: SG: Clonality and the scope for adaptation in heterogeneous environments	47.074	DEB-1923495		6,472
Collaborative Proposal: MRA: Teleconnections Among Great Plains NEON Sites by Wind and Wing	47.074	DEB-1926596		13,413
CIBR: Collaborative Research: Integrating data communities with BiotaPhy: a computational platform for data-intensive biodiversity research and training	47.074	DBI-1930005		189,864

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
NATIONAL SCIENCE FOUNDATION (Continued)				
Chromosomal inversions and gene expression in Mimulus	47.074	MCB-1940785	5	7,908
COLLABORATIVE RESEARCH: LTREB RENEWAL: The role of ecological heterogeneity in a long-term grassland restoration experiment	47.074	DEB-1922915		43,653
Workshop: Modern methods in microscopy: Elucidating the physical biology of the cell, Summers - 2020 and 2021; Lawrence, Kansas	47.074	MCB-2001870		31,922
BBSRC-NSF/BIO: A holistic approach to understand drought adaptation in plants, their symbionts, and free-living microbiomes	47.074	IOS-2016351		457
The Acquisition of Northern Pame [pmq] (Otomanguean)	47.075	BCS-1360874		19,701
Kansas City Research Data Center	47.075	SES-1359527		7,140
Systematic Study of Group-Based Legal Mobilization	47.075	SES1535673		1,000
Understanding Gender Differences in STEM Academic Careers	47.075	SES1538797		75,874
CeMENT as a Networking Experiment	47.075	SES-1547054		2,508
A Semantic Grammar of Kiowa - kio	47.075	BCS-1664431		12,740
Doctoral Dissertation Research: Environmental Risk Versus Economic Prosperity: Climate Change Denial and the Politics of Coastal Restoration in Southern Louisiana	47.075	SES-1703120		2,567
Doctoral Dissertation Research: An ERP Investigation of Individual Differences in the Processing of Wh-Dependencies by Native and Non-Native Speakers.	47.075	BCS-1728019		2,968
Modeling Neural Processes as Analog Computations	47.075	SES-1754974		663
Examining Native Language Variability and its Effects on Second Language Processing: An Event-Related Potentials Investigation of Referential Dependencies	47.075	Agreement		91,335
Doctoral Dissertation Research: Broken Promises of Higher Education: Why Has the Meritocratic Power of Advanced Degrees Declined?	47.075	Agreement		3,775
Neural Mechanisms for Phonological Alternation with High and Low Productivity	47.075	BCS-1826547		117,875
The Genetic History of the Aleut People	47.075	BCS-1849338		71,107
Collaborative Research: Comparing Single - vs. Double-Blind Review of Scientific Abstracts for Accuracy and Bias	47.075	SES-1824259		24,345
Doctoral Dissertation Research: Examining the linguistic cues that guide prediction in the processing of Mandarin relative clauses: An ERP study	47.075	Agreement		3,710
Collaborative Research: The Effect of State Disinvestment in Higher Education on Research Quality and Returns to Scale in Science Funding	47.075	SMA-1854849		22,712
Doctoral Dissertation Research: Lifestyle Migrants and the Economics of Integration in Caribbean Costa Rica	47.075	1904244		3,974
Doctoral Dissertation Research: Lexical Acoustics	47.075	BCS-1918404		4,504
Doctoral Dissertation Research: Do farmers know better? Exploring the politics of on-farm innovation, environmental change, and rural livelihoods in the US hop-growing industry	47.075	SES-1946941		750
Deep Roots: Wide-Spread implementation of community-driven evidence-based Pedagogy	47.076	DUE-1525775		209,604
NSF0072356 - Graduate Research Fellowship Program	47.076	DGE-1540502		359,333
CyberCorps: New Scholarships for Service (SFS) Program at the University of Kansas - Jayhawk SFS	47.076	DGE-1565570		459,220
Collaborative Research: Transforming the Evaluation of Teaching: A Study of Institutional Change to Advance STEM Undergraduate Education	47.076	DUE-1726087		132,200
Collaborative Research: Technology Education for Women in Transition: Broadening Participation Through Innovations	47.076	DRL-1907002		161,791
CANSec: The Central Area Networking and Security Workshop	47.076	DGE-1842678		5,404
Collaborative Research: Cool Science: Art as a Vehicle for Intergenerational Learning	47.076	DRL-1906810		86,635
NRT-HDR: The Internet of Catalysis - Harnessing Data Science for Catalyst Design	47.076	DGE-1922649		195,724
Collaborative Research: 2014-2017 Development of the Askaryan Radio Array Ultra-high Energy Neutrino Detector at the South Pole	47.078	PHY-1404289		23
Collaborative Research: People, landscape and narratives in time -Birnik and the emergence of Inupiaq culture in northwestern Alaska	47.078	PLR-1732344		10,890
Phase VI: Climate Change and Energy: Basic Science, Impacts, and Mitigation	47.079	EPS-0903806		(1,614)
RII Track-2 FEC: Catalysis for Renewables: Applications, Fundamentals and Technologies (CRAFT)	47.079	OIA-1539105		60,725
RII Track-1: Microbiomes of Aquatic, Plant and Soil Systems (MAPS) mediating sustainability: An observational and experimental network across Kansas	47.083	OIA-1656006		3,891,006
RII Track-2 FEC: Improving Water Management, Treatment and Recovery in Oil and Gas Production	47.083	OIA-1632892		1,030,412
RII Track-4: Pore-Scale Transport Phenomena in Li-O2 Battery Electrodes Characterized by Nano-Tomography	47.083	OIA1833048		47,903
RII Track-4: Pulse Radiolysis Studies of H2 Generation by [Cp*Rh] Complexes to Characterize Design Rules for Improved Catalysts	47.083	OIA-1833087		51,442
RII Track-2 FEC: Marshalling Diverse Big Data Streams to Understand Risk of Tick-borne Diseases in the Great Plains	47.083	1920946		137,447

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>NATIONAL SCIENCE FOUNDATION (Continued)</u>				
<u>Pass through AMERICAN PHYSICAL SOCIETY</u>				
APS Conference for Undergraduate Women in Physics II	47.049	CWC-021	\$	(13,108)
PhysTEC: Building a Solution to the National Physics Teacher Shortage	47.049	PT-002-2019	PHY-1707990	39,225
<u>Pass through AVIUM LLC</u>				
Dual-pH Water Splitting Device Comprising Earth-Abundant Electrocatalysts	47.041	21250		14,885
<u>Pass through BATTELLE MEMORIAL INSTITUTE</u>				
Reaeration and Dissolved Gas Laboratory Analysis	47.074	597225		843
Mosquito Taxonomic Identification	47.074	US001-0000598396		3,661
Reaeration Analyses: SF6, Chloride, Bromide	47.074	US001-0000731738		101,119
Mosquito Taxonomic Identification	47.000	US001-0000732907	NEON Cooperative Agreement	86,460
Dissolved Gas Analyses: CH4, CO2, N2O	47.000	US001-0000732763	NEON Cooperative Agreement	38,020
<u>Pass through CASE WESTERN RESERVE UNIVERSITY</u>				
RI: Medium: Active Sensing, Localization and Mapping in Dynamic Deformable Environments for Image-Guided Interventions	47.070	RE5510815	IIS-1563805	51,188
<u>Pass through CAST, INC.</u>				
Accelerating Higher Order Thinking and STEM Content Learning Among Students w/Disabilities	47.076	UK090118-21	DRL-1813556	143,803
<u>Pass through COLORADO SCHOOL OF MINES</u>				
CZ RCN: Building capacity to deepen the critical zone: expanding boundaries and exploring gradients through data-model synergy	47.050	401574-5801	EAR-1904527	2,023
<u>Pass through COLUMBIA UNIVERSITY</u>				
Collaborative Research: IEDA 2016-2021: Operation of a Multi-Disciplinary Data Facility for the Earth Science Community	47.050	3(GG013108-01)	OCE-1636653	153,073
IEDA 2016-2021: Operation of a Multi-Disciplinary Data Facility for the Earth Science Community	47.050	3B(GG013106-07)	OCE-1636653	56,763
<u>Pass through CORNELL UNIVERSITY</u>				
U.S. CMS Upgrades for the HL-LHC	47.049	79433-20679	PHY-1946735	880
<u>Pass through DUKE UNIVERSITY</u>				
Human and Natural Forcings of Critical Zone Dynamics and Evolution at the Calhoun Critical Zone Observatory	47.050	14-NSF-1078	EAR-1331846	62,148
<u>Pass through HISTORY COLORADO</u>				
A Study in the Integration of Western Knowledge and Native American Knowledge Bases	47.076	Agreement		6,136
<u>Pass through INDIANA UNIVERSITY</u>				
CIF21 DIBBS: Middleware and High Performance Analytics Libraries for Scalable Data Science	47.070	BL-4848800-UK	ACI-1443054	63,958
<u>Pass through JOHNSON COUNTY COMMUNITY COLLEGE</u>				
Johnson County Community College STEM Scholarship Project	47.076	19228	DUE-1564432	3,370
<u>Pass through KANSAS STATE UNIVERSITY</u>				
RAPID: Are Biogeochemical Responses Linked to the Microbial Composition of a Defined Nutrient and Microbial Input to a Large River	47.074	518127	DEB-1822960	1,959
Processes Influencing Community Assembly During Tallgrass Prairie Restoration	47.074	A00-0071-S008-A01	DEB-144084	3,695
<u>Pass through KANSAS STATE UNIVERSITY SPA</u>				
Konza Prairie LTER: Grassland Dynamics and Long-Term Trajectories of Change	47.074	S15103.04	DEB-1440484	13,529
Konza Prairie LTER: Long Term Research on Grassland Dynamics and Global Change	47.074	S15099.02	DEB-1440484	9,768
<u>Pass through LOUISIANA STATE UNIVERSITY</u>				
Protein interactions regulate iron storage and utilization in bacteria	47.074	PO-0000065804	MCB-1837877	4,485
<u>Pass through NATIONAL ECOLOGICAL OBSERVATORY NETWORK</u>				
Contract Bid for NEON, Inc. RFP-0256-AQU Reaeration and Dissolved Gas Laboratory Analysis	47.074	1010-0345-000		1,888
<u>Pass through NEW YORK UNIVERSITY</u>				
Melting at Thwaites grounding zone and its control on sea level (THWAITES-MELT)	47.050	F0691-02	OPP-1739003	41,484
<u>Pass through NORTHERN ARIZONA UNIVERSITY</u>				
CNH-L: Scale-dependent feedbacks among protected areas and surrounding socio-ecological systems	47.074	1003088-01	DEB-1617309	12,270
<u>Pass through OKLAHOMA STATE UNIVERSITY</u>				
Digitization TCN: Collaborative Research: Earth and sky: digitizing the vascular flora of the south-central United States	47.074	1-578050-KU	D8I-1902085	44,801

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>NATIONAL SCIENCE FOUNDATION (Continued)</u>				
<u>Pass through PENNSYLVANIA STATE UNIVERSITY</u>				
NSFPLR-NERC: Ground Geophysics Survey of Thwaites Glacier	47.050	5860-UKCR-NSF-8934	OPP-1738934	\$ 99,476
<u>Pass through PRINCETON UNIVERSITY</u>				
U.S. CMS Operations at the Large Hadron Collider	47.049	SUB0000197		78,140
<u>Pass through SAINT CLOUD STATE UNIVERSITY</u>				
Collaborative Research: Diversification in the Deep-Sea and the Evolution of Fangs, Bioluminescence, Hermaphroditism, and Marine Habitat Transitions	47.074	149584	DEB-1543654	(673)
<u>Pass through SRI INTERNATIONAL</u>				
Scientific Productivity Data of SDR Sample through Linkage: Expanded Manual Validation	47.000	PO20663	NSFDACS16C1234	40,960
<u>Pass through UNIVERSITY OF CALIFORNIA - SAN DIEGO</u>				
PRAGMA - Enabling Scientific Expeditions and Infrastructure Experimentation for Pacific Rim Institutions and Researchers	47.080	59858222	OCI-1234983	17,360
<u>Pass through UNIVERSITY OF NEW MEXICO</u>				
DataNetONE: Observation Network for Earth	47.070	063045-87L3	ACI-1430508	126,473
<u>Pass through UNIVERSITY OF NOTRE DAME</u>				
A QuarkNet Site at the University of Kansas: Engaging High School Physics Teachers in Particle Physics Research	47.049	Agreement	PHY-1806631	(100)
QuarkNet center at the University of Kansas	47.049	Agreement	PHY-1806631	600
<u>Pass through WRIGHT STATE UNIVERSITY</u>				
Processing of Optimally-constructed, Non-contiguous Radar Transmission Spectra	47.041	669871-3		31,551
<u>DEPARTMENT OF ENERGY</u>				
<u>Direct Award</u>				
Understanding of Catalysis on Early Transition Metal Oxide-based Catalysts through Exploration of Surface Structure and Chemistry during Catalysis Using In-situ Approaches	81.049	DE-SC0014561		70,360
Mechanistic Studies to Enable Aerobic Oxidation of C-H Bonds by Manganese Catalysts	81.049	DE-SC0016359		159,877
Scrutinizing entrainment and mass flux closures in shallow cumulus parameterizations using cloud-radar observations and large-eddy simulation	81.049	DE-SC0016522		124,135
Study of quasi-collisional effects in laboratory and astrophysical plasmas	81.049	DE-SC0016368		80,583
Searches for New Physics in Standard Model Processes	81.049	DE-SC0017988		38,499
Probing Small-x QCD Dynamics With Hadronic Collisions	81.049	DE-SC0019389		195,547
Molecular to Mesoscale Targeting of Oxocations with Multi-Tasking Hosts	81.049	DE-SC0018629		116,630
Uranyl Capture and Activation with Lewis Acids and Macrocyclic Hosts	81.049	DE-SC0019169		164,672
Searching for the Nature of Dark Matter and Dark Energy	81.049	DE-SC0019474		238,876
Ab Initio Machine Learning Algorithms for Modeling Kinetics on Amorphous Catalysts	81.049	DE-SC0019488		304,551
Atomic and Molecular Physics in Strong Fields	81.049	DE-FG02-04ER15504		6,846
Research in Heavy-Ion Nuclear Physics at CMS	81.049	DE-FG02-96ER40981		470,381
Stationary Direct Methanol Fuel Cells Using Pure Methanol	81.087	DE-FE0008440		268,625
Integrated CCS for Kansas (ICKan)	81.089	DE-FE0029474		67,509
A NOVEL SMART MICROCHIP PROPPANTS TECHNOLOGY FOR PRECISION DIAGNOSTICS OF HYDRAULIC FRACTURE NETWORKS	81.089	DE-FE0031784		52,149
<u>Pass through BATTELLE MEMORIAL INSTITUTE</u>				
Carbon Storage Assurance Facility Enterprise (CarbonSAFE)	81.089	US001-0000725904	DE-FE0031623	615,636
<u>Pass through FERMI NATIONAL ACCELERATOR LABORATORY</u>				
Travel Support for KU for CMS ETL project	81.000	659418		6,296
<u>Pass through HONEYWELL</u>				
MASTER AGREEMENT	81.000	Agreement	DE-NA0002839	790,557
Miniaturization and Repacking of Microwave Components for Ultra-Wideband Radar Applications	81.000	N000259702		67,747
<u>Pass through LAWRENCE LIVERMORE NATIONAL LABORATORY</u>				
Theoretical and Algorithmic Development of Asynchronous Iterative Linear Solvers	81.000	8638709	DE-AC52-07NA27344	18,207
<u>Pass through OAK RIDGE NATIONAL LABORATORY</u>				
Ambient-pressure x-ray photoelectron spectroscopy (AP-XPS) studies	81.000	4000162561	DE-AC05-00OR22725	(271)
<u>Pass through SANDIA NATIONAL LABORATORIES</u>				
Molecular Modeling of Fluid Properties at Mineral Interfaces	81.000	2127658		26,273
<u>Pass through UNIVERSITY OF CALIFORNIA REGENTS</u>				
Konza Prairie Subcontract	81.000	7114774	DE-AC02-05CH11231	86,416

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
DEPARTMENT OF ENERGY (Continued)				
Characterizing the Variation and Covariation of Cloud Microphysical Properties and Implications for Simulation of Subgrid-scale Warm-Rain Processes in Earth System Models	81.049	OFED0010-01	DE-SC0020057	\$ 21,360
<u>Pass through UNIVERSITY OF NORTH DAKOTA</u> Experimental Study of Oil Swelling with Ethane and Propane	81.000	11203462	Plains CO2 Reduction (PCOR) Partnership	5,439
<u>Pass through UNIVERSITY OF TEXAS-AUSTIN</u> GWPC-Regional Induced Seismicity Collaborative (RISC)	81.089	UTA18-000016	DE-FE00027702	6,207
<u>Pass through VISTA CLARA, INC.</u> Dynamic NMR Logging Technologies for High-Resolution Measurement of Hydrogeologic Properties and Soil Response	81.049	20080		(195)
Dynamic NMR Logging Technologies for High-Resolution Measurement of Hydrogeologic Properties and Soil Response	81.049	21635	DE-SC0017096	41,282
DEPARTMENT OF EDUCATION				
Direct Award				
Funds for the Improvement of Postsecondary Education	84.116	P116Z990008		5,000,000
The Effects of Promoting Engaging Early Literacy Interactions in Preschool Environments: Literacy 3D	84.305	R305A170241		821,915
Implementing Comprehensive, Integrated, Three-tiered Models to Meet Students' Academic, Behavior, and Social Needs: A Researcher-Practitioner Partnership	84.305	R305H150018-16		(1)
Effects of Implicit Bias on Children's Early Outcomes	84.305	R305A190199		188,721
AspirePlus: A Researcher-Practitioner Partnership to Promote Self-Determination and More Positive Student Outcomes	84.305	R305H190017 Act 1		65,153
The effects of online decision making support for home visitors using an RTI approach to promoting the language development of at-risk infants and toddlers	84.324	R324A120365 - 15		461
Middle School Class-wide Function-related Intervention Teams (MS CW-FIT): Improving Academic Engagement and Outcomes for Middle School Students	84.324	R324A160279		412,680
MTSS and Self-Determination: Examining the Impact of Tier 1 Supports to Promote Self-Determination and Academic Outcomes	84.324	R324A170008		1,090,616
Professional Development to Support Teachers' Implementation of a Tiered Model for Promoting Social Development of Infants and Toddlers	84.324	R324A170118		382,007
Validation of Cognitive Problem-Solving and Movement Infant-Toddler IGDIs for Screening and General Outcome Progress Monitoring	84.324	R324A150166-17		424,640
Measuring Early Communication Development in Children with ASD	84.324	R324A160072		363,027
Promoting Positive Transition Outcomes for Secondary Students with Intellectual Disability: A Research Institution-SEA Partnership in Rhode Island	84.324	R324L160002		9,902
Development of a Data-based Decision Making System to Support Educators' Promotion of Infants and Toddlers' Cognitive Problem-Solving Skills	84.324	R324A170141 - 19		233,303
Validity Studies of the Classroom Code for Interactive Recording of Children's Learning Environments (CIRCLE) (Version 2.0): A Preschool Eco-Behavioral Interaction Measure for Intervention Decision Making	84.324	R324A170048		231,028
Factors Contributing to Academic, Social/Communication, and Behavioral Outcomes for Elementary Students with the Most Significant Cognitive Disabilities	84.324	R324A180024		554,533
Promoting Teacher Use of the Supports Intensity Scale-Children's Version to Engage in Supports Planning to Enhance Access to the General Education Curriculum for Children with Intellectual Disability	84.324	R324A180034 - 19		268,576
Project DataWall: A Decision Support System for MTSS	84.324	R324A190054		178,174
Promoting Self-Determination for Students with Disabilities: A Goal-Setting Challenge App	84.324	R324A180012 - 19		602,671
Possible Selves and Self-Determination: Improving Transition Outcomes for High School Students with Learning Disabilities	84.324	R324A190011		377,872
Project SCREEN: Validation of a Free-Access Screening Tool for K-12 Educators to Screen Students with Internalizing and Externalizing Behavior Patterns	84.324	R324A190013		230,756
Enhancing G3T: Building Professional Capacity for High Fidelity Implementation to Support Students' Educational Outcomes (Project ENHANCE)	84.324	R324N190002		510,951
Promoting ASAP Collaboration through Technology (PACT): An Intervention Modification to Enhance Home-School Collaboration	84.324	R324A170151 - 19		280,102
SE Model Professional Development in Science Education for Special Educators (SE-SESE)	84.324	R324A18202		311,364
Professional Development to Support Intervention Implementation of the Promoting Communication Tools for Advancing Language in Kids (PC TALK) for Infants and Toddlers at Risk for or with Disabilities	84.324	R324A190223		155,165
KU ACCESS: Leadership in Access, College, Career, and Extensive and Significant Supports for Secondary Students with Severe Disabilities	84.325	H325D140031-17		210,011
Preparation of Special Education, Early Intervention, and Related Services Leadership Personnel	84.325	H325D160080-17		261,588
Strengthening Outcomes for All Learners in Inclusive Settings (SOARS)	84.325	H325K160141		282,835

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF EDUCATION (Continued)</u>				
The Schoolwide Integrated Framework For Transformation Center (SWIFT)	84.326	H326Y120005-16		\$ 5,060
Shared Writing Instructional Model(SWIM) for Students with Intellectual Disabilities	84.326	H326M180010		467,650
Stepping Up: Sustainable Implementation of Innovations for Student Achievement (SIISA)	84.327	H327S120019 - 16		(340)
Making It Happen: Stepping Up Implementation of IGD1 Technology to Improve Data-based Decision Making for Infants and Toddlers with or at-risk for Disabilities	84.327	H327S140024 - 17		305,109
Stepping Up Technology Enabled Self-Monitoring For High School Students with Disabilities	84.327	H327S170001		464,385
Virtual reality Opportunities to Integrate Social Skills (VOISS)	84.327	H327S180006		448,334
KU Transition to Postsecondary Education for Youth with ID	84.407	P407A150017-16		285,436
Supporting High-Needs Elementary Students with the CW-FIT Program: Building for Scale and Sustainability	84.411	U411B190025		224,872
<u>Pass through BELTON SCHOOL DISTRICT USD 124</u>				
Evaluation of the TEAM science teacher professional development program	84.366	19505		(196)
<u>Pass through CAST, INC.</u>				
CORGI 2020: Scaling Models for the Classrooms of Tomorrow	84.327	KUCR110119-24	H327S190008	14,561
<u>Pass through DONNELLY COLLEGE</u>				
Evaluation of the Donnelly College MSEIP Program	84.120	20418	P120A170117	5,207
<u>Pass through KANSAS DEPARTMENT OF EDUCATION</u>				
Scaling-Up KSDE TASN Evaluation Proposal	84.027	652-15-1860		540,268
Kansas SPDG Evaluation	84.323	652-18-1939	SPDG Evaluation	128,922
Use of Learning Maps as an Organizing Structure for Formative Assessment	84.368	652-16-1887	S368A150013	490,172
<u>Pass through MARYLAND STATE DEPARTMENT OF EDUCATION</u>				
Innovations in Science Map, Assessment, and Report Technologies (I-SMART)	84.368	190496/201566	S368A170009	1,036,024
<u>Pass through METROPOLITAN NASHVILLE PUBLIC SCHOOLS</u>				
GEAR UP Nashville Project	84.334	2-00530-01	GEAR UP	188,281
<u>Pass through PURDUE UNIVERSITY</u>				
Para-Impact: Professional Development with Teacher-as-Coach for Paraeducators of Elementary Students with Moderate-to-Severe Developmental Disabilities	84.324	19100063-004	R324A180186	154,000
<u>Pass through SAN FRANCISCO STATE UNIVERSITY</u>				
Implementing an Emergent Literacy Curriculum for Students with Intellectual Disabilities in General Education Classrooms	84.324	S15-0002	R324A150021	29,140
<u>Pass through UNIVERSITY OF MISSOURI - COLUMBIA</u>				
Evaluating the Efficacy of a Daily Check-in/Check-out Intervention for Students At-Risk for Emotional and Behavioral Disorders	84.324	C00064320-2	R324A190046	31,608
<u>Pass through UNIVERSITY OF OREGON</u>				
Technical Assistance Center on Positive Behavioral Interventions and Supports V	84.326	282070C	H326S180001	24,189
<u>Pass through UNIVERSITY OF TEXAS-AUSTIN</u>				
Center for Postsecondary Outcomes for Deaf Individuals	84.326D	UTA16-001045	H326D160001	98,887
<u>Pass through UNIVERSITY OF UTAH</u>				
Project ASPIRE: Achieving Success in Promoting Readiness for Education and Employment	84.418	10033712	H418P130009	17,251
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES</u>				
<u>Direct Award</u>				
Kansas Serves Substance Affected Families	93.087	90CU0077-05-00		219,674
Kansas Serves Native American Families - KSNAF	93.087	90CU0079		559,186
The Heartland Sexual Assault Policies & Prevention on Campuses Project	93.088	6 ASTWH160042-02-01		61,750
Bridging the Word Gap Research Network	93.110	5 UA6MC27762-06-00		298,676
Toxicogenomics of metal response in genetically-variable Drosophil populations	93.113	1R01ES029922-01		169,716
Peptide-Polymer Engineering Dentin/Adhesive Interfacial Bond Integrity	93.121	R01DE025476		193,129
Training Researchers in Language Impairments	93.173	5T32DC000052-22		175,686
Interactive book reading to accelerate word learning by children with SLI	93.173	R01DC012824		270,209
Morphosyntactic Abilities of SLI Probands	93.173	5R01DC001803-24		552,831
A virtual vocal tract for speech output using non-invasive brain-computer interface	93.173	1R01DC016343-02		181,652
Genetic studies of specific language impairment (SLI) using consanguineous families	93.173	1R21DC017830-01A1		19,966
Kansas Program to Improve the Health of People with Mobility Limitations and Intellectual Disabilities	93.184	NU27DD000006		357,223

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
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Federal Grantor/Program Title	CFDA Number	Identifying Number	Passthrough Identifying Number	Amount
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
Trauma exposure, emotion regulation and cognitive skills in early childhood: Prospective and longitudinal examination of the mechanisms of adjustment	93.242	5R01MH079252-07	5	685,277
Motor abnormalities and functional brain mechanisms in autism spectrum disorder	93.242	R01MH112734		702,772
Ecological Momentary Assessment of Unhealthy Exercise and Affect in Eating Disorders	93.242	R36MH120943		1,173
Campus Suicide Prevention at the University of Kansas	93.243	6U795M062485-03M001		35,027
A cluster-randomized trial of a behavioral activation intervention administered in a college freshman orientation course	93.273	R01AA027781		226,742
Investigation of Neoclerodanes as Novel Opioid Ligands	93.279	5R01DA018151-14		(186)
Evaluation of Physicochemical Properties Imparted by Fluorinated Peptidomim	93.279	4R33DA036730-03		67,671
DEVELOPMENT OF SMOKING CESSATION INTERVENTIONS INFORMED BY TEMPORAL DISCOUNTING	93.279	7K02DA034767-07		59,511
Microfluidic Integrative Circulating miRNA Profiling for Cancer Diagnosis	93.286	1R21EB024101-01		163,492
Biotechnology Resource Center of Biomolecular Multi scale Systems CBM2 for Precision Molecular Diagnostics	93.286	P41EB020594-06		1,364,910
Scanning Resonator Microscopy	93.286	1R03EB07357-01A1		28,444
Integrated Digital Microfluidic Platforms for Next-Generation Glycomics	93.310	1R21CA207816-02		76,570
Comprehensive analysis of human adaptive immune receptors to elucidate correlates of Epstein-Barr virus disease suppression	93.310	5DP5OD023118-03		177,780
Designed Beta-strands for inhibiting efflux pumps and disabling antibiotic resistance	93.859	1DP2GM128201-01		602,670
A resource for the Genetic Analysis of Complex Traits	93.351	5R01OD010974-10		462,110
Cognitive and Emotional Processes of Metaphorical Cancer Communications	93.393	5R01CA185378-04		5,764
O-GlcNAcylation of Ewing sarcoma proteins in chromosomal maintenance	93.393	1R03CA223949-02		55,447
Integrated exosomes profiling for minimally invasive diagnosis and monitoring of cancer	93.394	R33CA214333-01		215,908
Increased Sensitivity of Minimal Residual Disease Monitoring using Peripheral Blood in Pediatric Patients with Acute Lymphoblastic Leukemia	93.394	1R33CA235597-01A1		40,403
Nano-Engineered Lab-on-a-Chip for Assessing HuR-Regulated Exosomes for Cancer Monitoring and Targeted Therapy	93.394	R01CA243445		503,749
Molecular cancer therapy targeting HuR-ARE interaction	93.395	5R01CA191785-05		212,826
Synthetic Lethal Targeting of Growth Factor Receptors	93.395	1R01CA211720-01		225,810
I-CONNECT PLUS: Enhancing Community Participation for Adolescents and Adults with ASD using Online Instruction, Coaching, and Accessible Self-Management Technologies	93.433	90DP0058-04-00		12,898
Research and Training Center on Community Living	93.433	90RTS043-04-01		837,036
Kansas State Plan for Assistive Technology	93.464	1801KSSGAT		218,778
2019-2020: Kansas State Plan for Assistive Technology	93.464	1901KSATSG-02		205,979
Reducing Expulsion & Suspension by Coaching Early Educators (RESCUEE)	93.575	90YE0198-01-00		2,073
Implementation and Sustainability of Positive-behavior-support in Real Early-care (inSPIRE)	93.575	90YE0207-01-00		8
AOD - Supported Decision Making Across the Lifespan Planning Grant	93.631	90DNDM000301		31,240
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	90DDUC0033-03-00		551,087
KAPP: Kansas Adoption Permanency Project	93.652	90CO1120-05-02		199,172
Kansas Strong for Children and Families (Kansas Strong)	93.652	90CO1139-01-00		573,717
Behavioral Health Workforce Education and Training (BHWET) Program	93.732	1M01HP313600100		449,431
ReACT an Adaptive Mobile Health Intervention for Adolescent Asthma	93.838	1R56HL141394-01A1		367,151
Weight management in rural health clinics	93.847	5R01DK108732-04		472,393
HTS to identify small molecules to disrupt abnormal huntingtin interactions in HD	93.853	5R01NS088059-04		204,814
RAGE and mitochondrial degeneration in diabetes	93.853	R01NS089116-04		2,697
Regulation of growth cone protrusion in Netrin-mediated axon repulsion	93.853	1R56NS095682-01A1 REV		584
The role of ETR-1/CELF1, an RNA binding protein, in Neuronal Migration	93.853	1R21NS100483-02		114,139
Tools for neuronal pathway analysis at sub-second and single-cell resolution	93.853	5R21NS109659-02		181,804
Structural and functional connectivity of the social decision-making network	93.853	1R01NS113104-01		230,320
Regulation of growth cone polarity and protrusion in axon guidance	93.853	R03NS114554		29,650
NMR studies of bacterial needle and tip proteins	93.855	5R01AI074856-10		85,579
The role of peptide signaling in Enterococcus faecalis biofilm development	93.855	1R21AI117424-01A1		19,781
Assessment of serotype-independent immunity elicited by Shigella T3SS protein	93.855	5R01AI113307-04		13,874
Assembly/function of the sorting platform of the Shigella type III secretion apparatus	93.855	5R01AI123351-03		406,610
Generating Native Env Glycosylation in HIV Vaccine Candidates	93.855	5R01AI125093-02		600,362
Transposon mutagenesis for Chlamydia trachomatis	93.855	R21AI125929-02		2,239
Development of a next generation vaccine to prevent pertussis	93.855	1R21AI136525-01		70,056
Improved Informatics for Epitope Mapping by Hydrogen Exchange-Mass Spectrometry	93.855	1R21AI135701-01		123,907

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
The causes of balancing selection on immunity genes: from populations to molecular interactions.	93.855	1R01AI139154-01	\$	535,294
Vaccines to counter emerging antibiotic resistance	93.855	R01AI138970		1,241,927
Identification of CYP5122A1 inhibitors as chemical probes for Leishmania biology	93.855	1R01AI139198-01A1		641,326
Development of a broadly protective subunit vaccine against Pseudomonas aeruginosa	93.855	1R21AI140701-01		161,981
Comprehensive molecular and functional analyses of anti-HIV-1 antibody repertoires	93.855	1R21AI143407-01		151,267
Probing antigen specificity and response of autoimmune B cells in Neuromyelitis Optica	93.855	R21AI144408		267,317
Identification of small molecule probes for dissecting the roles of sorting platform components within the type III secretion system	93.855	R121AI146517		216,978
Investigating How ADP-Ribosylation Impacts Innate Immunity During Coronavirus Infection	93.855	1K22AI134993-02		141,031
Identifying functional targets of HSV-1 ICP0-directed degradation	93.855	1R21AI154302-01		501
Molecular Analysis of Disease Pathways	93.859	5P20GM103638-08 REVISED		2,001,722
Integrated Resource for Protein Recognition Studies	93.859	R01GM074255		362,680
MBR5 IMSD Program at the University of Kansas	93.859	5R25GM062232-17		85,758
Pharmaceutical Aspects of Biotechnology Training	93.859	5T327GM008359-28		57,200
Development of a rapid glycosylation profiling system using mass spectrometry data	93.859	RGM103547B		473
Protein Structure and Function	93.859	5P30GM110761-05		190,880
Chemical Biology for Infectious Disease	93.859	P20GM113117		2,426,106
Mentoring Workshop for New Faculty in Organic and Biological Chemistry	93.859	5U13GM070824-13		9,077
Training Grant in Dynamic Aspects of Chemical Biology	93.859	T32GM008545E-26		393,557
Regulation of kinetochore function by Topoisomerase II	93.859	5R01GM112793-04		1,580
Understanding the roles of PTMs in modulating molecular functions of lysyl oxidase-like 2 in breast cancer cells	93.859	5R01GM113101-04		26,131
KU Post Baccalaureate Research Education Program (PREP)	93.859	5R25GM078441-14		327,658
500 Nations Bridge Collaboration: Haskell Indian Nations University/ U of Kansas	93.859	5R25GM060182-17 REVISED		135,737
Antimicrobial peptides as models for the evolution of gene duplication	93.859	4R00GM114714-03		78,374
Fluoroalkylethers and Fluorinated Ethermimetics	93.859	5R35GM124661-03		284,608
Mechanisms of Gamma-Secretase	93.859	1R01GM122894-01A1		133,551
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	K12GM063651		506,397
Novel and essential metallophores from multidrug resistant bacterial pathogens	93.859	R01GM127655		232,802
Mass Spectrometry Measurements for Complex PTMS	93.859	1R35GM130354-01		365,251
Enhanced Sampling of G-Protein-Coupled Receptor-G Protein Interactions	93.859	1R01GM132572-01		326,028
Genetic dissection and characterization of variation in copper resistance in Drosophila melanogaster	93.859	F32GM133111		43,451
3D biomimetic lymph node engineered extracellular vesicles for understanding the heterogeneity of adaptive immunity	93.859	1R35GM133794-01		304,046
Quorum sensing evolution and function in mixed bacterial communities	93.859	5R35GM133572-02		255,961
Kansas Intellectual and Developmental Disabilities Research Center (KIDDRC)	93.865	5P30HD002528-49REV		(3,264)
The CCS: A Treatment Outcome Measure for Individuals with Severe ID	93.865	5R01HD076903-05 REV		6,900
The effects of parenting on the development and behavior of FXS adolescents	93.865	5R01HD084563-05		498,946
Label-free quantitative proteomic methods for developmental pharmacology	93.865	1R03HD089006-01		103
Kansas Intellectual and Developmental Disabilities Research Center	93.865	U54HD090216		652,092
Individual and family-based approaches to increase physical activity in adolescents with IDD	93.865	1R01HD094704-01		431,009
Behavioral Inflexibility in IDD Outcome Measurement	93.865	7R01HD082127-05		267,691
Examining Biobehavioral Mechanisms of Extreme Eating Behaviors in Young Children with ASD	93.865	F32HD101311		22,895
Young Infants' Detection of Emotion	93.865	1K99HD101500-01		29,174
Mitochondrial degrading enzyme, synaptic mitochondrial function in AD mouse model	93.866	5R01AG044793-04		45,104
Role of cyclophilin D in Abeta-induced synaptic injury	93.866	5R37AG037319-08		(9,406)
Role of Clusterin in Brain Mitochondria	93.866	1R21AG055964-01		253,606
Membrane-anchored amyloid peptides in Alzheimer's disease	93.866	R21AG052751		93,860
TOMM40-mediated mitochondrial dysfunction and Alzheimer's disease	93.866	1R01AG053041-01A1		14,558
Pink1, amyloid pathology, and mitochondrial quality control in Alzheimer's Disease	93.866	1R01RG054320-01R1		20,735
PINK1 signaling and synaptic mitochondria integrity in AD	93.866	5R21AG058985-02 REVISED		29,170
ApoE, Energy, and Synaptic V-ATPase	93.866	1R21AG059177-01		25,037

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<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)</u>				
Sporadic Alzheimer's Disease: A Bioenergetic Etiology?	93.866	1R01AG061038-01	5	327,453
RAGE, mitochondria, and tau pathology in AD	93.866	1R01AG063124-01		217,987
A Dyadic Approach for a Remote Physical Activity Intervention in Adults with Alzheimer's Disease and their Caregivers	93.866	1R01AG061187-01A1 REVISED		146,362
Synapse structural dynamics and memory loss in mouse models of Alzheimers disease	93.866	R01AG064067		293,627
Remediation of elevated delay discounting in mid-life individuals: A stage-II trial	93.866	2R01AG048904-04		510,562
Precisely removing microvessels by photo-mediated ultrasound therapy	93.867	1R01EY029489-01		617,670
Preventing Youth Violence by Addressing Social Determinants Through the KC Youth Violence Prevention Project	93.910	YEPMP170096-		502,173
Adjuvants Discovery Program	93.000	HHSN272201400056C		583,053
<u>Pass through ASSOCIATION OF UNIVERSITY CENTERS ON DISABILITIES</u>				
Act Early Ambassadors: State or Territorial Liaisons to CDCs, Learn the Signs. Act Early. Program	93.000	Agreement		3,321
<u>Pass through BIOFLUIDICA</u>				
Increased sensitivity of minimal residual disease monitoring using peripheral blood in pediatric patients with B type acute lymphoblastic leukemia (B-ALL)	93.394	21518	1R44CA224848-01A1	95,747
<u>Pass through BIOMEDICAL RESEARCH INSTITUTE OF NEW MEXICO</u>				
PTPRD ligands for stimulant and opiate use disorders	93.279	358-Uhl-2020	1U01DA047713	91,092
<u>Pass through CHAPEL HILL TRAINING OUTREACH PROJECT IN</u>				
2019 National Center for Community-Based Child Abuse Prevention	93.590	Agreement		35,221
National Center for Community-Based Child Abuse Prevention	93.590	90CZ0024		2
National Center for Community-Based Child Abuse Prevention	93.590	90CZ0024		29,741
<u>Pass through CHILDREN'S MERCY HOSPITALS & CLINICS</u>				
Adapting the Diabetes Prevention Program for a developing world context	93.837	16-0004		19,184
Trimethoprim: an overlooked contributor of trimethoprim-sulfamethoxazole idiosyncratic adverse drug reactions	93.859	18-004		6,129
<u>Pass through CLARA DIAGNOSTICS, INC.</u>				
Microfluidic Magnetic Anisotropic Array for High-throughput Isolation of Extracellular Vesicles and Exosomes	93.396	20898	1R43CA221536-01A1	152
<u>Pass through DIGITAL NANOGENETICS LLC</u>				
A novel single molecule sequencing technology for direct, label-less detection of unamplified DNA single molecules	93.172	1R43HG010551-01-Sub	1R43HG010551-01	38,409
Exonuclease time of flight for low-cost, rapid identification of methylated RNA single molecules	93.000	HHSN261201800032C-Sub		11,858
<u>Pass through DREXEL UNIVERSITY</u>				
Prevalence and Profile of Treatment Non-responders in Autism Early Intervention	93.173	800198	1R01DC017181-01A1	15,189
<u>Pass through FERMI NATIONAL ACCELERATOR LABORATORY</u>				
Probe Station for KU for CMS ETL Project	93.779	PO649765	Probe Station for KU for CMS ETL Project	2,532
<u>Pass through FUTURES WITHOUT VIOLENCE</u>				
Quality Improvement Center on Child Welfare Involved Children and Families Experiencing Domestic Violence	93.670	2191		533
A Quality Improvement Center on Domestic Violence in Child Welfare - Planning	93.670	2669	90CA1850-02-01	(533)
A Quality improvement center on domestic violence in child welfare	93.670	2839	90CA1850-03-00	128,250
A Quality Improvement center on domestic violence in child welfare	93.670	3037	90CA1850-04	151,646
<u>Pass through HAFION LLC</u>				
Determination of protective efficacy of multimeric Shigella vaccine as the next step toward human trials	93.855	1R43AI140856-01-Sub		5,027
Toward the development of a protein:non-protein macromolecular adjuvants	93.000	75N93019C00036-Sub		10,347
<u>Pass through HEALTH RESEARCH, INC.</u>				
B cell epitope discovery and mechanisms of antibody protection	93.000	4889-03		1
B cell Epitope Discovery and Mechanisms of Antibody Protection - 2018-2019	93.000	4889-05	HHSN272201400021C	137,933
Lyme Disease: B Cell Epitope Discovery and Mechanisms of Antibody Protection	93.000	6176-01	75N93019C00040	59,033
<u>Pass through INDIANA UNIV -PURDUE UNIVERSITY INDIANAPOLIS</u>				
BREATHE-OUT Burnout Reduction: Enhanced Awareness, Tools, Handouts, and Education- Organizational Understanding and Training	93.242	Agreement		3
<u>Pass through INTEGRATED BIOTHERAPEUTICS, INC.</u>				
Mining natively paired macaque antibodies for Marburg virus protective antibodies	93.855	Agreement	R43AI145480	86,895

See accompanying notes to schedule.

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)</u>				
<u>Pass through INTERNATIONAL AIDS VACCINE INITIATIVE</u>				
Antigen-Adjuvant Formulation and Characterization Studies to assess HIV-1 Envelope (Env) glycoprotein(s) and adjuvant formulations	93.855	22802		\$ 219,317
<u>Pass through KANSAS BOARD OF REGENTS</u>				
Center for Molecular Analysis of Disease Pathways (CMADP)	93.859	Agreement	5P20GM103638-08 Revised	58,351
<u>Pass through KANSAS CHILD CARE TRAINING OPPORTUNITY</u>				
Infant-Toddler Specialist Network: KCCTO-KITS Partnership	93.575	23358	EES-2021-ITSN-01	95,678
<u>Pass through KANSAS CHILDREN'S CABINET AND TRUST FUND</u>				
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	93.590	KUCR-CC-CBCAP 2018-2021-C		109,401
<u>Pass through KANSAS COUNCIL ON DEVELOPMENTAL DISABILITIES</u>				
Supporting Decision Making: Learning from Self-Advocate Experience	93.630	KCDD-2020-KUCFR-SDM-01		32,737
<u>Pass through KANSAS DEPARTMENT FOR AGING AND DISABILITY SERVICE</u>				
Supported Employment Program	93.243	Agreement		52,081
MEDICAID AGREEMENT: Child and Adolescent Functional Assessment Scale (CAFAS) Third Party Review	93.778	Agreement		37,814
Medicaid Waiver Functional Eligibility Instrument	93.793	Agreement		140,370
Medicaid Waiver Functional Eligibility Instrument - CARE Instruction	93.793	Agreement		105,223
Medicaid Waiver Functional Eligibility Instrument - HCBS PACE Instruction	93.793	Agreement		31,573
Medicaid Waiver Functional Eligibility Instrument - HCBS PACE Research	93.793	Agreement		72,150
Medicaid Waiver Functional eligibility Instrument - CARE INSTRUCTION	93.793	Agreement		17,705
Kansas SED Waiver Assessment & Evaluation Services	93.000	Agreement		102,244
<u>Pass through KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
E.P.I.C. Skillz Project - FY 19	93.558	EES-2018-KUEPIC-01		17,847
DCF Sustainability Funding FY2019	93.575	Agreement		60,200
Quality Support Services	93.575	Agreement		229,751
Prevention Grant Evaluation, Families First Prevention Services Act	93.658	PPS-2019-FFPEV		123,031
<u>Pass through KANSAS DEPARTMENT OF AGRICULTURE</u>				
Kansas Base Flood Elevation Portal	93.000	21599		56,895
<u>Pass through KANSAS DEPARTMENT OF EDUCATION</u>				
Connected Families, Connected Communities - Every Child Thrives!	93.434	652-19-1989	HH5-2018-ACF-OCC-TP-1379	2,611,221
<u>Pass through KANSAS DEPARTMENT OF HEALTH & ENVIRONMENT</u>				
Kansas ECCS Impact Grant	93.110	Agreement	H25MCO0234	66,433
Maternal Depression and Related Behavioral Disorders	93.110	Agreement		454,738
Sexual Violence Primary Prevention Community Needs Assessment Project	93.136	20883		(3,392)
SEXUAL VIOLENCE PRIMARY PREVENTION COMMUNITY BASED PROJECT EVALUATION	93.136	Agreement	NUF2CE02414-05-00	65,000
Second Step Evaluation Project	93.136	Agreement	NUF2CE02414-05-00	26,000
Evaluation of Programs at Kansas' Sexual Assault Prevention and Education Center (SAPEC)	93.136	Agreement	5NUF2CE2424-05-00	14,974
Kansas Department of Health and Environment Contract for Second Step Evaluation Project	93.136	Agreement	5NUF2CE02414-05-00	10,152
Gender Based Violence Prevention Impact Evaluation	93.136	KDHE - SAPEC 2020	NUF2CE02414-05-00	13,478
LYFTE: Lifting Young Families Toward Excellence	93.500	21353		8
LYFTE: Lifting Young Families toward Excellence	93.500	21353	1SP1AH000070-01	24,295
Equipment Exchange: Increasing Access to Durable Medical Equipment (DME)	93.778	KDHE2014-11		57,182
Equipment Exchange: Increasing Access to Durable Medical Equipment (DME)	93.778	KDHE2014-011		242,397
Assisting Medicaid Beneficiaries in Accessing Assistive Technology (ATK)	93.779	KDHE2014-010	HRSA-16-040	23,839
Assisting Medicaid Beneficiaries in Accessing Assistive Technology (ATK)	93.779	KDHE2014-010		69,964
MIECHV Innovation 2016-2018	93.870	51606		162,219
Kansas Maternal Infant and Early Childhood Home Visiting - DAISEY	93.870	Agreement		57,341
KU-CPPR KDHE Evaluation	93.870	Agreement	X10MC32192	127,750
KU-CPPR KDHE Needs Assessment	93.870	Agreement		108,884
Kansas MIECHV Program	93.870	Agreement	X10MC31142	64,703
Kansas Maternal Infant and Early Childhood Home Visiting - DAISEY	93.870	PO79002	HRSA-17-120	161,866
Kansas MIECHV Program	93.870	Agreement	HRSA -15-102 MIECHV	101,723
Healthy Start Data Collection and Project Evaluation Services	93.926	PO64410	H49MCO1449	12,234
SEXUAL VIOLENCE PRIMARY PREVENTION COMMUNITY BASED PROJECT EVALUATION	93.991	PO82213	5NUF2CE002414-05-00	10,668

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)</u>				
KDHE-Monitoring and Evaluating Implementation of the Title V Maternal and Child Health State Action Plan	93.994	Agreement	\$	68,499
Opioid Crisis Response	93.000	Agreement		(14,593)
<u>Pass through KANSAS STATE UNIVERSITY</u>				
Small Molecule Protease Inhibitors against MERS-CoV	93.855	518147		66,825
Discovery of GPCR-Targeted Insecticides for Malaria Mosquito Control	93.855	518108	5R21A1135457-02	32,754
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S001	R01AI141586	223,014
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S002	R01AI141586	14,532
Effects of Exercise on Animal Cognition	93.859	A00-026-S024-A01		22,927
CNAP Pilot Grant Mentoring	93.859	A00-0226-S032	P20GM113109	1,845
<u>Pass through KANSAS STATE UNIVERSITY SPA</u>				
Norovirus 3CL Protease-Based Anti-norovirus Therapeutics	93.855	514158.05		2,594
<u>Pass through KICKAPOO TRIBE</u>				
Kickapoo Project LAUNCH	93.243	18183		56,010
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	18178		(3)
Kickapoo Tribe in Kansas SAMHSA Circle of Care Program Evaluation	93.243	19940	5H79SM08012-02	70,882
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	Agreement		(2,470)
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	Agreement		8,444
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	18178-Mod 4	145M61926A	18,476
Kickapoo Tribe in Kansas Tribal CBCAP	93.590	19343		20,137
PPHF 2014: A Comprehensive Approach to Good Health and Wellness in Indian Country	93.762	17982		9,065
Kickapoo Practices for Wellness Evaluation and Performance Plan	93.762	21173	NUS8DP006395	44,721
Kickapoo Opioid Response Project	93.788	21836	1H79T1081861-01	954
<u>Pass through LEIDOS BIOMEDICAL RESEARCH INC.</u>				
Development and Application of Antibody Optimization Technologies to Improve Public Health	93.000	18X007	75N91019D00024	288,307
<u>Pass through LOUISIANA STATE UNIVERSITY</u>				
Chemical tools for perturbing iron homeostasis in <i>P. aeruginosa</i>	93.855	PO-0000060806	PO-0000060806	69,567
<u>Pass through MATERIA INC.</u>				
Recyclable Magnetic Co/C Hybrid ROMP Reagents, Scavengers and Ligands	93.859	16951		26
<u>Pass through MISSOURI DEPARTMENT OF HEALTH AND SENIOR SERVICES</u>				
Building Communities for Better Health Community Change Training	93.758	ADC19380217		3,270
<u>Pass through NATIONAL INSTITUTE FOR PHARMACEUTICAL TECHNOLOGY & EDUCATION</u>				
Determination of Local Concentrations of Bupivacaine Using Microdialysis Techniques	93.103	NIPTE-U01-KS-2014-00		(170)
<u>Pass through NEW MEXICO CHILDREN, YOUTH & FAMILIES</u>				
New Mexico ROM 2017 - 2019	93.556	17-690-20223-3	G1801NMFPS5	76,656
<u>Pass through NORTHWESTERN UNIVERSITY</u>				
A Family-Genetic Study of Autism and Fragile X Syndrome	93.242	60054681		320
<u>Pass through OHIO STATE UNIVERSITY</u>				
Research grants for preventing violence and violence related injury	93.136	60066707	R01CE0903098	228,083
<u>Pass through OK DEPARTMENT OF MENTAL HEALTH & SUBSTANCE ABUSE</u>				
Oklahoma Partnership Initiative, Phase 3: Program Evaluation	93.087	4529055846	90CU0066	2
Oklahoma Partnership Initiative, Phase 3: Program Evaluation	93.087	4529057905	90CU0066	13,738
Oklahoma Partnership Initiative, Phase 3: Program Evaluation FY2020	93.087	Purchase order 4529060119	90CU009301	100,411
<u>Pass through OREGON DEPARTMENT OF HUMAN SERVICES</u>				
Oregon ROM Reports System	93.658	133972		74,484
<u>Pass through PINNACLE TECHNOLOGY INC</u>				
Development of a GABA Oxidase Enzyme For Biosensing Applications	93.242	PIN 2017-173KU		26,994
<u>Pass through PUBLIC HEALTH INSTITUTE: ALCOHOL RESEARCH GROUP</u>				
Understanding 12-Step Involvement Among Sexual and Gender Minorities	93.273	01820	SP50AA005595	18,543
<u>Pass through QUALITY TRUST FOR INDIVIDUALS WITH DISABILITIES</u>				
Supported Decision-Making Technical Assistance and Resource Center	93.631	Agreement	90DM0001-01-00	26,754
<u>Pass through RESEARCH INSTITUTE OF FOX CHASE CANCER CENTER</u>				
Identifying stabilizers of p53 using pocket complementarity	93.859	FCCC15101-04		21,343
Robust rational design of chemical tools to inhibit RNA-binding proteins	93.859	15119-02		10,972

See accompanying notes to schedule.

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)</u>				
<u>Pass through SAINT LOUIS UNIVERSITY</u>				
Dissecting the Contribution of Viral Genetic Variation to HSV-1 Neuropathogenesis	93.853	eRS 38666	S	4,809
<u>Pass through STATE OF NEBRASKA DEPARTMENT OF HEALTH & HUMAN SERVICES</u>				
Home Visiting Data Collection and Management - Nebraska 2015-2016	93.505	Agreement		20,062
Home Visiting Data Collection and Management - Nebraska	93.870	Agreement		71,880
<u>Pass through SYRACUSE UNIVERSITY</u>				
Community Living and Supported Decision-Making	93.433	28373-04197-S01		67,826
<u>Pass through THOMAS JEFFERSON UNIVERSITY</u>				
Targeting HuR to improve a synthetic lethal therapy for pancreatic cancer	93.395	080-31000-524701	5R01CA212600-03	18,318
Targeting HuR to improve a synthetic lethal therapy for pancreatic cancer	93.395	080-31000-524701	5R01CA212600	25,683
<u>Pass through TULANE UNIVERSITY</u>				
Pediatric HIV/AIDS Cohort Study (PHACS) Coordinating Center (CC)(U01)	93.865	TUL-HSC-557532-19-20	5U01HD052104-15	19,846
<u>Pass through UNIV OF CALIFORNIA - BERKELEY</u>				
STEM Escape: Immersing urban and rural families in biomedical mysteries	93.351	00010137	1R25GM132971-01	24,476
<u>Pass through UNIVERSITY OF ARKANSAS - MEDICAL SCIENCES</u>				
Data Coordinating and Operations Center (DCOC) for the IDeA States Pediatric Clinical Trials Network	93.865	51460	8U24OD024957	47,335
<u>Pass through UNIVERSITY OF CENTRAL FLORIDA OF CENTRAL FLORIDA</u>				
The "Disaggregase" Mechanism of Holotoxin Disassembly By Protein Disulfide Isomerase	93.855	22206088-02	1 R01AI137056-01	2,733
<u>Pass through UNIVERSITY OF COLORADO</u>				
The Influence of Evolutionary Landscapes on Protective Antibody Development	93.855	1557541-PO1001139944	R01AI14152	357,582
<u>Pass through UNIVERSITY OF COLORADO AT DENVER</u>				
T cell responses shared among triple negative breast cancer patients	93.393	FY19.661.001	1R21CA230847-01	15,687
<u>Pass through UNIVERSITY OF ILLINOIS</u>				
All Our Kids Network University of Illinois IRIS	93.870	Agreement		2,928
All Our Kids Network University of Illinois IRIS Proposal	93.870	096419-17530		50,389
<u>Pass through UNIVERSITY OF ILLINOIS - URBANA-CHAMPAIGN</u>				
Rehabilitation Engineering Research Center (RERC) on Technologies to Support Aging in-Place for People with Long-Term Disabilities	93.433	095457-17810	90REGEG006-01-00	4,021
<u>Pass through UNIVERSITY OF KANSAS CANCER CENTER</u>				
NCI Cancer Center Support Grant	93.397	QJ85912A - Neufeld		1
Dissecting allosteric in pyruvate kinase	93.859	ZAF00010	5R01GM115340-04	5,733
<u>Pass through UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE</u>				
Kansas University Affiliated Program	93.110	QR814063		2,356
Kansas University Affiliated Program	93.110	QR814064	T73MC06623-14-00	19,701
Promoting Primary Care Advanced Practice Nursing in Rural Kansas	93.247	Z1T00000		1,193
Yr. 2 - Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZP8T00000		2,438
Frontiers: The Heartland Institute for Clinical and Translational Research	93.350	ZPB00010		3,601
Frontiers: The Heartland Institute for Clinical and Translational Research	93.350	ZPB00013	SUL1TR00236602-REVISED	(11,044)
Frontiers: The Heartland Institute for Clinical and Translational Science Institute	93.350	ZPB00014		1,419
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPBK0010	5KL2TR002367	4,078
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPB00016-Rhine		701
Frontiers: University of Kansas Clinical and Transnational Science Institute	93.350	ZPB00017-Shiflett		404
Frontiers: University of Kansas Clinical and Translations Science Institute	93.350	ZPB00020	STL1TR002368-03	60,356
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPB00026-Brumberg	SUL1TR002366	21,374
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPB00016-Forbush	SUL1TR002366-02 REVISED	3,575
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPBK0020		108,981
S.C.O.R.E. Students for Community-Oriented Research and Education	93.351	ZAC00010		16,866
Evaluation of the NIH SEPA T-SCORE Project	93.351	ZAC00010-Ginther	8R25GM129226-04	17,603
The safety and efficacy of megesterol as part of an outpatient feeding protocol for children with chronic medical conditions	93.361	ZAD00080	R01HD093933	15,116
Sexual Health Empowerment for Jail-Involved Women's Health Literacy and Prevention	93.393	ZAR00080	R01CA181047	48,378
Targeting Kinesin Family Member 15 for the Treatment of Cancer	93.395	ZAG00020	R01CA2214545	166,752
NCI Cancer Center Support Grant Lead Development & Optimization Shared Resource	93.397	ZPJ00010-Schoenen	P30CA168524	30,655
NCI Cancer Center Support Grant Lead Development & Optimization Shared Resource	93.397	ZPJ00010-Baltezor-Mod #1		4,978

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
NCI Cancer Center Support Grant	93.397	ZPJ00010-Neufeld-Mod 1	P30CA168524	\$ 4,521
NCI Cancer Center Support Grant Lead Development & Optimization SharedResource	93.397	ZPJ00010-Roy	5P30CA168524-07	(518)
NCI Cancer Center Support Grant- Project CPS Cancer Prevention and Survivorship Research Program	93.397	ZPJ00010-Dixon	P30CA168524	4,750
Interagency Memorandum Agreement for NCI Cancer Center Support Grant- Health Communications	93.397	ZPJ00010-Geana	5P30CA168524-07	2
NCI Cancer Center Support Grant for Biotechnology Innovation and Optimization Center (BIOC)	93.397	ZPJ00030	5P30CA168524-08	30,101
CPS Cancer Prevention and Survivorship Research Program - KUCC Core	93.397	ZPJ00030	P30CA168524	19,202
NCI Cancer Center Support Grant Lead Development & Optimization Share Resource	93.397	ZPJ00030	P30CA168524	15,529
NCI Cancer Center Support Grant - Cancer Biology Research Program	93.397	ZPJ00030-Neufeld	P30CA168524	19,383
Online and Applied Systems for Intervention Skills (OASIS) Parent Training Program	93.433	Z1H00000		15,899
The Online and Applied System for Intervention Skills (OASIS) - Scaling-up!	93.433	Z1H00040	90DPXT0003-01-00	6,456
Project Eagle: Early Head Start	93.600	QS814214	07CS7075-05-00	24,055
Project Eagle: Early Head Start	93.600	QS814216	07CH7075-06-00	92,103
Quality and Value Innovation Consortium's evaluation of Kansas City Engaging Patients in Care Coordination (KC-EPICC) program	93.775	Q030RD02		1,769
RNA-binding protein HuR in liver pathophysiology and carcinogenesis	93.847	ZAZ00040	1R01DK119131-01A1	29,574
Teacher vs. Remotely Delivered Classroom Physical Activity Breaks	93.847	ZAD000A0	2R01DK085317-07	17,949
Towards exome analyses: Surprising outcomes from mutating nonconserved positions	93.859	ZAS000B0	1R01GM118589-03	54,816
Molecular Characterization of Hepatic Organic Anion Transporting Polypeptides	93.859	ZAH00000 MOD1		11,296
K-INBRE Bioinformatics Core Facility	93.859	1000961137		145,393
K-INBRE Undergraduate Research Office (URO)	93.859	1000961141	2P20GM103418-19	30,146
The Sustainable Heartland Accelerator Regional Partnership (SHARP) Hub	93.859	Z9W000D0	UT2GM130175	968
K-INBRE Core Facility Support Submission 2019	93.859	1000961130	2P20GM103418-19	7,575
KINBRE Campus Coordinator Y6	93.859	1000961140		14,255
KINBRE Summer Scholars Y6	93.859	1000961139	2P20GM103418-19	28,089
KINBRE Star Trainees Y6	93.859	1000961138	2P20GM103418-19	19,625
Metabonomic Markers of Disease Activity and Therapeutic Response in Autoimmune Arthritis	93.859	ZPG0000D		82,181
The Kansas Institute for Precision Medicine: Biomedical Engineering Core	93.859	ZPG0002	1P20GM130423-01	74,697
The Kansas Institute for Precision Medicine	93.859	ZPG00000	1P20GM130423-01	96,521
The Kansas Institute for Precision Medicine	93.859	ZPG00000	1P20GM130423-01	9,694
K-INBRE Core Facility Support (CFS)	93.859	1000974514	2P20GM103418-19	20,000
KINBRE Summer Scholars	93.859		P20GM103418-20	3,364
KINBRE Star Trainees	93.859	PO1000989265	5P20GM103418-20	111
KINBRE Campus Coordinator 2020-2021	93.859	PO#1000989267	5P20GM103418-20	13,419
K-INBRE Bioinformatics Core Facility 2020-2021	93.859	1000989264	P20GM103418	4,725
K-INBRE Undergraduate Coordinator Office (UCO) Yr 7	93.859	PO#1000989268	5P20GM103418-20	3,740
The Kansas Institute for Precision Medicine: Biomedical Engineering Core	93.859	ZPG00012	5P20GM130423-02	4,141
momHealth: Mobile Multiple Health Behavior Change in Teen Pregnancy & Parenting	93.865	ZAW00020 Mod 1	R21HD088913	5,042
Mito Genomics Metabolism	93.866	QS85528G	P30AG035982	169,928
Non-invasive BDNF Brain Delivery through the BBB in Alzheimer's Mouse Models	93.866	Y8S00114		46
University of Kansas Alzheimer's Disease Core Centers (P30)	93.866	QS85527A	5P30AG035982-08	2,022
Prescribing Smart Aging: Integrating Health Systems with Community-Based Lifestyle Interventions	93.866	ZAB00040-Watts18		36,144
Enhanced Mediterranean Diet for Alzheimer's Disease Prevention	93.866	ZAS000F0	1R01AG060157-01	6,673
Swerdlow Haplo Group J	93.866	ZAS000K0	1R01AG061194-01	13,359
KU ADC Mitochondrial Genomics and Metabolism Core Supplement	93.866	QS85528M	P30AG035982	51,694
Kansas City Quality & Value Innovation Consortium (KC QVIC) - Opioid Project	93.000	Q030RD02		6,938
Pass through UNIVERSITY OF MARYLAND - BALTIMORE				
Adjuvant development of the TLR4 ligand BECC438	93.000	1903173		167,110
Adjuvant development of the TLR4 ligand BECC438	93.000	F211956-1 UMB Ref. No.: 3085	HHSN27220180043C	216,199
Pass through UNIVERSITY OF MASSACHUSETTS MEDICAL SCHOOL				
Diet quality, parental perceptions, and weight gain among adolescents with an intellectual/developmental disability	93.110	WA00538863/QSP201718		(435)

See accompanying notes to schedule.

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<u>RESEARCH AND DEVELOPMENT CLUSTER (Continued)</u>				
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)</u>				
<u>Pass through UNIVERSITY OF MINNESOTA</u>				
Control of Chromosome Segregation by DNA Topoisomerase II	93.859	N006994001	1R01GM130858-01	\$ 41,649
<u>Pass through UNIVERSITY OF MISSOURI - KANSAS CITY</u>				
KC HealthTracks	93.137	00094041-00068138	CPIMP151115-04-00	32,242
<u>Pass through UNIVERSITY OF MONTANA</u>				
Research and Training Center on Disability in Rural Communities	93.433	PG19-61086-03	90RTCPO002-00	4,787
<u>Pass through UNIVERSITY OF NOTRE DAME</u>				
Chaperone therapeutics for the treatment of DPN	93.853	203645KU	7R01NS075311-06	256,966
<u>Pass through UNIVERSITY OF TEXAS HEALTH SCIENCE CENTER</u>				
KOR agonist functional selectivity in peripheral sensory neurons	93.279	158920/158919	5R01DA038645-	3,519
<u>Pass through UNIVERSITY OF VERMONT</u>				
University of Vermont Center on Tobacco Regulatory Science	93.000	323595UB52491	2U54DA036114-06	36,738
<u>Pass through UNIVERSITY OF VIRGINIA</u>				
Targeted Small Molecule Inhibitors for Inv(16) Leukemia	93.395	GB10639_PO_2091174		44,441
<u>Pass through UNIVERSITY OF WASHINGTON</u>				
Functional Genomics for Chlamydia	93.855	UWSC9070	5R01AI126785-04	286,837
Functional Genomics for Chlamydia	93.855	UWSC9656		8,154
<u>Pass through VESAREX LLC</u>				
Ultrasound-facilitated endovascular laser thrombolysis	93.839	00065187	1R43HL147783-01	23,920
<u>Pass through VIRGINIA TECH</u>				
Identification of novel HSV-1 ICP0 E3 ligase targets by mass spectrometry in neurons	93.853	432053-19799	R21NS106585	60,660
<u>Pass through WASHINGTON STATE UNIVERSITY</u>				
The Collaborative on Health Reform and Independent Living	93.433	126140 G003511	90DP0075-05-00	131,933
<u>Pass through WISCONSIN DEPARTMENT OF CHILDREN & FAMILIES</u>				
State of Wisconsin DAISEY - Family Foundations Home Visiting Shared Measurement System	93.870	437003-118-0001135-000-01		3,881
Wisconsin Family Foundations Home Visiting Shared Measurements System	93.870	437003-119-0001379		160,013
DAISEY (Data Application and Integration Solution for the Early Years) Home Visiting Shared Measurement System	93.870	437003-C20-0001518-000-01		88,748
TOTAL RESEARCH AND DEVELOPMENT CLUSTER				96,603,943
<u>TRIO CLUSTER</u>				
<u>DEPARTMENT OF EDUCATION</u>				
<u>Direct Award</u>				
University of Kansas TRIO Student Support Services - SES	84.042	P042A160846		347,191
University of Kansas TRIO Student Support Services-STEM	84.042	P042A150254		255,612
University of Kansas Talent Search	84.044	P044A110799		187
University of Kansas Talent Search (KUTS)	84.044	P044A160170		464,805
The University of Kansas Upward Bound Program	84.047	P047A090338-12		939
University of Kansas Upward Bound Program	84.047	P047A130144 - 17A		(1,739)
The University of Kansas Upward Bound Math and Science Center	84.047	P047M120139-16		704
The University of Kansas Veterans Upward Bound Program	84.047	P047V130043-17		(1,426)
University of Kansas Math & Science Center	84.047	P047M170310		342,177
University of Kansas Upward Bound Math & Science (KU-UBMS)	84.047	P047M170490		313,590
University of Kansas Upward Bound Program	84.047	P047A180353		405,565
The University of Kansas Veterans Upward Bound Program	84.047	P047V180027		262,628
University of Kansas EOC	84.066	P066A160048-17		302,172
University of Kansas EOC - Leavenworth and Franklin County	84.066	P066A160079		239,602
McNair Scholars Program	84.217	P217A120075 - 16		3,432
McNair Scholars Program	84.217	P217A170081		305,528
The University of Kansas McNair Scholars Program (KU-MSP)	84.217	P217A070053		261
TOTAL TRIO CLUSTER				3,241,228

See accompanying notes to schedule.

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<u>CHILD NUTRITION CLUSTER</u>				
<u>DEPARTMENT OF AGRICULTURE</u>				
<u>Pass through KANSAS DEPARTMENT OF EDUCATION</u>				
Master Agreement-Summer Food Service Program - Upward Bound	10.559	Agreement		\$ 9,895
TRIO Math and Science Center Summer Food Service Program	10.559	X0163-UBMS		6,652
TOTAL CHILD NUTRITION CLUSTER				16,547
<u>SPECIAL EDUCATION CLUSTER (IDEA)</u>				
<u>DEPARTMENT OF EDUCATION</u>				
<u>Pass through MISSOURI DEPARTMENT - ELEMENTARY/SECONDARY ED</u>				
Missouri Post-Secondary Success Project	84.027	Agreement		34,709
Missouri Post-Secondary Success Project	84.027	Agreement		282,158
<u>Pass through NORTH DAKOTA DEPARTMENT OF PUBLIC INSTRUCTION</u>				
North Dakota DLM: 2019-2020 Operational/Testing (Sci) + Science Development	84.027	3458		164,465
TOTAL SPECIAL EDUCATION CLUSTER (IDEA)				481,332
<u>DEPARTMENT OF AGRICULTURE</u>				
<u>Pass through KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES</u>				
SNAP Process and Technology Improvement Grant	10.580	Agreement		211,974
<u>DEPARTMENT OF DEFENSE</u>				
<u>Direct Award</u>				
University of Kansas IC Center for Academic Excellence (KU-ICCAE)	12.598	HHM402-17-1-0003		48,071
University of Kansas IC Center for Academic Excellence (KU-ICCAE)	12.598	HHM402-17-1-0003		177,182
KU STARTALK Kiswahili Academy	12.900	H98230-19-1-0087		68,693
GenCyber Summer Camp at the University of Kansas - Inspiring the Next Generation of Cyber Stars	12.903	H98230-19-1-0075		88,803
Peace Corps Recruitment Proposal for FY 2016 - 2018	12.000	PC-15-8-030		10,559
<u>Pass through ARMY EDUCATIONAL OUTREACH PROGRAM</u>				
Army Educational Outreach Program (UNITE)	12.630	Agreement		5,577
KU Project GO Center: Attaining Intercultural Understanding through Critical Language Learning for 21st Century Officers	12.357	2603-KU-10-GO-51-PO7		(311)
KU Project GO Center: Attaining Intercultural Understanding through Critical Language Learning for 21st Century Officers	12.357	Agreement	H96210-18-2-002	268,187
Cost Reimbursement Umbrella Agreement for Prime Award Number H98210-18-2-0002	12.357	PGO1801-KU-10	H98210-18-2-0002	6,317
Building Language Capacity and Cultural Competency to Meet National Security Needs: The University of Kansas Language Training Center	12.579	2603-KU-10-LTC052P08		739
Building Language Capacity and Cultural Competency to Meet National Security Needs: The University of Kansas Language Training Center	12.900	PGO1801-KU-10-LTC-052-PO3		574,190
<u>DEPARTMENT OF THE INTERIOR</u>				
<u>Pass through MICCOSUKEE INDIAN SCHOOL</u>				
DLM - Operational/Testing	15.000	Agreement		2,223
<u>DEPARTMENT OF JUSTICE</u>				
<u>Direct Award</u>				
U.S.P. LEAVENWORTH LEGAL ASSISTANCE PROGRAM	16.000	15B40819D000000033		21,210
Postconviction Testing of DNA Evidence to Exonerate the Innocent University of Kansas School of Law Multi-State Partnership for Innocence	16.820	2015-DY-BX-K004		52,813

See accompanying notes to schedule.

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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>DEPARTMENT OF STATE</u>				
<u>Direct Award</u>				
Study of the U. S. Institutes for Student Leaders on Womens Leadership	19.009	S-ECAGD-18-CA-1040	5	960,999
<u>Pass through INSTITUTE FOR INTERNATIONAL EDUCATION</u>				
2019 Eight-Week Humbert H. Humphrey Fellowship Pre-Academic Training Program	19.010	HHH1801_UK_4.4.19	S-ECAGD-18-CA-1027	196,614
2018 Eight-Week Hubert H. Humphrey Fellowship Pre-Academic Training Program	19.011	S-ECAGD-17-CA-1020	S-ECAGD-17-CA-1020	487
6-Week English for Graduate Studies Program for Fulbright Foreign Students (2017)	19.400	IIE0136 KU 3.15.2017		838
Fulbright U.S. Program Pre-Departure Orientation - Europe and Eurasia	19.401	FSC1901_UKANS_1.15.19	S-EGAGD-19-CA-0046	174,571
6-Week English Language Program for English Language Teachers from Brazil: Summer 2019 Cohort	19.000	FBC1901000		177,263
<u>DEPARTMENT OF TRANSPORTATION</u>				
<u>Pass through KANSAS DEPARTMENT OF TRANSPORTATION</u>				
Statewide Traffic Incident Management Program (TIM Program)	20.215	KA-4450-01-2-17		4,358
Technology Transfer Program - FY 2020 Local Technical Assistance Program (LTAP)	20.215	Agreement		254,182
Transportation Safety Conferences 2013-2022	20.600	SA-0943-20		53,503
Data Access and Support Center (DASC) GIS Mapping Integration	20.616	TR-2114-19	18X920405cK515	255,082
FY2020: Technical Services for the Kansas Rural Transit Assistance Program	20.000	PT-0511-40		202,513
FY 2020 T2 Equipment Grant	20.000	RE-0796-01		13,949
<u>Pass through KANSAS DIVISION OF EMERGENCY MANAGMENT</u>				
Trainings to Kansas Counties through Kansas University Fire and Rescue Training Institute during the federal fiscal year 2018-2019	20.703	22045	HMMP0542160100	9,795
Trainings to Kansas Counties through Kansas University Fire and Rescue Training Institute during the federal fiscal year 2019-2020	20.703	Agreement	693JK31940016HMPEP	7,868
<u>Pass through KANSAS STATE UNIVERSITY</u>				
Traffic Assistance Services for Kansas (TASK) Program FY 2018-2020	20.215	S19084	N0402-R5-2018-00-14-02	28,072
<u>Pass through KANSAS STATE UNIVERSITY SPA</u>				
FY 20:Traffic Assistance Services for Kansas (TASK) Program	20.215	A00-0662-S003		17,260
<u>DEPARTMENT OF THE TREASURY</u>				
<u>Direct Award</u>				
VITA Grant Program	21.009	19VITA0229		42,444
<u>FEDERAL COMMUNICATIONS COMMISSION</u>				
<u>Direct Award</u>				
Kansas Deaf Blind Equipment Distribution--Assistive Technology for Kansans	32.000	DA 19-557		137,935
<u>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</u>				
<u>Pass through WICHITA STATE UNIVERSITY</u>				
National Space Grant College and Fellowship Program Training Grant FY 2019-2020	43.008	9702-7-3-16241	NNX15AJ97H	16,803
NASA Eyes, Kansas Minds	43.008	9703-2-1693	NNX15AJ97H	7,419
<u>INSTITUTE OF MUSEUM AND LIBRARY SERVICES</u>				
<u>Direct Award</u>				
Presenting and Multidisciplinary Works: Earth, Water, Fire, Air: Exploring Indigenous Histories and Cultures through the Arts.	45.024	1830524-55-18		1,452
To support the 2019 exhibition knowledges, featuring four commissioned artists-in-residence	45.024	1849876-44-19		40,000
Exploring Marginalized Communities Through the Women's Voice	45.024	1854359-54-19		35,000
KU Indigenous Culture Festival	45.024	1858768-55-20		1,015
To support infrastructure improvements to the Spencer Museum of Art's collection storage, freight elevator, and galleries.	45.130	CHA-261952-19		73,750
Global Medical Humanities: Bridging Digital Health Divides	45.162	AK-255364-17		10,746
Civic Leader and Art Collector: Sallie Casey Thayer and an Art Museum for the University of Kansas	45.301	MA-10-16-0287-16		41
Building Capacity for Diversity, Equity, Access, and Inclusion at the Spencer Museum of Art	45.301	MA-40-19-0377-19		10,050

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>INSTITUTE OF MUSEUM AND LIBRARY SERVICES (Continued)</u>				
<u>Pass through CHILDRENS MUSEUM OF TACOMA</u>				
Evaluating Military Family Programming	45.312	22898	MG-80-19-0029-19	\$ 43,455
<u>Pass through HUMANITIES KANSAS</u>				
Voices from Congressman Dole's Kansas, 1960-1968	45.129	220030MJ	50-253126-17	2,500
<u>Pass through KANSAS DEPARTMENT OF COMMERCE & HOUSING</u>				
Spencer Museum and Arts Collaborative	45.025	Agreement	NEA State Partnership Agreement	1,804
Theatre on the Spectrum	45.025	Agreement	NFY18-007	15,000
Dario Robleto Artist Residency for the Healing, Knowing, Seeing the Body Exhibition	45.025	Agreement		5,000
<u>Pass through NORTH CAROLINA STATE UNIVERSITY</u>				
Designing OERs To Prepare the Next Generation of Scholarly Communication Librarians	45.312	Agreement		3,525
Scholarly Communication Notebook	45.312	2019-2227-02	LG-36-19-0021-19	1,020
<u>SMALL BUSINESS ADMINISTRATION</u>				
<u>Pass through FORT HAYS STATE UNIVERSITY</u>				
University of Kansas Small Business Development Center	59.037	Agreement		297
University of Kansas Small Business Development Center - 2019 Federal Funds	59.037	1913 (Federal Funds)	Cooperative Agreement	31,764
University of Kansas Small Business Development Center - 2020 (Federal Funds)	59.037	2013	Cooperative Agreement	19,950
<u>VETERANS ADMINISTRATION</u>				
<u>Direct Award</u>				
VA Educational Therapy Program	64.000	VA255-15-C-0021		10,252
<u>ENVIRONMENTAL PROTECTION AGENCY</u>				
<u>Pass through KANSAS DEPARTMENT OF HEALTH & ENVIRONMT</u>				
2018-19 National Rivers and Streams Assessment (NRSA)	66.419	2018-NRSA1		15,093
<u>DEPARTMENT OF EDUCATION</u>				
<u>Direct Award</u>				
DC DLM: 2019-2024 Operational/Testing (Sci)	84.000	CW72428		237,767
DC DLM - Additional Service 2019-2020	84.000	PO612002		9,439
Support: Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.014	P015B180021		248,355
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015B180104-19		169,760
NRC: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015A180095		198,880
Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.015	P015A180021		223,162
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015A180104		180,740
FLAS: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015B1800950-20		205,758
Fulbright-Hays Doctoral Dissertation Research Abroad Program	84.022	P022A180051		10,966
Heartland College Assistance Migrant Program	84.149	S149A150007		449,066
University of Kansas Open Language Resource Center	84.229	P229A1808008		154,358
Post-Doctoral Research Training Program in Special Education: Evidence-Base	84.324	R324B180004		128,822
Augmentative and Alternative Communication in the Schools: Leadership and Access (ACTS) - Kansas City	84.325	H325K110338-15		(1,445)
University of Kansas Global Learning Opportunities Building Early Education Leaders (KU-GLOBEEL) Type A	84.325	H325D120065-16		38,459
Culturally-Responsive Early Literacy Intervention (CRELI): American Indian/Alaskan Native	84.325	H325K130316-15		140,655
KU-DDL: The University of Kansas Diversity, Development & Learning Early Childhood Unified Masters	84.325	H325K130073		17,300
Leadership Training in Nondiscriminatory Special Education Policy and Practice	84.325	H325D150085		284,870
University of Kansas Project to Develop Responsive, Innovative, and Visionary Educators (KU-DRIVE), Type A	84.325	H325D150084-16		316,448
ALL-Together In Early Education (ALL-TIEE): Early Childhood Unified Masters Project	84.325	H325K160075		276,422
KU LEAP: Preparing Leaders to Create Ambitious Educational Programs for Students with Severe Disabilities: Beyond De Minimis	84.325	H325D180015-19		80,873
Preparing Leaders to Advocate for Inclusion in Early Childhood Education (KU-PLAI-ECE)	84.325	H325D180080-19		131,810

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Passthrough Identifying Number</u>	<u>Amount</u>
<u>DEPARTMENT OF EDUCATION (Continued)</u>				
University of Kansas Washington Cluster GEAR UP Program	84.334	P334A110181-16	\$	38,390
University of Kansas Harmon Cluster GEAR UP Program	84.334	P334A110182		13,092
University of Kansas Highland Park High School Cluster GEAR UP Program	84.334	P334A140114-19		285,368
The University of Kansas KCKPS Gear Up Program	84.334	P334A170025		3,002,999
The University of Kansas Child Care Access Means Parents in School Program (KU-CCAMPIS)	84.335	P335A180137 - 19		35,419
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	T365Z170233 - 19		568,964
KAN-Tell (Kansas Teachers of English Language Learners)	84.365	T195N070093-11		979
<u>Pass through GEORGIA STATE UNIVERSITY</u>				
MAAPS: Monitoring Advising Analytics as Predictors of Success: A Study Proposed by the University Innovation Alliance	84.116	SP00012139-05		54,039
<u>Pass through KANSAS DEPARTMENT OF EDUCATION</u>				
KSDE 21st CCLC Technical Assistance Grant	84.287	652-16-1895		10,569
Support to KSDE's Literacy Network of Kansas (LINK)	84.371	652-18-1942	Support to KSDE's Literacy Network of Kansas (LINK)	79,950
<u>Pass through KANSAS DEPARTMENT OF HEALTH & ENVIRONMENT</u>				
Kansas Inservice Training System(KITS)-Infant and Toddler Expansion	84.181	Agreement		139,301
Tiny K - Infant Toddler Assistive Technology Services	84.181	Agreement		15,553
Kansas Inservice Training System(KITS)-Infant and Toddler Expansion	84.181	Agreement		305,268
<u>Pass through STANFORD UNIVERSITY</u>				
Leadership in Research and Teacher Preparation for System-wide Inclusive Education	84.325	62307368-154936	H325D190042	24,173
<u>Pass through UNIVERSITY OF NORTH CAROLINA CHARLOTTE</u>				
National Technical Assistance Center on Increasing Graduation and Improving Transition to Postsecondary Education and Careers for Students with Disabilities	84.326	20150079-03-UKS	H326E140004	283,051
<u>Pass through UNIVERSITY OF OREGON</u>				
OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports	84.326	224440M		(142)
Technical Assistance Center on Positive Behavioral Intervention and Supports V	84.326	282070J	H326S180001	66,481
<u>Pass through US DEPARTMENT OF EDUCATION</u>				
National Resource Centers Program	84.015	P015A140178 - 17		4,844
<u>Pass through USD 501, TOPEKA PUBLIC SCHOOLS</u>				
The Arts Infusion Project: Evaluation	84.351	20123		4,050
The Arts Infusion Project: Professional Development	84.351	20122	U351D140074	1,002
<u>Pass through WICHITA STATE UNIVERSITY</u>				
Evaluation of the Wichita North GEAR UP Program	84.334	RS1239		(874)
WSU WEST WICHITA GEAR UP	84.334	20-01629	P334A170139	9,152
WSU Southeast Wichita GEAR UP Project Evaluation	84.334	20-01664	P334A170119	9,151
GEAR UP, South Wichita Project	84.334	WSU16023	P334A140178-18	23,356
Evaluation of the Wichita North GEAR UP Program	84.334	16022	334A140169-18	23,501
Wichita North GEAR UP Evaluation Services	84.334	20-00818 (North)	P334A140169-19	27,272
WSU South Wichita GEAR UP Evaluation Services	84.334	20-00818 (South)	P334A140169-19	25,979
<u>DEPARTMENT OF HOMELAND SECURITY</u>				
<u>Direct Award</u>				
Assistance to Firefighters Grants (AFG) FY'16	97.044	EMW-2016-FZ-00166		(1)
Assistance to Firefighters Grants (AFG) FY 2018	97.044	EMW-2017-FZ-00032		375,374
TOTAL EXPENDITURES OF FEDERAL AWARDS				\$ 113,691,671

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2020

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

Program	CFDA Number	Amount Provided
Research & Development Cluster	Multiple	\$13,235,610
University of Kansas IC Center for Academic Excellence (KU-ICCAE)	12.598	19,332
Postconviction Testing of DNA Evidence to Exonerate the Innocent University of Kansas School of Law Multi-State Partnership for Innocence	16.820	52,813
Study of the U. S. Institutes for Student Leaders on Womens Leadership	19.009	623,400
Heartland College Assistance Migrant Program	84.149	190,163
Tiny K - Infant Toddler Assistive Technology Services	84.181	13,890
National Technical Assistance Center on Increasing Graduation and Improving Transition to Postsecondary Education and Careers for Students with Disabilities	84.326	26,369
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	120,994
		<u>\$14,282,571</u>

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 Year ended June 30, 2020

NOTE 1 - ORGANIZATION

The University of Kansas Center for Research, Inc. (the Center) is the recipient of several federal grants. The accompanying schedule of expenditures of federal awards presents the activity of all federal awards programs of the Center for the year ended June 30, 2020. All federal awards received directly from federal agencies, as well as federal awards passed through other government agencies, are included on the schedule.

NOTE 2 - BASIS OF PRESENTATION

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

NOTE 3 - COST SHARE

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

NOTE 4 - ADDITIONAL AUDITS

Grantor agencies reserve the right to conduct additional audits of the Center's grant programs for economy and efficiency and program results which may result in disallowed costs to the Center. However, management does not believe such audits would result in any disallowed costs that would be material to the Center's financial position at June 30, 2020.

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND CFDA

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
U.S. Department of Agriculture	10.000	\$ 315
	10.001	711
	10.310	611,917
	10.559	16,547
	10.580	211,974
	10.596	31
	10.699	<u>5,363</u>
		846,858
U.S. Department of Commerce	11.303	123,106
	11.431	50,627
	11.459	201,740
	11.462	350,997
	11.467	3,064
	11.619	<u>18,748</u>
		748,282

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND CFDA (Continued)

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
U.S. Department of Defense	12.000	\$ 3,620,194
	12.300	288,291
	12.357	274,193
	12.420	666,956
	12.431	535,530
	12.579	739
	12.598	225,253
	12.630	13,152
	12.800	182,266
	12.900	642,883
	12.903	<u>88,803</u>
		6,538,060
U.S. Department of Interior	15.000	6,469
	15.159	30,592
	15.224	644
	15.506	7,600
	15.512	31,531
	15.611	152,576
	15.634	2,020
	15.805	35,695
	15.810	140,451
	15.814	91,567
	15.815	19,815
15.980	<u>15,546</u>	
	534,506	
U.S. Department of Justice	16.000	21,210
	16.560	7,141
	16.734	11,976
	16.820	<u>52,813</u>
	93,140	
U.S. Department of Labor	17.261	1,806
U.S. Department of State	19.000	177,263
	19.009	960,999
	19.010	196,614
	19.011	487
	19.400	838
	19.401	<u>174,571</u>
	1,510,772	
U.S. Department of Transportation	20.000	318,271
	20.106	6,810
	20.200	168,083
	20.205	131,878
	20.215	641,147
	20.600	53,503
	20.616	255,082
	20.701	184,788
	20.703	<u>17,663</u>
	1,777,225	

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

NOTE 5 – SUBTOTALS BY FEDERAL AGENCY AND CFDA (Continued)

Department	CFDA Number	Amount
U.S. Department of the Treasury	21.009	\$ 42,444
U.S. Department of Agriculture	32.000	137,935
National Aeronautics and Space Administration	43.000	261,781
	43.001	1,291,722
	43.002	18,028
	43.008	<u>77,539</u>
		1,649,070
National Endowment for the Arts	45.024	77,467
	45.025	21,804
	45.129	1,942
	45.130	998,750
	45.160	30,000
	45.162	10,746
	45.301	10,091
	45.312	<u>48,000</u>
		1,198,800
National Science Foundation	47.000	165,440
	47.041	1,629,230
	47.049	3,232,004
	47.050	1,809,367
	47.070	1,062,822
	47.074	2,990,250
	47.075	469,248
	47.076	1,763,220
	47.078	10,913
	47.079	59,111
	47.080	17,360
	47.083	<u>5,158,210</u>
		18,367,175
Small Business Administration	59.037	52,011
Veterans Administration	64.000	10,252
Environmental Protection Agency	66.419	15,093
U.S. Department of Energy	81.000	1,000,664
	81.049	2,033,404
	81.087	268,625
	81.089	<u>741,501</u>
		4,044,194

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

NOTE 5 – SUBTOTALS BY FEDERAL AGENCY AND CFDA (Continued)

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
U.S. Department of Education	84.000	\$ 247,206
	84.014	248,355
	84.015	983,144
	84.022	10,966
	84.027	1,021,600
	84.042	602,803
	84.044	464,992
	84.047	1,322,438
	84.066	541,774
	84.116	5,054,039
	84.120	5,207
	84.149	449,066
	84.181	460,122
	84.217	309,221
	84.229	154,358
	84.287	10,569
	84.305	1,075,788
	84.323	128,922
	84.324	6,961,398
	84.325	2,063,999
	84.326	945,176
	84.327	1,232,049
	84.334	3,645,667
	84.335	35,419
	84.351	5,052
	84.365	569,943
	84.366	(196)
	84.368	1,526,196
	84.371	79,950
	84.407	285,436
	84.411	224,872
	84.418	17,251
		<hr/>
	30,682,782	
U.S. Department of Health and Human Services	93.000	1,665,384
	93.087	893,011
	93.088	61,750
	93.103	(170)
	93.110	841,469
	93.113	169,716
	93.121	193,129
	93.136	354,295
	93.137	32,242
	93.172	38,409
	93.173	1,215,533
	93.184	357,223
	93.242	1,416,539
	93.243	238,447
	93.247	1,193
	93.273	245,285
	93.279	221,607
93.286	1,556,846	
93.310	254,350	
93.350	195,883	
93.351	521,055	

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

NOTE 5 – SUBTOTALS BY FEDERAL AGENCY AND CFDA (Continued)

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
U.S. Department of Health and Human Services (Continued)	93.361	\$ 15,116
	93.393	125,276
	93.394	855,807
	93.395	693,830
	93.396	152
	93.397	128,604
	93.433	1,080,856
	93.434	2,611,221
	93.464	424,757
	93.500	24,303
	93.505	20,062
	93.556	76,656
	93.558	17,847
	93.575	387,710
	93.590	194,502
	93.600	116,158
	93.630	32,737
	93.631	57,994
	93.632	551,087
	93.652	772,889
	93.658	197,515
	93.670	279,896
	93.732	449,431
	93.758	3,270
	93.762	53,786
	93.775	1,769
	93.778	337,393
	93.779	96,335
	93.788	954
	93.793	367,021
	93.837	19,184
	93.838	367,151
	93.839	23,920
	93.847	519,916
	93.853	1,086,443
	93.855	6,055,861
	93.859	9,945,429
	93.865	1,977,769
	93.866	2,248,521
	93.867	617,670
	93.870	1,162,325
	93.910	502,173
	93.926	12,234
	93.991	10,668
	93.994	68,499
		<u>45,065,893</u>
U.S. Department of Homeland Security	97.044	<u>375,373</u>
TOTAL		<u>\$ 113,691,671</u>



Crowe LLP
Independent Member Crowe Global

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

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

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the University of Kansas Center for Research, Inc. (the Center), a component unit of the University of Kansas, which comprise the statement of financial position as of June 30, 2020, and the related statements of activities, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated September 30, 2020.

Internal Control Over Financial Reporting

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

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

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

(Continued)

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Center's financial statements are free of 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 determination of financial statement amounts. 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 over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Crowe LLP

Crowe LLP

Indianapolis, Indiana
September 30, 2020



Crowe LLP
Independent Member Crowe Global

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

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

Report on Compliance for Each Major Federal Program

We have audited the University of Kansas Center for Research, Inc.'s (the Center), a component unit of the University of Kansas, compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of Center's major federal programs for the year ended June 30, 2020. The Center's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the Center's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; 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). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Center's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the Center's compliance.

Opinion on Each Major Federal Program

In our opinion, the Center complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2020.

(Continued)

Report on Internal Control Over Compliance

Management of the Center is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Center's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program 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 internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Center's 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 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 first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

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

Crowe LLP
Crowe LLP

Indianapolis, Indiana
September 30, 2020

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
 SCHEDULE OF FINDINGS AND QUESTIONED COSTS
 For the year ended June 30, 2020

Financial Statements

Type of auditor's report issued: Unmodified

Internal control over financial reporting:

Material weakness(es) identified? _____ Yes X No

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

Noncompliance material to financial statements noted? _____ Yes X No

Federal Awards

Internal Control over major programs:

Material weakness(es) identified? _____ Yes X No

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

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

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

Identification of major programs:

<u>CFDA Number(s)</u>	<u>Name of Federal Program or Cluster</u>
Various	Research and Development Cluster

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

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
For the year ended June 30, 2020

SECTION 2 – FINDINGS RELATED TO THE FINANCIAL STATEMENTS THAT ARE REQUIRED TO BE REPORTED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

None

SECTION 3 – FINDINGS AND QUESTIONED COSTS FOR FEDERAL AWARDS INCLUDING AUDIT FINDINGS AS DEFINED IN OMB CIRCULAR A-133 SECTION 510(a).

None

Ur

Start Date	Rank	Last Name	First Name
Jul. 1, 2019	trustee / officer	Atkinson	Simon
Feb. 24, 2020	trustee	Bichelmeyer	Barbara
Jul. 1, 2017	trustee/ officer	Girod	Doug
Mar. 16, 2014	officer (Sec/Tres)	Cregg	Gina
Mar.14, 2021	trustee	DeWitt	Jeffrey
Jan. 5, 2021	trustee	Hornberger	Jason

University of Kansas Center for Research, Inc. Board of Directors
June 1, 2021

Title	Affiliation
Vice Chancellor for Research / KUCR President and Vice Chair	KU Center for Research, President
Provost & Executive Vice Chancellor	KU - Provost's Office
Chancellor/Chair of the Board	KU - Chancellor's Office
Executive Director, Fisc. Affairs	KU Center for Research, CFO
CFO/Secretary-Treasure of the Board	KU - Chancellor's Office
VP of Finance	KU - Provost's Office

JARED BARTON, PHD, MSW

Assistant Research Professor
Director, Results Oriented Management (ROM)

EDUCATION

Ph.D., Social Welfare, with Honors, August 2019
University of Kansas, Lawrence, KS
Dissertation/Thesis: "Development and Initial Validation of a Measure for Organizational Readiness for Data-Driven Decision-Making"

Master of Social Work, Administration and Advocacy Practice Concentration, May 2008
University of Kansas, Lawrence, KS

Bachelor of Social Work, August 2007
University of Kansas, Lawrence, KS

PROFESSIONAL EXPERIENCE

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

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

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

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

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

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

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

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

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

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

RESEARCH/SCHOLARSHIP

A. Research Publications

Published

Reviewed/Refereed

Journal Articles

1. **Barton, J.**, Naemi, P., Biggs, J., Garstka, T. A., & Ball, T. C. (2020). Strengthening family retention and relationships in home visiting programs through early screening and assessment practices. *Children and Youth Services Review*, 118.
2. **Barton, J.** (2016). Federal investments in evidence-based early childhood home visiting: A multiple streams analysis. *Poverty and Public Policy*, 8, 248-262. doi:10.1002/pop4.142
3. **Barton, J.** (2007). Affordable housing crisis: The impact of housing cost burdens. *The Community Psychologist*, 40(3), 30-31.

Non-Reviewed/Refereed

Research Reports

1. **Barton, J.**, & Lewis, M. (2020, January). 2020 Findings for the Missouri Children's Trust Fund Capacity Building Initiative. *Evaluation Report*. Lawrence, KS: University of Kansas, School of Social Welfare.
2. Garstka, T., **Barton, J.**, Harms, J., Palermo, M., & Hernandez, S. (2019). Moving to What Matters: Cornerstones of Care Impact Plan. Kansas City, MO: Prepared in partnership between the University of Kansas Center for Public Partnerships and Research and Cornerstones of Care for the Kauffman Foundation.
3. **Barton, J.**, & Biggs, J. (2016). 2015 Community Needs Assessment. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
4. **Barton, J.** (2012). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
5. **Barton, J.**, & Ward, C. (2011). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).

6. **Barton, J., & Ward, C.** (2010). ECKAN Community Needs Assessment Report. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).
7. O'Brien, M., Byrnes, K., Corrigan, S., **Barton, J.**, & Frehe, V. (2008). Kansas Consumer Satisfaction Survey Children's Mental Health: Statewide Report. Lawrence, KS: The University of Kansas School of Social Welfare and Children's Mental Health.
<http://www.socwel.ku.edu/occ/projects/articles/KS%20Consumer%20Sat.%20Round%2011.pdf>
8. Beverly, S. G., & **Barton, J.** (2006). Barriers to asset accumulation for families in the SEED pre-school demonstration and impact assessment. *Seed Research Report Impact Assessment* Lawrence, KS: University of Kansas School of Social Welfare.

Works in Submission

Garstka, T., Harms, R., Biggs, J., **Barton, J.**, & Severin, L. (in revision). The IRIS Effect: An innovative approach to building a coordinated referral network between public health and social service systems. *American Journal of Public Health*.

Works in Preparation

Barton, J., & Akin, B. (in progress). Implementation Drivers as Practical Measures of Data-Driven Decision-Making for Early Childhood Programs: An Initial Validation Study. *Global Implementation Research and Applications*.

B. Scholarly Presentations

Major (National/International)

1. **Barton, J.**, & Kiani, S. (2021, May 19). *Machine learning to promote child well-being: A model for improving foster care placement decisions*. Good Tech Fest 2021, Virtual Event.
2. **Barton, J.**, & Akin, B. (2019, September). *Implementation drivers as practical measures of data-driven decision-making in early childhood programs*. Storyboard presentation at the Global Implementation Conference, Baltimore, MD.
3. Hernandez, S., & **Barton, J.** (2019, February). *Show them the money: How Iowa's home visitor incentive program promotes the workforce*. MIECHV State, Territory, and Tribal All Grantee Meeting, Baltimore, MD.
4. Garstka, T. A., **Barton, J.**, & Harms, R. (2017, May). *Building a shared measurement system in early childhood*. The 2017 National Smart Start Conference, Greensboro, NC.
5. **Barton, J.** (2016, June). *The problems, politics, and people of federal investments in evidence-based home visiting*. Influencing Social Policy's Policy Conference 2.0, St. Louis, MO.
6. **Barton, J.** (2015, January). *Predictors and Effect of Service Dosage on Parental Involvement for Mothers enrolled in Home Visiting Programs*. Society for Social Work Research Annual Conference, New Orleans, LA.

7. Garstka, T. A., **Barton, J.**, & Chang-Rios, K. (2011). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. American Evaluators Association Conference, Anaheim, CA.

Minor (State, Local, Regional)

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

C. Grants and/or Other Funded Projects

Externally-Funded Grant/Contract

Ongoing

1. **Barton, J.** (Principal), & Byers, K. (Co-PI). *Evaluation of the Missouri Children's Trust Fund's child sexual abuse prevention initiative*. Children's Trust Fund of Missouri, \$230,954, Submitted December 23, 2020 (April 1, 2021 - January 31, 2025). (Refereed/Competitive)
2. **Barton, J.** (Principal). *Results Oriented Management (ROM) for the State of Iowa's Department of Human Services*. Iowa Department of Human Services \$385,174, Submitted December 23, 2020 (April 1, 2021 - December 31, 2026). (Sole-source contract)
3. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families*. 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families \$88,025, July 1, 2020 (July 1, 2020 - Present). (Sole-source contract)
Current Status: Funded/Ongoing
4. **Barton, J.** (Principal). *Results Oriented Management (ROM) the State of New Mexico's Child, Youth, and Families Department*. New Mexico's Child, Youth, & Families Department \$621,750 (July 1, 2020 - June 30, 2027). (Sole-source contract)
Current Status: Funded/Ongoing
5. **Barton, J.** (Principal), Byers, K. (Co-Principal), & Akin, B. (Co-Principal). *Impact Evaluation of the Saint Francis Community Services' Fatherhood FIRE Initiative (Family-Focused, Interconnected, Resilient, & Essential)*. Healthy Marriage and Responsible Fatherhood (HMRF) contract with the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance., U.S. Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance \$867,856, Submitted July 1, 2020 (October 1, 2020 - September 30, 2025). (Refereed/Competitive)
6. **Barton, J.** (Principal). *Results Oriented Management (ROM) reports system for the Oregon Department of Human Services*. STE0067405, Oregon Department of Human Services \$287,650 (January 1, 2021 - December 31, 2023). (Sole-source contract)
7. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Vermont Department for Children and Families*. Vermont Department for Children and Families \$805,975 (October 1, 2015 - September 30, 2023). (Sole-source contract)
Current Status: Funded/Ongoing
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
8. **Barton, J.** (Principal). *Evaluation of the Missouri Children's Trust Capacity Building Project*. Children's Trust Fund of Missouri, Jefferson, City, MO \$35,000, (March 2020 - December 2022). (Refereed/Competitive)
9. **Barton, J.** (Principal). *Results Oriented Management (ROM) for TFI Family Services*. 1002264, TFI Family Services \$151,350, (October 1, 2020 - September 30, 2022). (Sole-source contract)

10. **Barton, J.** (Principal). *Results Oriented Management (ROM) for the State of Maine's Department of Health and Human Services*. \$161,608 (July 1, 2020 - June 30, 2022). (Sole-source contract)
11. Byers, K. (Principal), **Barton, J.** (Co-Principal), & Akin, B. (Co-Principal). *Examination of Predictors of Youth Absent from Care*. TFI Family Services \$69,930, Submitted March 2020 (September 1, 2020 - August 31, 2021). (Sole-source contract)
12. Mendenhall, A. (Principal), Akin, B. (Co-Principal), & **Barton, J.** (Co-Principal). *Assessment of Client Functioning Across Populations and Programs*. Saint Francis Community Services \$63,820 (July 1, 2020 - June 30, 2021). (Sole-source contract)
13. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services*. 1001750, Wyoming Department of Family Services \$98,735 (July 1, 2020 - June 30, 2021). (Sole-source contract)
14. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for Montana State Department of Public Health and Human Services*. \$88,025 (July 1, 2020 - June 30, 2021). (Sole-source contract)
15. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families*. Connecticut Department of Children and Families \$84,775 (July 1, 2020 - June 30, 2021). (Sole-source contract)
16. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families*. State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families \$150,250 (July 1, 2019 - June 30, 2021). (Sole-source contract)
 Current Status: Funded/Ongoing
 *Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
17. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Ohio Department of Job and Family Services*. 1001238, Ohio Department of Job and Family Services \$155,725 (July 1, 2019 - June 30, 2021). (Sole-source contract)
 Current Status: Funded/Ongoing
 *Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
18. **Barton, J.** (Principal). *Results Oriented Management (ROM) reporting system for the Iowa Department of Human Services*. STE0074861, Iowa Department of Human Services \$15,954 (January 1, 2021 - March 31, 2021). (Sole-source contract)

Submitted, Funded

19. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *Performance Data Management Services for the Kansas Maternal, Infant, & Early Childhood Home Visiting Program*. Kansas Department of Health & Environment, Topeka, KS \$581,150 (October 2017 -

February 2020). (Sole-source contract)

20. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *Kansas Early Head Start Data Reporting System*. Kansas Department of Children and Families, Topeka, KS \$102,767 (June 17, 2017 - February 2020). (Sole-source contract)
21. **Barton, J.** (Principal), & Garstka, T. A. (Co-Principal). *State of Iowa Family Support Program Performance Management Solution and Analytics; DAISEY: Data Application and Integration Solution for the Early Years*. Iowa Department of Public Health, Des Moines, IA \$1,681,683 (October 2015 - February 2020). (Sole-source contract)
22. Garstka, T. A. (Principal), & **Barton, J.** (Co-Principal). *Early Childhood Block Grant Performance Management System*. Douglas County Success by Six Coalition \$33,380 (2013 - 2014). (Sole-source contract)
23. Lemon, M. (Principal), Counts, J. (Co-Principal), & **Barton, J.** (Grant-Writer). *Kansas Enrichment Network: Technical Assistance for Kansas 21st Century Community Learning Center Grantees*. Kansas State Department of Education, Topeka, KS \$1,400,000 (July 2019 - June 2024). (Refereed/Competitive)

Completed, Funded

24. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families*. 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families \$193,800 (December 1, 2018 – June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
25. **Barton, J.*** (Principal). *Results Oriented Management (ROM) the State of New Mexico's Child, Youth, and Families Department*. New Mexico's Child, Youth, & Families Department \$316,650 (November 1, 2016 – June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
26. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reports system for the Oregon Department of Human Services*. STE0067405, Oregon Department of Human Services \$755,420 (January 1, 2011 - December 31, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
27. **Barton, J.*** (Principal). *Results Oriented Management (ROM) for the State of Maine's Department of Health and Human Services*. \$158,595 (July 1, 2018 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

28. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services*. 1001750, Wyoming Department of Family Services \$98,725 (July 1, 2019 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
29. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for Montana State Department of Public Health and Human Services*. \$743,780 (July 1, 2013 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.
30. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families*. Connecticut Department of Children and Families \$74,575 (July 1, 2019 - June 30, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.
31. **Barton, J.*** (Principal). *Results Oriented Management (ROM) reporting system for the Iowa Department of Human Services*. STE0074861, Iowa Department of Human Services \$340,095 (January 1, 2015 – December 31, 2020). (Sole-source contract)
*Jared Barton assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

SERVICE

School of Social Welfare

Member

DSW Implementation Committee (elected). (April 2021 - Present)

Chair

Awards Committee (elected). (June 2020 - Present)

Mentor

MSW Research Scholar Program. Serve as faculty mentor for two current MSW students receiving scholarships under the MSW Research Scholar Program. (October 1, 2020 - May 31, 2021)

PROFESSIONAL SERVICE OUTSIDE THE UNIVERSITY

International

Reviewer, Ad Hoc

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

National

Advisory/Expert Committee

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

Service Presentations

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

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

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

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

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

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

Jonathan G. Sushinsky

Associate Director of ROM

Professional Experience

- **Associate Director – Results Oriented Management (ROM) Reports: University of Kansas School of Social Welfare:** July 2018 to present.
 - Maintain day to day operations of the ROM project including consultation with staff and contractors, prioritization of deliverables, and development and delivery of ROM updates.
 - Maintain client contacts including primary site consultation with several clients, and prepare presentations and materials for client meetings.
 - Negotiate scope of work and budget with clients as needed to develop contracts and contract extensions for licensing and hosting the ROM Reports application

- **Independent Consultant:** March 2016 to July 2018: Worked as an independent consultant providing human services data consultation on numerous projects. Clients include:
 - **Results Oriented Management Project University of Kansas School of Social Welfare** (March 2016-July 2018):
 - Site liaison for seven state child welfare agencies contracting with the University of KS for ROM Reporting Services. This includes, but is not limited to tasks such as client status meetings, analysis and design of customizations, problem investigation and resolution, planning and coordinating software updates.
 - Participate in in planning meetings to assist with the specifications for the set of ROM applications as defined in the ROM Leadership Council meetings and at the direction of the Project PI. Assist in the delivery of the product updates in accordance with approved specifications and documentation. Assist with development and delivery of training.
 - ROM Reports maintenance and report development. This includes but is not limited to tasks such as participation in status meetings, team technical updates / discussions, code development, code review of other team members, testing, creating testing data, documentation, help with debugging.
 - **Colorado Department of Human Services** (October 2016 to June 2017 and January 2018 to June 2018):
 - Provide training and technical assistance to the Division of Child Welfare’s Research, Analysis and Data (RAD) Unit, with a focus on meeting federal reporting requirements.
 - Weekly consultation with the RAD Unit to provide technical assistance on data query and reporting from Oracle and MS SQL Server databases using PL-SQL, T-SQL, and Crystal Reports
 - Technical assistance and training for the Unit’s new Federal Reports Supervisor
 - Assisting with the submission of three Federal data submissions (AFCARS NCANDS, and NYTD) to the US Department of Health and Human Services, Administration for Children and Families (the Children's Bureau)
 - Provide technical training and mentoring to the Child Welfare Continuous Quality Improvement and Research Supervisor. Tasks included training on database querying and report development from Oracle and MS SQL Server databases using PL-SQL, T-SQL, and Crystal Reports.

- **Larimer County, Colorado Department of Human Services** (March 2016 – December 2016):
 - Develop Crystal Reports as needed and provide technical assistance to the Department's Senior Business Analyst
- **Manager of the Research, Analysis, and Data Unit: Colorado Division of Child Welfare, Department of Human Services** (July 2012 – February 2016)
 - Manage a team of nine subject matter experts in the areas of research, program evaluation, data extraction, data analysis, data reporting, federal reporting, continuous quality improvement, performance management, quality assurance, database management, and statistics and research methodology
 - Promote the use of data-centered, objective-based performance management to include new tools and new methodologies, including the use of inferential statistics for predictive modeling
 - Expanded from a small team of four in 2012 to current staffing in order to meet increased demands of an increasingly data-driven organization
 - Increased the Division's capacity to develop new data reports, provide internal program evaluation, and advanced continuous quality improvement efforts in Colorado's child welfare system
 - Complete data requests for internal and external stakeholders including Division program staff, Department executive management team, the Colorado Legislature, county human services departments, local and national social services entities, and academic and professional research and evaluation projects
 - Advise state and county human services leaders on data driven policy and practice changes
 - Provide federal data submissions
 - Oversee evaluation and technical contracts for the Division including the development of a public outcomes and data reporting system - www.cdhsdatamatters.org
 - Lead the effort to modernize the State's federally compliant Statewide Automated Child Welfare Information System (Colorado Trails) in collaboration with the Governor's Office of Information Technology (OIT), and collaborate with OIT and system end users on the prioritization and development of new functionality within Trails
 - Manage human resources tasks including posting, interviewing, hiring, and training of new staff, direct supervision of three supervisors and one administrative staff, conducting annual performance reviews, and ensuring timely and accurate delivery of work products
 - Chair the Trails Modernization Leadership Committee and IV-E Waiver Evaluation Sub-Committee and maintain membership on numerous other statewide committees and work groups as a subject matter expert in child welfare research and data
 - Prepare and oversee of the preparation of reports and presentations
 - Act as the State lead for the Federal Child and Family Service Review
 - Present to various committees and stakeholder groups including the Child Welfare Allocation Committee, the Child Welfare Executive Leadership Council, the Child Welfare SubPAC, the Practice Advancement Group, the Continuous Quality Improvement Work Group, the Hotline Steering Committee, and the Workload Study Work Group
- **Federal Data Analyst: Colorado Division of Child Welfare, Department of Human Services** (May 2011 – July 2012)
 - Conducted all duties related to the submission of federally maintained child welfare data sets (AFCARS NCANDS, and NYTD) including the data preparation, data analysis and submission of federal data sets to the US Department of Health and Human Services, Administration for Children and Families (the Children's Bureau)
 - Developed and approved data extraction procedures for federal data sets using PL/SQL

- Developed protocols for timely and accurate data reporting of data files on adoptions, foster care populations, and children involved in child abuse and neglect investigations for the State of Colorado
- Used SPSS, SQL, Crystal Reports, and Microsoft Office to conduct analyses using Colorado's federal data submissions
- Supervised the Trails Quality Assurance position which was responsible for ensuring consistency in accurate and timely data entry practices in the county offices to reduce the likelihood of a fiscal penalty for the state following federal data submissions
- Conducted annual performance reviews and maintained a regular supervision schedule to develop priorities and ensure quality delivery of data requests, reports, and other work product.
- **Researcher: Colorado Division of Youth Corrections, Department of Human Services** (January 2001 – May 2006 and October 2008 to May 2011)
 - Conducted data preparation, cleaning, and analysis tasks
 - Responded to stakeholder information and data requests
 - Prepared written responses to Colorado Legislative requests for information
 - Reported to the Division leadership team on statistical analyses
 - Prepared data to be presented to the Colorado General Assembly and Joint Budget Committee
 - Conducted statistical analysis of data using SPSS
 - Designed and maintaining external client databases in Microsoft Access
 - Maintained subject matter area expertise in the Trails data system, including data validation and data integrity
 - Extracted data from Trails via data extracts using Crystal Reports, and Toad for Oracle
 - Generated regular and ad-hoc reports for stakeholders from large State of Colorado databases, including Trails, DYC's Client Data System, and the Judicial Department's ICON database
 - Summarized data from multiple sources in spreadsheets, written data reports and oral presentations to stakeholders using Microsoft Office
 - Collaborated with state agencies and contractors to collect data for program and recidivism evaluations
 - Preparation of the Division's annual recidivism report
 - Collaborated with independent evaluators for external program evaluations.
 - Developed a statistical bed allocation formula for the Division following the implementation of a cap on the amount of available detention spaces within the State
- **Research Associate: Center for Substance Abuse Research, University of Maryland, College Park** (May 1995 to July 2000)
 - Designed, implemented, and supervised survey methodology, data collection, and analyses for the Juvenile Offender Population Urinalysis Screening project
 - Developed program evaluation protocols including survey design, sampling and supervision of interviewers
 - Prepared and analyzed data (qualitative and quantitative) for presentations and reports
 - Conducted statistical analysis of data using SPSS
 - Disseminated data and information on a variety of substance abuse issues
 - Conducted interviews with adult and juvenile offenders in the Maryland criminal and juvenile justice systems
 - Conducted an evaluation of the Drug Use Forecasting national data collection instrument
 - Advised a program evaluation of a residential treatment center on statistical methodology and analyses

Skills

- Data Collection
- Data Analysis
- Data Management
- Written Reports
- Oral Presentations
- Statistics and Methodology
- Evaluation
- Performance Management

Data Analysis and Reporting Tools

- SPSS
- SQL (T-SQL and P-SQL)
- SSMS
- Toad for Oracle (DataPoint)
- Crystal Reports
- Microsoft and Google suites (e.g., Excel, Access, Word, Google Docs, Google Sheets)

Education

- Bachelor of Science/Criminal Justice 1995: University of Maryland, College Park, MD
- Completed coursework in the Criminology MS department 1996-2000: University of Maryland, College Park, MD

University of Kansas Center for Research, Inc.

Results Oriented Management (ROM)

Key Personnel

Name	Job Title	Salary	% Paid from this Contract	Amount Paid from this Contract
Jared Barton	Assistant Research Professor, Director of ROM	\$82,000	5%	\$4,100
Jon Sushinsky	Associate Director of ROM	\$90,000	6.5%	\$5,850



10
MAC

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

Jeffrey A. Meyers
Commissioner

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

Joseph E. Ribsam, Jr.
Director

October 25, 2019

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

REQUESTED ACTIONS

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

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

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

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

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

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

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

EXPLANATION

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

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

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

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

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

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

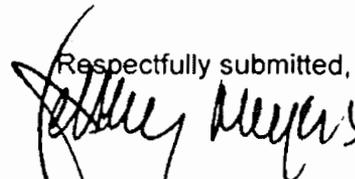
- *Updates* – KU shall continually update the application and data preparation routines to respond to changes in technology and upgrade the system infrastructure for improving performance.
- *Fix problems* - KU shall fix data preparation routines and calculations found to be in error and problems identified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

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

Geographic Area: Statewide

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

Respectfully submitted,



Jeffrey A. Meyers
Commissioner



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

Denis Goulet
Commissioner

September 23, 2019

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

Dear Commissioner Meyers:

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

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

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

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

Sincerely,


Denis Goulet

DG/kaf/ck
DoIT #2014-138A

cc: Bruce Smith, IT Manager, DoIT

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



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

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

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

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

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

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

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

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

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

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



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

3.2.5. The Contract Project Manager is:

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

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

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

The Contracted Vendor's Key Project Staff:

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

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

3.4 STATE CONTRACT MANAGER

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

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

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

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

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

2. INVOICING

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

[Signature]
10/21/19

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



the State and contain detailed information, including without limitation:

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

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

2.3 Invoices shall be sent to:

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

Kellie.esdale@dhhs.nh.gov

12: Add Exhibit K, DHHS Information Security Requirements.

Handwritten initials, possibly 'JW', in black ink.

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

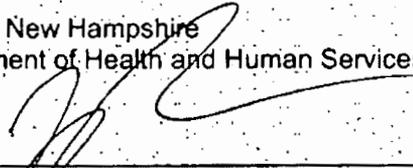


This amendment shall be retroactively effective to July 1, 2019, upon the date of Governor and Executive Council approval.

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

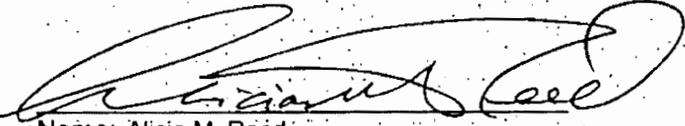
State of New Hampshire
Department of Health and Human Services

10/29/19
Date


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

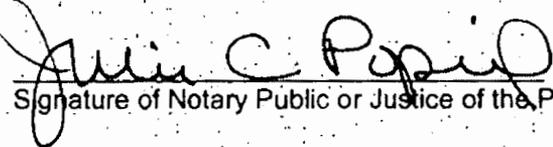
University of Kansas Center for Research, Inc.

10/21/19
Date

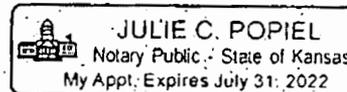

Name: Alicia M. Reed
Title: Director, Research Administration

Acknowledgement of Contractor's signature:

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


Signature of Notary Public or Justice of the Peace

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



My Commission Expires: July 31, 2022



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

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

OFFICE OF THE ATTORNEY GENERAL

10/31/19
Date


Name: CATHERINE PINOS
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

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

Subscription Services

1. Annual Subscription Fee

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

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

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



10/21/19

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #2
PRICE & PAYMENT SCHEDULE

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price.

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

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #2
PRICE & PAYMENT SCHEDULE

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #2
PRICE & PAYMENT SCHEDULE

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT B - AMENDMENT #2
PRICE & PAYMENT SCHEDULE

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

1.2 Annual Subscription Fee

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

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

New Hampshire Department of Health and Human Services

Exhibit K

DHHS Information Security Requirements



A. Definitions

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

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

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

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

New Hampshire Department of Health and Human Services

Exhibit K

DHHS Information Security Requirements



all of which may have the potential to put the data at risk of unauthorized access, use, disclosure, modification or destruction.

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

I. RESPONSIBILITIES OF DHHS AND THE CONTRACTOR

A. Business Use and Disclosure of Confidential Information.

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

[Handwritten Signature]



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

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

II. METHODS OF SECURE TRANSMISSION OF DATA

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



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

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

III. RETENTION AND DISPOSITION OF IDENTIFIABLE RECORDS

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

A. Retention

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

[Handwritten Signature]



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

B. Disposition

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

IV. PROCEDURES FOR SECURITY

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

New Hampshire Department of Health and Human Services

Exhibit K

DHHS Information Security Requirements



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

New Hampshire Department of Health and Human Services

Exhibit K

DHHS Information Security Requirements



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

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

DHHS Information Security Requirements



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

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

V. LOSS REPORTING

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

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

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



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

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

VI. PERSONS TO CONTACT

A. DHHS Privacy Officer:

DHHSPrivacyOfficer@dhhs.nh.gov

B. DHHS Security Officer:

DHHSInformationSecurityOffice@dhhs.nh.gov



Jeffrey A. Meyers
Commissioner
Christine Tappan
Interim Director

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

129 PLEASANT STREET, CONCORD, NH 03301-3857
603-271-4461 1-800-852-3345 Ext. 4461
FAX: 603-271-4729 TDD Access: 1-800-735-2964 www.dhhs.nh.gov

October 6, 2017

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

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

REQUESTED ACTION

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

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

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

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

EXPLANATION

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

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

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

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

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

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

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

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

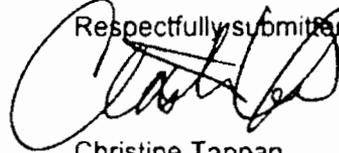
His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 3

Area served: Statewide

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

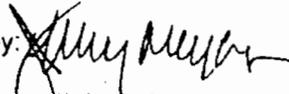
In the event that the Federal (or Other) Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Christine Tappan,
Interim Director

Approved by:



Jeffrey A. Meyers
Commissioner



Nicholas A. Toumpas
Commissioner

Mary Ann Cooney
Associate Commissioner

FEB12'15 PM 2:08 DAS

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

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

YU Item # 9
G&C Approved
February 25, 2015

January 20, 2015

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

Sole Source

REQUESTED ACTION

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

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

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

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

EXPLANATION

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

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

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

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

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

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

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

Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council:
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using a manual system and may incur financial penalties to the Administration for Children & Families.

Area Served: Statewide.

Source of Funds: 100% General Funds.

Respectfully submitted,



Mary Ann Cooney
Associate Commissioner

Approved By:



Nicholas A. Toumpas
Commissioner



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

Steven J. Kelleher
Acting Commissioner

February 4, 2014

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

Dear Commissioner Toumpas:

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

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

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

Sincerely,

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

Steven J. Kelleher

SJK/lm
Contract 2014-138

cc: Eric Borrin, DHHS
Leslie Mason, DoIT