ARC

106

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION FOR CHILDREN, YOUTH & FAMILIES

Lori A. Weaver
Commissioner

Marie Noonan
Director

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

May 14, 2025

Her Excellency, Governor Kelly A. Ayotte
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division for Children, Youth and Families, to enter into a **Sole Source** amendment to an existing contract with University of Kansas Center for Research, Inc. (VC #253972), Lawrence, KS to continue providing the Results Oriented Management web-based software product for the provision of data development, reporting and annual subscriptions, by exercising a contract renewal option and extending the contract for an additional year, by increasing the price limitation by $217,279 from $583,340 to $800,619 and extending the completion date from June 30, 2025 to June 30, 2027, effective July 1, 2025, upon Governor and Council approval. 77% Federal Funds. 23% General Funds.

The original contract was approved by Governor and Council on February 25, 2015, item #9, amended on November 8, 2017, item #16, amended on November 25, 2019, item #10, amended on June 30, 2021, item #30, and most recently amended on June 28, 2023, item #28.

Funds are anticipated to be available in State Fiscal Years 2026 and 2027, 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

This request is **Sole Source** because MOP 150 requires all amendments to agreements originally approved as sole source to be identified as sole source. The University of Kansas Center for Research, Inc. is the developer of the proprietary Results Oriented Management (ROM) software and therefore is the only vendor from which the State can purchase product access. The ROM software generates critical reports related to a range of program outcomes such as child protection and juvenile justice and other performance indicators that measure the success of child welfare services. These data-driven reports support informed decision-making, enabling the Department to optimize operations, track progress, and identify areas needing improvement. In order to utilize the web-based application provided by the Contractor, the Department must pay annual subscription fees.

The purpose of this request is to exercise an available contract renewal option for the Contractor to continue to provide 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 ROM reporting system provides data on the

Department's child welfare program outcomes, child counts, and other performance indicators. Department staff including caseworkers and supervisors use the data in ROM to monitor case management activities and responsibilities. The Contractor provides use and maintenance of the ROM application software through regular update releases and new user interfaces. Maintenance and support services include:

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

The Department, as well as many federal and state partners, utilize the data to monitor the quality of services and continuously plan for improvements as best practices are identified. There are currently 11 states that use the software to monitor their own unique data. The Contractor will work collaboratively with the Department to further develop, implement, and maintain ROM Reports.

As referenced in Contract Agreement - Part 2, Subsection 1.3, Contract Term, of the original agreement, the parties have the option to extend the agreement for up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and Governor and Council approval. The Department is exercising its option to renew services for one (1) year of the one (1) year available and extending the completion date for one (1) additional year beyond the available contract renewal options.

Should the Governor and Council not authorize this request, the Department would be unable to access the most current Child Welfare strategies for performance management and improved outcomes for the children and families of New Hampshire. Without access to this software product, the Department will require additional resources to monitor caseworker activities and ensure compliance with all the mandated requirements using a manual system, and may incur financial penalties from the U.S. Administration for Children & Families.

Area served: Statewide.

Source of Federal Funds: Assistance Listing Number #93.659, FAIN #2401NHADPT; ALN 93.658, FAIN #2401NHFOST; ALN 94.558, FAIN #2501NHTANF; ALN 93.778, FAIN #2405NH5MAP; ALN 93.674, FAIN #2401NHCLIP; ALN 93.671, FAIN #2401NHFVPS; and ALN 10.561, FAIN #254NH403S2514.

Respectfully submitted,

Lori A. Weaver
Commissioner

Fiscal Details

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	$16,000	$0	$16,000
2023	067-500557	Contracts for Prog Servs	42106004	$16,000	$0	$16,000
			Subtotal:	***$126,900***	***$0***	***$126,900***

05-95-42-421010-29560000 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
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	$69,900	$0	$69,900
2023	026-500251	Organizational Dues	42015602	$73,075	$0	$73,075
			Subtotal:	***$261,225***	***$0***	***$261,225***

05-095-42-421010-32210000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF, HHS: HUMAN SERVICES DIV, CHILD PROTECTION, BUR EVAL ANALYSIS % REPORTING 23% Federal Funds, 77% General

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2024	026-500251	Organization Dues	42102103	$95,682	$0	$95,682
2025	026-500251	Organization Dues	42102103	$99,533	$0	$99,533
			Subtotal:	***$195,215***	***$0***	***$195,215***

05-095-42-421010-32210000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT, HHS: DIV CHILDREN, YOUTH & FAMILIES, CHILD PROTECTION, BUR EVAL ANALYSIS % REPORTING 23% Federal Funds, 77% General Funds

State Fiscal Year	Class/Account	Class Title	Activity Code	Current (Modified) Budget	Increased (Decreased) Amount	Revised Modified Budget
2026	026-500251	Organization Dues	42102103	$0	$105,990	$105,990
2027	026-500251	Organization Dues	42102103	$0	$111,289	$111,289
			Subtotal:	***$0***	***$217,279***	***$217,279***

Total	**$583,340**	**$217,279**	**$800,619**

STATE OF NEW HAMPSHIRE
DEPARTMENT OF INFORMATION TECHNOLOGY

New Hampshire DoIT

27 Hazen Drive | Concord, NH | 03301
Fax: (603) 271-1516 | TDD: (800) 753-2964
doit.nh.gov

Denis Goulet, *Commissioner*

May 13, 2025

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

Dear Commissioner Weaver:

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

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

The Total Price Limitation shall increase by $217,279 for a New Total Price Limitation of $800,619, effective July 1, 2025, upon Governor and Council approval through June 30, 2027.

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

Sincerely,

Denis Goulet

DG/jd
DoIT #2014-138E

cc: Ken Gagne, IT Manager, DoIT

State of New Hampshire
Department of Health and Human Services
Amendment #5

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), as amended on June 30, 2021 (Item #30), and most recently amended on June 28, 2023 (Item #28), 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, the Contract may be amended upon written agreement of the parties and approval from the Governor and Executive Council; 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, 2027

2. Form P-37, General Provisions, Block 1.8, Price Limitation, to read:

   $800,619

3. Modify Consolidated Exhibits – Part 3, Exhibit A Contract Deliverables, Section 2. Deliverables, Milestones, and Activities Schedule, by adding Subsection 2.2., to read:

   2.2. **Single Sign-on (SSO)** - The Vendor shall provide SSO detail for their application and work with the State to integrate with the State of New Hampshire Directory Identity System. All applications must support industry-standard authentication protocols, such as SAML, and align with the State's security and compliance requirements. The integration of applications must not introduce undue risk to State systems or data. All requests for SSO must undergo a formal review to ensure they meet these criteria before approval and implementation. The Vendor must comply with all DoIT standards and policies associated with authentication including but not limited to multifactor authentication (MFA) and clearly delineate authorization level access details required to the satisfaction of the State. The Vendor will also provide qualified staff to assist the state as needed when/if formal approval criteria has been met.

4. Modify Consolidated Exhibits – Part 3, Exhibit B – Amendment #3, Price & Payment Schedule, Section 1, Deliverable Payment Schedule, Subsection 1.2, Annual Subscription Fee, to read:

   1.2 Annual Subscription Fee

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

July	2020	$57,750
July	2021	$60,500
July	2022	$69,900
July	2023	$73,075
July	2024	$95,682
July	2025	$99,533

Contractor Initials DS AMR
Date 5/1/2025

July	2026	**$105,990**	
July	2027	**$111,289**	
		Subtotal	***$673,719***
		TOTAL	**$800,619**

DS
Contractor Initials AMR
Date 5/1/2025

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, 2025, upon Governor and Council approval.

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

State of New Hampshire
Department of Health and Human Services

5/1/2025
Date

DocuSigned by:
Marie Noonan
2F0CB724C31F48F...
Name: Marie Noonan
Title: DCYF Director

University of Kansas Center for Research, Inc.

5/1/2025
Date

DocuSigned by:
Alicia M. Reed
153546BF45CD407...
Name: Alicia M. Reed
Title: Director Research Administration

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

OFFICE OF THE ATTORNEY GENERAL

:5/5/2025
Date

DocuSigned by:
Robyn Guarino
Name: Robyn Guarino
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

State of New Hampshire
Department of State

CERTIFICATE

I, David M. Scanlan, Secretary of State of the State of New Hampshire, do hereby certify that UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC. is a Kansas Nonprofit Corporation registered to transact business in New Hampshire on October 20, 2014. I further certify that all fees and documents required by the Secretary of State's office have been received and is in good standing as far as this office is concerned.

Business ID: 716395

Certificate Number: 0005756589

IN TESTIMONY WHEREOF,
I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 12th day of April A.D. 2022.

David M. Scanlan
Secretary of State

CERTIFICATE OF AUTHORITY

I, Shelley Hooks, hereby certify that:

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

2. The following is a true copy of a vote taken at a meeting of the Board of Directors/shareholders, duly called and held on January 27, 2015, at which a quorum of the Directors/shareholders were present and voting.

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

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

Dated: 4-30-25

Signature of Elected Officer
Name: Shelley Hooks
Title: Vice Chancellor for Research

ACORD

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY) 7/3/2024

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

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

PRODUCER
Arthur J. Gallagher Risk Management Services, LLC
235 Highlandia Drive
Suite 200
Baton Rouge LA 70810

CONTACT NAME: Cheryl Kelley
PHONE (A/C, No, Ext): 512-652-2461 FAX (A/C, No): 512-652-2462
E-MAIL ADDRESS: cheryl_kelley@ajg.com

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:	

INSURED UNIVOFK-16
University of Kansas Center for Research, Inc.
2385 Irving Hill Rd., RM 108
Lawrence KS 66045

COVERAGES CERTIFICATE NUMBER: 1463843450 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	X COMMERCIAL GENERAL LIABILITY			43UENAV5JYH	7/1/2024	7/1/2025	EACH OCCURRENCE	$ 1,000,000
	CLAIMS-MADE X OCCUR						DAMAGE TO RENTED PREMISES (Ea occurrence)	$ 300,000
							MED EXP (Any one person)	$ 10,000
							PERSONAL & ADV INJURY	$ 1,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE	$ 2,000,000
	X POLICY PRO-JECT LOC						PRODUCTS - COMP/OP AGG	$ 2,000,000
	OTHER:							$
A	AUTOMOBILE LIABILITY			43UENBC5FU3	7/1/2024	7/1/2025	COMBINED SINGLE LIMIT (Ea accident)	$ 1,000,000
	X ANY AUTO						BODILY INJURY (Per person)	$
	OWNED AUTOS ONLY / SCHEDULED AUTOS						BODILY INJURY (Per accident)	$
	X HIRED AUTOS ONLY / X NON-OWNED AUTOS ONLY						PROPERTY DAMAGE (Per accident)	$
								$
B	X UMBRELLA LIAB / X OCCUR			43RHUAW7CBC	7/1/2024	7/1/2025	EACH OCCURRENCE	$ 5,000,000
	EXCESS LIAB / CLAIMS-MADE						AGGREGATE	$ 5,000,000
	DED / X RETENTION $ 10,000							$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY						PER STATUTE / OTH-ER	
	ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? Y / N (Mandatory in NH)	N / A					E.L. EACH ACCIDENT	$
	If yes, describe under DESCRIPTION OF OPERATIONS below						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

State of New Hampshire
Department of Health and Human Services
Attn: Jonathan V Gallo, ESQ
129 Pleasant St
Concord NH 03301
USA

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

© 1988-2015 ACORD CORPORATION. All rights reserved.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

University of Kansas Office of Research Mission Statement

KU research addresses problems of worldwide significance, delivers solutions that make a difference to Kansas and the region, and promotes an inclusive community of responsible inquiry and innovation for students and scholars.

The Office of Research facilitates that mission by advocating for research, scholarship and creative activity, implementing research integrity requirements, and, through the KU Center for Research (KUCR), managing the administration of research grants and contracts. KU Research also has oversight of activities related to technology commercialization and business and industry outreach.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

UNIVERSITY OF KANSAS
CENTER FOR RESEARCH, INC.

(A Component Unit of the University of Kansas)

FINANCIAL STATEMENTS

June 30, 2024 and 2023

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

FINANCIAL STATEMENTS
June 30, 2024 and 2023

CONTENTS

INDEPENDENT AUDITOR'S REPORT 1

FINANCIAL STATEMENTS

STATEMENTS OF FINANCIAL POSITION 4

STATEMENTS OF ACTIVITIES 5

STATEMENTS OF CASH FLOWS 7

NOTES TO FINANCIAL STATEMENTS 8

SUPPLEMENTARY INFORMATION

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS 24

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS 64

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* 71

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR MAJOR FEDERAL PROGRAM AND REPORT ON INTERNAL CONTROL OVER COMPLIANCE 73

SCHEDULE OF FINDINGS AND QUESTIONED COSTS 76

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

Crowe

Crowe LLP
Independent Member Crowe Global

INDEPENDENT AUDITOR'S REPORT

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

Report on the Audit of the Financial Statements

Opinion

We have audited the financial statements of 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, 2024 and 2023, and the related statements of activities, and cash flows for the years then ended, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of University of Kansas Center for Research, Inc. as of June 30, 2024 and 2023, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

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

Responsibilities of Management for the Financial Statements

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

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

(Continued)

Auditor's Responsibilities for the Audit of the Financial Statements

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

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

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

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

Supplementary Information

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

(Continued)

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated September 26, 2024 on our consideration of the University of Kansas Center for Research, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control over financial reporting and compliance.

Crowe LLP

Crowe LLP

Indianapolis, Indiana
September 26, 2024

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF FINANCIAL POSITION
June 30, 2024 and 2023

	2024	2023
Assets		
Current assets		
Cash and cash equivalents	$ 14,740,217	$ 27,542,122
Current investments	93,357,197	85,852,550
Accounts receivable, net	38,806,970	30,225,151
Note receivable, net – current	114,118	109,466
Prepaid expenses	305,781	307,406
Total current assets	147,324,283	144,036,695
Non-current assets		
Property and equipment, net	18,034,418	17,725,614
Buildings and equipment in progress	1,091,206	1,052,353
Total property and equipment, net	19,125,624	18,777,967
Right of use asset	4,746,749	4,926,497
Long-term investments	9,273,985	8,800,557
Note receivable, net	335,954	394,200
Total non-current assets	33,482,312	32,899,221
Total assets	$ 180,806,595	$ 176,935,916
Liabilities and net assets		
Current liabilities		
Accounts payable and accrued expenses	$ 12,324,656	$ 11,383,907
Bonds payable, net – current	4,049,983	982,753
Notes payable – current	-	2,819,358
Lease liabilities, current portion	422,925	600,354
Assets held for others	7,709,505	8,418,287
Deferred revenues – sponsored research	11,523,684	12,678,718
Total current liabilities	36,030,753	36,883,377
Non-current liabilities:		
Bonds payable, net	-	4,049,984
Lease liabilities	1,713,712	4,553,683
Total non-current liabilities	1,713,712	8,603,667
Total liabilities	37,744,465	45,487,044
Net assets		
Without donor restrictions	133,943,110	122,803,280
With donor restrictions	9,119,020	8,645,592
Total net assets	143,062,130	131,448,872
Total liabilities and net assets	$ 180,806,595	$ 176,935,916

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2024

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, gains, and other support			
Direct research income	$ 157,667,713	$ -	$ 157,667,713
Facilities & administrative (F&A) revenue	33,816,104	-	33,816,104
	191,438,817	-	191,483,817
Service centers	16,241,022	-	16,241,022
Royalties	269,858	-	269,858
Investment returns, net	7,467,701	782,751	8,250,452
Other income	1,663,993	-	1,663,993
Net assets released from restriction	309,323	(309,323)	-
	25,951,897	473,428	26,425,325
Total revenues, gains, and other support	217,435,714	473,428	217,909,142
Expenses			
Program services			
Direct research expenses	160,428,818	-	160,428,818
Capitalized expenses for property and equipment	(6,858,373)	-	(6,858,373)
	153,570,445	-	153,570,445
Research unit/school expenses	5,715,271	-	5,715,271
Service centers	22,674,677	-	22,674,677
Other programs services	2,597,413	-	2,597,413
Interest expense	150,200	-	150,200
Total program services	184,708,006	-	184,708,006
Supporting services:			
University support	936,308	-	936,308
Research administration and unit support	17,879,703	-	17,879,703
Matching costs	1,232,104	-	1,232,104
Total supporting services	20,048,115	-	20,048,115
Total expenses	204,756,121	-	204,756,121
Change in net assets before transfers	12,679,593	473,428	13,153,021
Transfers to University	(1,539,763)	-	(1,539,763)
Change in net assets	11,139,830	473,428	11,613,258
Net assets, beginning of year	122,803,280	8,645,592	131,448,872
Net assets, end of year	$ 133,943,110	$ 9,119,020	$ 143,062,130

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2023

	Without Donor Restrictions	With Donor Restrictions	Total
Revenues, gains, and other support			
Direct research income	$ 140,091,388	$ -	$ 140,091,388
Facilities & administrative (F&A) revenue	32,106,212	-	32,106,212
	172,197,600	-	172,197,600
Service centers	13,844,480	-	13,844,480
Royalties	370,525	-	370,525
Investment returns, net	4,146,484	75,604	4,222,088
Other income	1,925,637	-	1,925,637
Net assets released from restriction	280,155	(280,155)	-
	20,567,281	(204,551)	20,362,730
Total revenues, gains, and other support	192,764,881	(204,551)	192,560,330
Expenses			
Program services			
Direct research expenses	140,865,733	-	140,865,733
Capitalized expenses for property and equipment	(2,983,335)	-	(2,983,335)
	137,882,398	-	137,882,398
Research unit/school expenses	4,704,198	-	4,704,198
Service centers	16,995,467	-	16,995,467
Other programs services	1,966,147	-	1,966,147
Interest expense	214,754	-	214,754
Total program services	161,762,964	-	161,762,964
Supporting services:			
University support	825,212	-	825,212
Research administration and unit support	14,974,695	-	14,974,695
Matching costs	1,383,724	-	1,383,724
Total supporting services	17,183,631	-	17,183,631
Total expenses	178,946,595	-	178,946,595
Change in net assets before transfers	13,818,286	(204,551)	13,613,735
Transfers to University	(1,757,694)	-	(1,757,694)
Change in net assets	12,060,592	(204,551)	11,856,041
Net assets, beginning of year	110,742,688	8,850,143	119,592,831
Net assets, end of year	$ 122,803,280	$ 8,645,592	$ 131,448,872

See accompanying notes to financial statements.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF CASH FLOWS
Years ended June 30, 2024 and 2023

	2024	2023
Cash flows from operating activities		
Cash received for research contracts, grants and service accounts and unit support	$ 181,038,182	$ 173,072,087
Royalties received	269,857	370,525
Interest received	2,397,030	2,280,012
Payments to suppliers and University	(203,842,023)	(179,986,739)
Interest paid	(184,092)	(461,561)
Other operating receipts	17,905,015	15,770,117
Net cash from operating activities	(2,416,031)	11,044,441
Cash flows from investing activities		
Purchase of property and equipment	(4,683,265)	(5,382,237)
Purchase of investments	(2,861,409)	(2,577,487)
Proceeds from sales and maturities of investments	780,206	1,263,409
Collection of notes receivable	53,594	51,409
Net cash from investing activities	(6,710,874)	(6,644,906)
Cash flows from financing activities		
Principal payments on note payable	(2,725,000)	(3,851,900)
Principal payments on bonds	(950,000)	(920,000)
Net cash from financing activities	(3,675,000)	(4,771,900)
Decrease in cash and cash equivalents	(12,801,905)	(372,365)
Cash and cash equivalents, beginning of year	27,542,122	27,914,487
Cash and cash equivalents, end of year	$ 14,740,217	$ 27,542,122
Reconciliation of change in net assets to net cash provided by operating activities		
Change in net assets	$ 11,613,258	$ 11,856,041
Adjustments to reconcile change in net assets to net cash provided by operating activities		
Depreciation	4,052,557	3,787,405
Amortization	(127,112)	(192,439)
Loss on disposal of property and equipment	44,660	73,509
Realized and unrealized gain on investments	(5,853,422)	(1,942,076)
Transfer of assets to University of Kansas	1,539,763	1,757,694
Changes in		
Accounts receivable, net	(8,581,819)	(4,133,418)
Prepaid expenses	(1,625)	(157,444)
Accounts payable and accrued expenses, less transfers	(3,241,725)	(5,012,736)
Assets held for others	(708,782)	385,922
Deferred revenues – research	(1,155,034)	4,621,983
Net cash from operating activities	$ (2,416,031)	$ 11,044,441

See accompanying notes to financial statements.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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, 2024 and 2023, cash equivalents consisted primarily of an interest-bearing checking account that is fully collateralized by FDIC insurance and Central Bank of the Midwest.

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, 2024 and 2023.

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)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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:

	2024	2023
Non-Exchange	$ 110,820,866	$ 98,615,511
Exchange	46,846,847	41,475,877
	$ 157,667,713	$ 140,091,388

Approximately 61% and 63% of all grant revenues was received from three grantors (federal agencies) in the form of direct awards during the years ended June 30, 2024 and 2023, respectively.

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

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

As of June 30, 2024, the Center had approximately $500 million of conditional funding available from granting agencies over the next five years, which will be earned as milestones are met or qualified expenses are incurred.

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

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

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

An allowance for credit losses represents estimated uncollectible cost reimbursement amounts based on various factors including historical payments, current and expected economic trends and credit profile of sponsors.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

The composition of accounts receivable at June 30, 2024 and 2023 are as follows:

	2024	2023
Accounts receivable:		
Federal	$ 24,319,709	$ 19,760,303
State	6,093,616	4,722,706
Other	9,621,955	7,103,163
	40,035,280	31,586,172
Allowance for doubtful accounts	(1,228,310)	(1,361,021)
Total accounts receivable, net	$ 38,806,970	$ 30,225,151

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:

	Federal	State	Other	Total
Balance as of July 1, 2022	$ 866,990	$ 1,660,507	$ 5,529,238	$ 8,056,735
Revenue recognized	(866,990)	(1,660,507)	(5,529,238)	(8,056,735)
Payments received for future performance obligations	1,073,147	1,848,487	9,757,084	12,678,718
Balance as of June 30, 2023	1,073,147	1,848,487	9,757,084	12,678,718
Revenue recognized	(1,073,147)	(1,848,487)	(9,757,084)	(12,678,718)
Payments received for future performance obligations	1,903,580	1,493,821	8,126,283	11,523,684
Balance as of June 30, 2024	$ 1,903,580	$ 1,493,821	$ 8,126,283	$ 11,523,684

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, 2024 and 2023. At June 30, 2024 and June 30, 2023, the Center has not recorded any expected tax benefits.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

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

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

Variable lease payments consist primarily of common area maintenance, utilities, and taxes, which are not included in the recognition of ROU assets and related lease liabilities. Variable lease payments and short-term lease expenses were immaterial to the Center's financial statements for the years ended June 30, 2024 and 2023. The Center's lease agreements do not contain material restrictive covenants. The Center is required to make annual rent payments based on the lease agreements. There were no lease commencements in fiscal year 2023. For the lease commenced in fiscal year 2024, the Center used the incremental borrowing rate of 5.50%.

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

Recently Adopted Accounting Guidance: On July 1, 2023, the Center adopted Accounting Standards Update ("ASU") 2016-13 Financial Instruments – Credit Losses (Topic 326): Measurement of Credit Losses on Financial Instruments (ASC 326) using the modified retrospective approach. This standard replaced the incurred loss methodology with an expected loss methodology that is referred to as the current expected credit loss ("CECL") methodology. CECL requires an estimate of credit losses for the remaining estimated life of financial assets using historical experience, current conditions, and reasonable supportable forecasts. The new standard had no impact on the Center's financial statements.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to June 30, 2024, to determine the need for any adjustments or disclosures to the financial statements for the year ended June 30, 2024. Management has performed their analysis through September 26, 2024, the date the financial statements were issued.

NOTE 2 – INVESTMENTS

The Board of Trustees, 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.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 2 – INVESTMENTS (Continued)

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

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

> *Level 1*: Inputs include quoted prices (unadjusted) for identical assets or liabilities in active markets that the entity has the ability to access as of the measurement date.
>
> *Level 2*: Inputs include significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.
>
> *Level 3*: Inputs include significant unobservable inputs that reflect a reporting entity's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

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

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

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

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

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 2 – INVESTMENTS (Continued)

The Center's investments consisted of the following:

	June 30, 2024		
	Fair Value	Level 1	NAV
United States treasury bills	$ 28,801	$ 28,801	$ -
Mutual funds:			
Domestic equity funds	24,023,827	24,023,827	-
Domestic bond funds	31,550,977	31,550,977	-
Domestic real estate funds	9,241,220	9,241,220	-
International equity funds	15,481,871	15,481,871	-
International bond funds	8,417,256	8,417,256	-
International real estate funds	4,563,459	4,563,459	-
Money market funds	49,786	49,786	-
Common Stock	154,965	-	154,965
Investments held by KU Endowment	9,119,020	-	9,119,020
	$ 102,631,182	$ 93,357,197	$ 9,273,985

	June 30, 2023		
	Fair Value	Level 1	NAV
United States treasury bills	$ 31,198	$ 31,198	$ -
Mutual funds:			
Domestic equity funds	22,430,527	22,430,527	-
Domestic bond funds	29,131,031	29,131,031	-
Domestic real estate funds	8,420,695	8,420,695	-
International equity funds	14,083,815	14,083,815	-
International bond funds	7,798,450	7,798,450	-
International real estate funds	3,912,293	3,912,293	-
Money market funds	44,541	44,541	-
Common Stock	154,965	-	154,965
Investments held by KU Endowment	8,645,592	-	8,645,592
	$ 94,653,107	$ 85,852,550	$ 8,800,557

Total investment return is comprised of the following:

	2024	2023
Interest and dividend income, net	$ 2,397,030	$ 2,280,012
Realized gain	2,516,165	1,069,510
Unrealized gain	3,337,257	872,566
	$ 8,250,452	$ 4,222,088

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 3 – NOTE 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.

The note is recorded at the unpaid principal balance. Management believes the remaining balance is collectible, as such management has made no provisions for credit losses. 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 note receivable is as follows:

	June 30, 2023	Additions	Repayments	June 30, 2024	Current Portion
BTBC note	$ 503,666	$ -	$ (53,594)	$ 450,072	$ 114,118

Future repayment activity for the notes is as follows:

Year Ending June 30	Principal	Interest	Total
2025	$ 114,118	$ 16,754	$ 130,872
2026	60,722	14,278	75,000
2027	63,303	11,697	75,000
2028	65,993	9,007	75,000
2029	68,798	6,202	75,000
Thereafter	77,138	3,278	80,416
	$ 450,072	$ 61,216	$ 511,288

In April 2021, as part of BTBC obtaining an unrelated, third-party bank loan to construct an additional phase of its facility, KUCR entered into an agreement with BTBC, structured as a "springing" or contingent lease, whereby KUCR agrees to lease a certain portion of BTBC's facility if BTBC is unable to achieve sufficient occupancy or to meet associated financial covenants. KUCR has assessed the likelihood of performing under this stand ready provision as remote and as such has not accrued a liability for this commitment as of June 30, 2024 and 2023.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 4 – PROPERTY AND EQUIPMENT

Property and equipment consisted of:

	July 1, 2023	Increases	Decreases	June 30, 2024
Land	$ 808,808	$ -	$ -	$ 808,808
Building	1,916,236	-	-	1,916,236
Office and scientific equipment	76,075,914	4,683,265	2,096,603	78,662,576
	78,800,958	4,683,265	2,096,603	81,387,620
Less accumulated depreciation	61,075,344	4,052,557	1,774,699	63,353,202
	17,725,614	630,708	321,904	18,034,418
Buildings and equipment in progress	1,052,353	93,049	54,196	1,091,206
Total property and equipment, net	$ 18,777,967	$ 723,757	$ 376,100	$ 19,125,624

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 $1,539,763 and $1,757,694 during the years ended June 30, 2024 and 2023, 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, 2024 and 2023, these amounts totaled $7,709,505 and $8,418,287, respectively.

NOTE 6 – BONDS PAYABLE

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

	July 1, 2023	Additions	Retirements	June 30, 2024	Current Portion
Revenue bond:					
Series 2014E	$ 4,995,000	$ -	$ 950,000	$ 4,045,000	$ 4,045,000
Bond premiums	79,866	-	58,032	21,834	21,834
Bond issuance costs	(42,129)	-	(25,278)	(16,851)	(16,851)
Total	$ 5,032,737	$ -	$ 982,754	$ 4,049,983	$ 4,049,983

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 6 – BONDS PAYABLE (Continued)

Long-term debt is comprised of the following:

Revenue Bond	Balance at June 30, 2024	Balance at June 30, 2023
$10,580,000 – Series 2014E Kansas Development Finance Authority Revenue Bonds (tax-exempt). The bonds are due in annual installments ranging from $90,000 to $4,045,000 final maturity on February 1, 2025. Interest rates ranging from 2.00% to 3.00% is payable semi-annually. A rating of AA was assigned by Standard & Poor's and a rating of Aa2 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University's revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds for the 2014E bonds were used to advance refund $10,560,000 of the 2006G Kansas Development Finance Authority Tax-Exempt Revenue Bonds which were originally used to finance the construction of the Structural Biology Center Phase III building.	$ 4,045,000	$ 4,995,000

In accordance with University policy, the capitalized costs of facilities financed by the bond have been previously transferred to and are reported on University's financial statements. These facilities include the Structural Biology Center Phase III building which was financed by 2014E. At June 30, 2024 and 2023, the net book value of this facility was approximately $7.1 million and $7.9 million, respectively.

Future revenue bond debt service requirements at June 30, 2024 are as follows:

Year Ending June 30	Principal	Interest	Total
2025	$ 4,045,000	$ 121,350	$ 4,166,350

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, 2024, the Center reported compliance with these covenants.

Interest expense, net of amortization, related to all bonds payable for the years ended June 30, 2024 and 2023, was $150,200 and $177,450, respectively.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 7 – NOTES PAYABLE

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

	July 1, 2023	Additions	Retirements	June 30, 2024	Current Portion
Series 2012E Refunding	$ 2,725,000	$ -	$ 2,725,000	$ -	$ -
Premium	94,358	-	94,358	-	-
Total	$ 2,819,358	$ -	$ 2,819,358	$ -	$ -

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 accrued interest at 5.0% and matured in May of 2024.Interest expense related to this note for the years ended June 30, 2024 and 2023 was $0 and $9,981, respectively.

NOTE 8 – RESEARCH PROJECT EXPENDITURES/REVENUES

The University has transferred substantially all of its research grants to the administrative control of the Center. The University and Center total sponsored research activity for the years ended June 30, 2024 and 2023 was as follows:

	2024	2023
University Activity (Unaudited)		
University Research Expenditures	$ 16,289,884	$ 15,870,862
University Indirect Cost	3,681,729	3,925,952
Total University Activity (Unaudited)	19,971,613	19,796,814
Center for Research Expenditures		
Center for Research Expenditures	156,105,612	138,595,127
CARES Act Grant Expenditures	-	2,270,606
ARPA Act Grant Expenditures	4,323,206	-
Center Indirect Cost	33,816,104	32,106,213
Total Center for Research Expenditures	194,244,922	172,971,946
Total Sponsored Expenditures – University and Center (unaudited)	$ 214,216,535	$ 192,768,760

NOTE 9 – NET ASSETS

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

	2024	2023
Dole Institute	$ 7,581,035	$ 7,200,507
Humanities	1,537,985	1,445,085
	$ 9,119,020	$ 8,645,592

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

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 9 – NET ASSETS (Continued)

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.

	2024	2023
Dole Institute	$ 258,781	$ 244,522
Humanities	50,542	35,633
	$ 309,323	$ 280,155

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 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.

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

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 10 – ENDOWMENTS (Continued)

As of June 30, 2024 and 2023, the original corpus value of the endowment was $5,995,806. The changes in donor-restricted endowment net assets for the years ended June 30, 2024 and 2023 were:

Endowment net assets, July 1, 2022	$ 8,850,143
Investment return, net	75,604
Amounts appropriated for expenditure	(280,155)
Endowment net assets, June 30, 2023	8,645,592
Investment return, net	782,751
Amounts appropriated for expenditure	(309,323)
Endowment net assets, June 30, 2024	$ 9,119,020

The Center has invested the above endowments in pooled funds held and managed by the 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, 2024 and 2023.

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.

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.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 11 – RELATED PARTY TRANSACTIONS

During the years ended June 30, 2024 and 2023, amounts paid by the University (and reimbursed by the Center) for salaries, benefits, scholarships, fellowships, tuition, and other operating expenses amounted to $137,567,841 and $125,740,180, respectively. Of these amounts, $9,323,635 and $7,925,789 are included in accounts payable and accrued expenses at June 30, 2024 and 2023, respectively.

Grants administered by the Office of Research, an administrative division of the University, have contracts/financial activity in the name of the University. When KUCR service center activity is being paid by the University, KUCR bills the University for the services. Receivables from the University in the amounts of $4,039,496 and $3,053,132 are included in accounts receivable at June 30, 2024 and 2023, 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, 2024 and 2023:

	2024	2023
Provost funding:		
Salaries and benefits	$ 3,311,308	$ 3,342,267
Utilities	64,780	70,107
Maintenance	32,081	28,941
Custodial	44,734	41,743
	$ 3,452,903	$ 3,858,778

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, 2024 and 2023.

The Center provided support to KU Endowment for departmental benefit in funding research, graduate studies, distinguished professorships, scholarships, and fellowships. The Center received no support for fiscal year 2024. Support of $81,320 was provided to KU Endowment during the fiscal year 2023.

NOTE 12 – LEASES

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

Future maturities of lease liabilities as of June 30, 2024 were:

2025	$ 518,188
2026	271,182
2027	191,823
2028	172,317
2029	173,178
Thereafter	1,537,517
	2,864,205
Less: interest	(727,568)
	$ 2,136,637

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 12 – LEASES (Continued)

Rent expense for all operating leases was $490,565 and $787,358 for the years ended June 30, 2024 and 2023, 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 $5,890,134 and $5,185,386 for 2024 and 2023 to the defined contribution pension program for general and administrative salaries, respectively.

NOTE 14 – COMMITMENTS AND CONTINGENCIES

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

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:

	2024	2023
Financial assets at year-end:		
Cash and cash equivalents	$ 14,740,217	$ 27,542,122
Current investments	93,357,197	85,852,550
Accounts receivable, net	38,806,970	30,225,151
Notes receivable, net – current	114,118	109,466
Total financial assets	147,018,502	143,729,289
Less amounts not available to be used:		
Investments held as assets held for others	(7,709,505)	(8,418,287)
Financial assets available to meet general expenditures within one year	$ 139,308,997	$ 135,311,002

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 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.

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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.

Year ended June 30, 2024:

	Program Services						Support Services			
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/ School Expenses	Service Centers	Other Programs Services	Interest Expense	University Support	Research Admin., Unit Support, Startup	Matching Costs	Total
Personnel	$ 62,972,538	$ -	$ 2,134,254	$ 22,118,544	$ 877,533	$ -	$ 247,529	$ 8,572,724	$ 501,654	$ 97,424,776
Fringe Benefits	14,501,611	-	502,167	6,359,444	132,282	-	31,913	2,537,156	106,538	24,171,111
Subaward payments	19,639,948	-	5,016	-	-	-	-	-	-	19,644,964
Professional Fees	9,222,370	-	257,070	7,083,262	786,207	-	178,263	703,642	27,575	18,258,389
Supplies	5,188,302	-	544,400	1,775,339	145,596	-	10,286	466,416	134,739	8,265,078
Travel and Food	4,436,980	-	920,437	923,086	124,467	-	54,228	234,132	44,107	6,737,437
Tuition	6,723,772	-	100,982	171,652	54,522	-	84,150	161,036	168,828	7,464,942
Internal Service Fees (allocated)	16,648,616	-	47,500	(16,803,546)	40,041	-	-	16,887	50,502	-
Participant Fees	5,685,367	-	65,247	25,230	(4,136)	-	-	29,831	100,410	5,901,949
Depreciation	2,440,851	-	160,372	613,596	8,900	-	-	828,838	-	4,052,557
Equipment and other non-capital	7,154,020	(6,858,373)	79,295	184,888	83,488	-	164,609	187,553	(10,004)	985,476
Other Expense	5,814,443	-	898,531	223,182	348,513	-	165,330	4,141,488	107,755	11,699,242
Interest Expense	-					150,200				150,200
Total	$ 160,428,818	$ (6,858,373)	$ 5,715,271	$ 22,674,677	$ 2,597,413	$ 150,200	$ 936,308	$ 17,879,703	$ 1,232,104	$ 204,756,121

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

NOTE 16 – EXPENSES BY NATURE (Continued)

Year ended June 30, 2023:

	Program Services						Support Services			
	Direct Research Expenses	Capitalized Expenses for Property and Equipment	Research Unit/ School Expenses	Service Centers	Other Programs Services	Interest Expense	University Support	Research Admin., Unit Support, Startup	Matching Costs	Total
Personnel	$ 57,619,970	$ -	$ 1,747,036	$ 18,250,243	$ 1,031,133	$ -	$ 79,083	$ 6,970,103	$ 490,466	$ 86,188,034
Fringe Benefits	12,988,152	-	409,517	5,181,445	174,114	-	17,515	1,943,698	109,815	20,824,256
Subaward payments	14,574,395	-	-	-	-	-	-	-	-	14,574,395
Professional Fees	6,481,454	-	249,075	7,837,987	73,926	-	146,773	467,075	7,100	15,263,390
Supplies	5,033,519	-	485,603	1,852,572	98,795	-	3,170	487,311	107,775	8,068,745
Travel and Food	3,742,271	-	559,102	921,496	75,843	-	55,427	174,837	48,516	5,577,492
Tuition	6,148,261	-	89,238	149,989	64,957	-	85,715	25,607	182,580	6,746,347
Internal Service Fees (allocated)	19,179,479	-	49,382	(19,320,785)	37,610	-	-	7,271	47,043	-
Participant Fees	5,812,818	-	26,101	53,648	48,647	-	438	16,881	119,158	6,077,691
Depreciation	2,313,249	-	139,168	44,228	7,698	-	-	1,283,062	-	3,787,405
Equipment and other non-capital	3,370,310	(2,983,335)	31,647	38,657	16,367	-	27,968	287,743	220,781	1,010,138
Other Expense	3,601,855	-	918,329	1,985,987	337,057	-	409,123	3,311,107	50,490	10,613,948
Interest Expense	-					214,754				214,754
Total	$ 140,865,733	$ (2,983,335)	$ 4,704,198	$ 16,995,467	$ 1,966,147	$ 214,754	$ 825,212	$ 14,974,695	$ 1,383,724	$ 178,946,595

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

SUPPLEMENTARY INFORMATION

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster				
Department of Agriculture				
Direct				
Characterization of Environmental Effects on Mosquito Saliva Composition Using Mass Spectrometry	10.001	58-3022-3-049		115,324
Modeling Projects to Support and Advance	10.025	AP21VSSP0000C076		(954)
Cooperative Agreement to Support Aquaculture Risk Assessment	10.025	AP23VSSP0000C100		6,538
Subtotal for AL No. 10.025				5,584
NRI: INT: COLLAB: An autonomous insect Sense, Identify, and Manage Platform	10.310	2019-6702-28986		(1,389)
NRI: INT: COLLAB: Collaborative Autonomy and Safety for Teamed Human-Unmanned Aircraft Systems in Fast Evolving Wildfire Environment	10.310	2019-67021-28992		16,378
Productivity and Soil Fertility Responses to Grassland Plant Diversity: Testing Competing Hypotheses	10.310	2020-67034-31889		1,840
SitS: Collaborative Research: Soils are signaling shifts in aggregate life-cycles: What does this mean for water, carbon and climate feedbacks in the Anthropocene?	10.310	2021-67019-34338		46,011
Assessing drivers of above- and belowground community diversity, soil carbon storage, and soil aggregate stability in grassland ecosystems	10.310	2022-67012-37520		86,391
Irrigation at the new 100th Meridian: Adaptation to manage climate risks and preserve water resources in the Eastern Kansas River Basin	10.310	2022-67019-37181		230,929
Plant community composition, diversity, and precipitation effects on carbon retention and loss in grassland soils	10.310	2023-67012-40066		92,867
Building better bioinoculants: Using experimental evolution to improve the efficacy of a plant growth-promoting rhizobacteria	10.310	2023-67011-40397		45,908
Subtotal for AL No. 10.310				518,935
Mapping populations of Osha (Ligusticum porteri) in the Rio Grande National Forest, Colorado	10.699	23-CS-11020900-005		7,631
Subtotal: Department of Agriculture- Direct				647,474
Passthrough- KANSAS STATE UNIVERSITY				
Linking microbiome function and microbial processes to plant genetic diversity in a foundation forage grass across the Great Plains grassland climate gradient: a multi-omics approach	10.310	A21-0128-S002	2020-67019-31803	52,116
Passthrough- NATURAL RESOURCES CONSERVATION SERVICE				
Modeling water quality and in-stream biological endpoints of agricultural conservation in the Mississippi River Basin	10.902	NR203A750023C023		90,205
Passthrough- NORTH CAROLINA STATE UNIVERSITY				
Dissecting Molecular Plant-Microbiome Interactions for Improved Drought Tolerance in Maize.	10.310	2022-0475-01	2022-67013-36672	34,958
Passthrough- UNIVERSITY OF CALIFORNIA - DAVIS				
Promoting the Purchase to Plate Tools for Food Demand and Diet Quality Research	10.250	A22-2490-S002	58-4000-1-0130	30,206
Passthrough- UNIVERSITY OF CALIFORNIA - SAN FRANCISCO				
NSF Convergence Accelerator Track J: Network Of User-engaged Researchers building Interdisciplinary Scientific infrastructures for Healthy food (NOURISH)	10.310	15013sc	2024-68015-41700	8,895
Passthrough- UNIVERSITY OF FLORIDA				
Invasive species as conduits for pathogen spillover between natural and agricultural ecosystems	10.310	SUB00003840	2023-67015-40544	27,820
Passthrough- UNIVERSITY OF ILLINOIS - URBANA-CHAMPAIGN				
Sustaining ecosystem services in agricultural landscapes through a better understanding of decision-support systems	10.310	110491-19243	2022-67019-38447	37,600
Passthrough- UNIVERSITY OF MINNESOTA				
Developing and deploying a perennial grain crop enterprise to improve environmental quality and rural prosperity	10.310	82890	2020-68012-31934	73,049
Robust incentive design for sustainable agricultural systems	10.310	P008176605	2020-67023-33263	2,288
Passthrough- WICHITA STATE UNIVERSITY				
Testing the Effects of Cattle Grazing on CRP Grasslands in Short and Tallgrass Prairie Regions	10.000	R53487-24-00735	FBC22CPT0012727	7,019
Subtotal: Department of Agriculture- Passthrough				364,156
Total: Department of Agriculture				1,011,630

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Commerce				
Direct				
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		68,537
Investigating the environmental and genetic cues for jellyfish blooms in the invasive freshwater jellyfish Craspedacusta sowerbii	11.417	220201	NA22OAR4170100	51,689
Subtotal: Department of Commerce- Direct				120,226
Passthrough- COLORADO STATE UNIVERSITY				
Center for Risk-Based Community Resilience Planning	11.609	G-99042-10	70NANB20H008	76,783
Passthrough- KANSAS DEPARTMENT OF COMMERCE & HOUSING				
Digital Equity Asset Mapping	11.035	none		25,722
Passthrough- UNIVERSITY CORP FOR ATMOSPHERIC				
Climate Adaptation Outreach Support	11.431	SUBAWD004731	NA21OAR4310473	2,778
Passthrough- UNIVERSITY OF VERMONT				
CIROH: Modeling Community Trust: A Collaborative Approach to Scoping Water Forecasting Needs and NOAA Product Use in Indigenous Communities of Northeast Oklahoma	11.432	AWD00001629SUB00000539	NA22NWS4320003	22,488
Enhanced Forecast Design Through Experimental Gaming and Social Impact Assessment of Connected River and Floodplains	11.432	AWD00001143SUB00000457		53,736
Subtotal: Department of Commerce- Passthrough				181,507
Total: Department of Commerce				301,733
Department of Defense				
Direct				
Improving regional model representation of cloudy boundary layers across midlatitude synoptic systems in NRL COAMPS	12.300	N00014-20-1-2519		87,820
Envisioning Data Assimilation for Adaptive Mesh Computational Models and Intermittency	12.300	N000142412218		29,486
Subtotal for AL No. 12.300				117,306
Development of a Military-Specific Transdiagnostic Eating-Disorder Survey and Screening Tool in a Nationally Representative Sample of Veterans	12.420	W81XWH1910207		81,992
Targeting RNA-binding protein HuR as a novel therapy for lethal prostate cancer	12.420	W81XWH2110573		307,160
Assessment of Eating Disorder and Comorbidity Risk and Resilience in a Nationally Representative Sample of Recent Military Enlistees	12.420	HT94252310310		1,046,588
Subtotal for AL No. 12.420				1,435,740
Experimental and Simulation Investigations into Novel Mechanisms for the Oxygen Reduction Reaction	12.431	W911NF2210293		124,042
Reinforcement-Learning-based Aerial-Ground Multi-Robot Collaboration with Human-on-the-Loop in Complex Environments	12.431	W911NF2220207		217,051
Subtotal for AL No. 12.431				341,093
Novel 3D Printed Zeolite Passive Samplers Enabling Fast and Reliable Measurements of PFAS in Complex Environmental Matrices (EL-32)	12.630	W912HZ2120046		111,608
Stochastic control for systems with non-Gaussian noise	12.800	FA9550-20-1-0336		21,395
Pushing the Limit for Large Eddy Simulation Through a Kinetic Energy and Entropy Preserving FR method, and Mesh Adaptation Based on Machine Learning	12.800	FA9550-20-1-0315		104,156
Generalizable Data-Driven Modeling Framework for Understanding and Modeling Turbulent Combustion	12.800	FA9550-23-1-0211		110,624
Coherent Space-Time-Varying Electromagnetic Structures	12.800	FA9550-23-1-0267		138,931
GPU and Fast Storage Infrastructure for Massively Parallel Scientific Computing and Reduced Order Modeling	12.800	FA9550-23-1-0571		791,778
Subtotal for AL No. 12.800				1,166,884
Enabling Spectrally Aware Cognitive RF Sensing	12.910	D23AP00225-00		117,922
Science of Security for Cyber-physical Systems (SCpS)	12.000	H98230-18-D-0009		(2,858)

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Defense (Continued)				
Enhanced Implementation of K-Scope & ASII Tunnel Detection Analysis Approach Using FWI, Modal Segmentation Methods, and Integrated Multi-Modal Techniques	12.000	W912HZ19C0014		731,206
Navy Applications of Physical MIMO and Waveform Diversity	12.000	N00014-20-C-1006		15,521
Automated Iceberg Identification Using Machine Learning Imaging Techniques	12.000	W913E521C0022		1,859
Improving the Performance of Concrete Dam Infrastructure Through Use of Fiber-Reinforced Polymers	12.000	W912HZ22C0016		1,204,511
Waveform-Diverse RF Capabilities	12.000	N00014-23-C-1053		538,307
Predicable and Scalable Remote Attestation	12.000	H98230-23-C-0277_Alexander		90,714
Vulnerabilities in the Social Attack Surface - How Undermining Norms Affects the Resilience of Critical Social Institutions	12.000	H98230-23-C-0277_Symons		45,642
Depth Resolved Algal Bloom Mapping (DRABM) Clinton Lake	12.000	W9132T24P0003		22,942
Subtotal for AL No. 12.000				2,647,844
Subtotal: Department of Defense- Direct				5,938,397
Passthrough- ADAPTIVE METHODS				
Advanced Sonar Signal Processing	12.000	ADM-22-0001	ADM-22-001	67,076
Passthrough- ALION SCIENCE & TECHNOLOGY				
Foundational Research for EW Operations	12.000	P000029662-001	P000029662	3,042,177
Hangar4F	12.000	P000044363		295,888
Passthrough- BLACK RIVER SYSTEMS COMPANY				
Dual-Function Radar Communications Receiver Development and Characterization	12.000	1515-S06	FA8650-15-C-1838	2,153
Passthrough- BRIGHAM YOUNG UNIVERSITY				
Understanding Reservoir Sedimentation Sources and Economics in the Kansas River Basin for US Army Corps of Engineers Kansas City District	12.300	23-0605	W9126G-23-2-0030	28,690
Passthrough- COLLINS AEROSPACE				
Master Sponsored Research Agreement No. CW2251607	12.000	CW2251607	HR00111890001	26,653
Passthrough- COMBUSTION RESEARCH AND FLOW TECHNOLOGY INC.				
Multiphysics Modeling of Dynamic Combustion Processes	12.800	20-C-0325.001/C815		55,471
Passthrough- DEFENSE ENGINEERING CORPORATION				
Waveform Research and Development for Emerging RF Sensing Technologies	12.000	10343	FA8650-20-C-1955	122,413
Multi-Function Emission Characterization with RF Digital Arrays in the Presence of Modeling Errors	12.000	POJ056		13,264
Passthrough- IERUS TECHNOLOGIES, INC.				
Optimized Waveforms for X-band Missile-Defense Radars - Phase II	12.000	2024-KU-001	HQ0860-24-C-7121 (MDA)	3,730
Passthrough- KANSAS STATE UNIVERSITY				
Applied Research and Innovation Scholarship for Engineering Students in Aerospace, AI, and Cybersecurity (ARISE)	12.000	A24-0214-S001	HQ0032310007	39,494
Passthrough- MASSACHUSETTS INSTITUTE OF TECHNOLOGY				
Advanced Radar Waveforms & Processing	12.000	7000602805	FA8702-15-D-0001	12,405
Passthrough- NEW SOUTH ASSOCIATES				
NWK Curation FY23-24	12.000	TO 20 - W912P923F0159		9,790
Passthrough- PURDUE UNIVERSITY				
Distributed Spectrum Scenario Fusion and Compression	12.300	13001026-012	N00014-21-1-2472	56,942
Passthrough- UNIVERSITY OF CALIFORNIA - SAN DIEGO				
Complex Linkages, Ambivalent Ties: Global Security and Economic Interdependence in the 21st Century	12.630	KR 704373	FA9550-21-1-0143	39,334
Economic Interdependence and National Security in the 21st Century	12.630	703707	FA9550-20-1-0145	4,076
Passthrough- UNIVERSITY OF MICHIGAN				
Multi-Fidelity Modeling of Rocket Combustor Dynamics	12.800	SUBK00016454	FA9550-17-1-0195	92,686
Passthrough- WRIGHT STATE UNIVERSITY				
National Pathway to Success (NPS)	12.905	671757-1	H98230-23-1-0081	11,930

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Defense (Continued)				
Passthrough- ZENOLEAP LLC				
Uncooled Quantum Infrared Focal Plane Arrays	12.000	W909MY-21-C-0033-Sub	W909MY-21-C-0033	53,485
Subtotal: Department of Defense- Passthrough				3,977,657
Total: Department of Defense				**9,916,054**
Department of the Interior				
Direct				
Critical Minerals in Pennsylvanian black shales of the US Midcontinent	15.073	G23AC00093-00		292,108
MT DAK Preservation & Curation of Fossil Vertebrates from the Late Cretaceous Hell Creek Formation	15.224	L22AC00625		274
Incorporating Climate Uncertainty into Water Allocations in Kansas	15.557	R22AP00291-00		48,972
Geologic Mapping in Kansas for FY22	15.810	G22AC00574-00		315,601
Geologic Mapping in Kansas for FY23	15.810	G23AC00588-00		386,073
Subtotal for AL No. 15.810				701,674
Preserving Kansas Geologic Data, Documents, Samples, and Aerial Photographs; and Surveying Drill Hole/Core Holdings Relating to Critical Mineral Resources	15.814	G22AP00354-02		47,895
Preserving and Inventorying Kansas Geologic Data, Documents, Samples, and Aerial Photographs; and Surveying Drill Hole/Core Holdings Relating to Critical Mineral Resources, FY 2023	15.814	G23AP00366		150,570
Subtotal for AL No. 15.814				198,465
Maintain and expand existing Kansas-based data services to the NGWMN, 2021-2022	15.980	G21AC10419		2,946
Long Term Property Curation with the University of Kansas	15.000	140R6022P0002		16,914
Innovative Use of the High-Resolution K (HRK) Logging for Optimizing Dewatering System Designs	15.000	140R8124P0022		5,370
Subtotal for AL No. 15.000				22,284
Subtotal: Department of the Interior- Direct				1,266,723
Passthrough- AMERICAVIEW INC.				
StateView Program Development and Operations for the State of Kansas	15.815	AV18-KS-01	G18AP00077	5,490
StateView Program Development and Operations for the State of Kansas	15.815	AV23-KS-01	G23AP000683	1,212
Passthrough- KANSAS DEPARTMENT OF WILDLIFE AND PARKS				
Geographic Information System (GIS) & Remote Sensing Support Services	15.611	CRA-GISFY22-FY24	F21AF01895-00	169,813
Passthrough- KANSAS STATE HISTORICAL SOCIETY				
2022 Grinter Place State Historic Site (14WY316) Geophysical Survey Contract	15.904	none	Historic Preservation Fund	514
Passthrough- KANSAS WATER RESOURCES INSTITUTE				
Herbal medicine for sick ponds: Are native aquatic macrophytes a cheap and easy way to mitigate HABs?	15.805	A22-0176-S006	G21AP10634-00	18,138
Unraveling Spatiotemporal Patterns in Watershed Nutrient and Sediment Yields under Conditions of Ongoing Rapid Crop Conversion using Direct Sampling and Remote Sensing Observations	15.805	A22-0176-S007	G21AP10634	29,590
Forecasting streamflow and groundwater depletion with deep learning models to sustain Kansan water resources	15.805	A22-0176-S005	G21AP10634	30,613
Passthrough- SOUTHWEST KANSAS GROUNDWATER MANAGEMENT, DISTRICT #3				
Water Use and Climate Evaluation Service to Irrigators for Drought Resiliency in Southwest Kansas	15.514	25421		17,776
Subtotal: Department of the Interior- Passthrough				273,146
Total: Department of the Interior				**1,539,869**

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Justice				
Direct				
Kansas Law Enforcement Accreditation Program (KLEAP)	16.710	15JCOPS-21-GK-02540-SPPS		6,778
Rural Law Enforcement Training	16.753	15PBJA-22-GG-00130-BRND		465,179
Subtotal: Department of Justice- Direct				471,957
Total: Department of Justice				471,957
Department of State				
Passthrough- WORLD LEARNING INC				
Race, History, & Health in African and African Diasporic Communities	19.009	IDEAS22-XXXX	SECAGD22CA0052	24,523
Subtotal: Department of State- Passthrough				24,523
Total: Department of State				24,523
Department of Transportation				
Direct				
Master Agreement - Center of Excellence for Unmanned Aircraft Systems FAA Cooperative Agreement	20.109	15-C-UAS-KU-019		478,079
A68 - Validate Small Unmanned Aircraft System (UAS) Detect and Avoid (DAA) Well-Clear Requirements	20.109	TO-A68		83,197
Subtotal for AL No. 20.109				561,276
Improved Detailing in Steel Bridges to Prevent Constraint-induced Fracture	20.000	693JJ321C000026		87,189
Innovative Practices to Educate Bridge Engineering Practitioners	20.000	693JJ321C000025		8,951
Subtotal for AL No. 20.000				96,140
Subtotal: Department of Transportation- Direct				657,416
Passthrough- IOWA DEPARTMENT OF TRANSPORTATION				
Phase III Iowa Pore Index: Morphometric Properties of Aggregates	20.205	20-SPR1-003		22,342
Passthrough- IOWA STATE UNIVERSITY				
Robust Wireless Skin Sensor Networks for Long-term Fatigue Crack Monitoring of Bridges	20.205	022355B		41,547
Passthrough- KANSAS DEPARTMENT OF TRANSPORTATION				
Purchase of Pavement marking Retroflectometer	20.200	215-23 RE-0884-01		10,000
Construction of Low-Cracking High-Performance Bridge Decks Incorporating New Technology - 2019	20.205	RE-0778-01		3,707
Technical Services for the Kansas Rural Transit Assistance Program (RTAP) FY2023	20.509	PT-0511-43		12,653
Passthrough- MODJESKI MASTERS				
Assessment of Ultra-High Toughness Steel for Highway Bridges	20.205	NONE	693JJ321C000029	54,538
Passthrough- OK DEPARTMENT OF TRANSPORTATION				
Bond Behavior of Epoxy Coated Reinforcing Bars in Non-proprietary UHPC	20.200	SPR ITEM 2290	Highway Research and Development Program	33,925
Effectiveness of Magnesium-Alumino-Liquid Phosphate-Based Concrete as a Repair Material	20.200	2317-SPRY-0010		128,948
Passthrough- TEXAS A&M RESEARCH FOUNDATION				
Placement of PANDA-AP (Pavement Analysis using Nonlinear Damage Approach for Airports)	20.106	M2000379	692M15-19-T-000027	51,159
Passthrough- UNIVERSITY OF NEBRASKA - LINCOLN				
University Transportation Centers Open Competition	20.701	25-1121-0005-151	69A3551747107	451,053
Mid-America Transportation Center for Transportation Safety and Equity (MATC-TSE)	20.701	25-1121-3002-101	69A3552348307	144,171
Subtotal: Department of Transportation- Passthrough				954,041
Total: Department of Transportation				1,611,457

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of the Treasury				
Passthrough- JOHNSON COUNTY, KANSAS				
Johnson County Coronavirus State and Local Fiscal Recovery Funds Subrecipient Grant Agreement – Workforce Development	21.027	none	Coronavirus State and Local Recovery Funds	1,026,729
Passthrough- WYANDOTTE COUNTY HEALTH DEPARTMENT				
ARPA Fiscal Recovery Funds: Expansion of Community Health Workers through the REVIVE Hospital-Based Violence Prevention Program with the University of Kansas and Collaborative Partners	21.027	none	ARPA	20,853
Subtotal: Department of the Treasury- Passthrough				1,047,582
Total: Department of the Treasury				1,047,582
National Aeronautics and Space Administration				
Direct				
Controls on Iceberg Distribution Around Greenland	43.001	NNX16AJ90G		72
What Shapes the Passive Galaxy Population in Distant Clusters? Understanding the Role of Quenching and Merging with a Spitzer Archival Study	43.001	80NSSC19K0592		20,968
AGILE: Advanced enerGetic Ion eLectron tElescope	43.001	80NSSC19K0714		26,678
Global Satellite-Based Prediction of Drought Evolution	43.001	80NSSC20K1799		102,918
A feasibility study of Raman optical activity for the detection and discrimination of chiral biological compounds for planetary science instrumentation	43.001	80NSSC20K1093		39,462
Operational Multichannel Snow Radar for Swath Mapping of Snow Layers on Ice Sheets, Sea Ice, and Land	43.001	80NSSC20K1242		38,630
Probing Quenching in the Cosmic Web using Spatially-Resolved Star Formation Maps from WISE and GALEX	43.001	80NSSC21K0641		43,596
How much do AGN host galaxies contribute to cosmic star formation?	43.001	80NSSC22K1594		36,047
Managing Temporal Trade Offs through Irrigation and Yield Forecasting to Advance Groundwater Conservation	43.001	80NSSC22K1276		30,769
Lifting the Veil: An Open Source Haze Model for Exoplanet Atmospheric Characterization (JWST3207)	43.001	JWST-AR-03207.002-A		18,033
Subtotal for AL No. 43.001				357,173
Development of an integrated system for cell analysis and profiling by capillary electrophoresis-mass spectrometry	43.012	80NSSC20K1208		56,077
Subtotal: National Aeronautics and Space Administration- Direct				413,250
Passthrough- AMHERST COLLEGE				
Multipass and tomography enabled data products for subsurface characterization and ice sheet model refinement	43.001	GRT00206-K1	80NSSC21K0753	2,539
Passthrough- CORNELL UNIVERSITY				
Oceans Across Space and Time	43.001	142075-21982	80NSSC22K1409	51,924
Passthrough- DARCORPORATION				
Learning Autopilot Systems for Unmanned Aerial Systems	43.000	22952	80NSSC19C0102	176
Passthrough- FARADAY TECHNOLOGY INC.				
Extraction and Utilization of Water and Gases from Icy Lunar Regolith	43.000	SC4027087-440001-46	80NSSC23PB429	15,347
Passthrough- JET PROPULSION LAB - CALIFORNIA TECHNOLOGY				
Isotopic Abundances of JWST's Terrestrial Exoplanet Host Stars	43.001	1652699		1,294
Uniform Stellar Abundances of JWST Exoplanet Hosts and TKS^2: TESS-Keck Stellar Spectroscopy	43.001	1659480		12
Spin-Orbit Alignment of a 2.6 R_E sub-Neptune Orbiting a V = 6.9 mag Star & Diving In: Confirming small planets in the APF deep field with NEID	43.001	1670437		6,025
TESS Planet Validation with AO Imaging VII	43.001	1682064-B-4.25		4,559
NASA/Keck: Go Long: Wide Companions in Short-Period Exoplanet Systems	43.001	1690109		4,232
2023A Keck/NIRC2: TESS Planet Validation with AO Imaging VIII	43.001	1690158		4,576
Revealing Gas Flows in High-Redshift Cluster Galaxies - PID 96/2023B_N201	43.001	1699004		12,638
Follow-up and Validation of TESS Planets with Keck AO Imaging IX - Polanski	43.000	1699122		9,849

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Aeronautics and Space Administration (Continued)				
A rare test of planet formation models: the obliquity of the 540-day transiting giant planet HIP 41378 f	43.000	1708288		1,525
Passthrough- MISSISSIPPI STATE UNIVERSITY				
Spectrum Management Framework for Unmanned Aerial Systems and Traffic Management in BVLOS: From Assessment to Modeling and Analysis	43.000	193700.361561.01	08078 80NSSC20M0261	112,501
Passthrough- NASA GODDARD SPACE CENTER				
Cryospheric Uncrewed-Aerial-System Experiment	43.001	80NSSC22K1935		317,904
Passthrough- SOUTHWEST RESEARCH INSTITUTE				
Microhabitable Environments in Ice	43.001	Q99048JA	80NSSC22K004	51,781
Passthrough- SPACE TELESCOPE SCIENCE INSTITUTE				
The Life and Death of Ultra-Hot Jupiter WASP-12b	43.001	HST-GO-16236.002-A		1,847
PRIMER: Public Release IMagining for Extragalactic Research	43.001	JWST-GO-01837.062.A	NAS5-03127	17,514
MEGA Mass Assembly at Cosmic Noon: MIRI EGS Galaxy and AGN Survey -JWST-GO Proposal 03794	43.001	JWST-GO-03794.001-A	21-ASTRO21-0087	11,600
Revealing our past faux PAHs: unveiling the hidden drivers of ISM conditions at cosmic noon JWST-GO-04192.003	43.001	JWST-GO-04192.003-A	NAS5-26555	2,811
Toward a Spatially-resolved Kennicutt-Schmidt Law in High-redshift Cluster Galaxies: the Interplay Between Molecular Gas, Star Formation, and Stellar Mass with ALMA and HST	43.012	HST-GO-16300.004-A		8,282
Exploring the Demographics of Exo-Neptunes: Atmospheric Characterization of a Cool Sub-Neptune from TESS	43.000	HST-GO-16181.002-A		192
Obscured CANDELS: Disentangling Obscuration around Supermassive Black Holes in the Distant Universe	43.000	HST-AR-16137.006-A		22,156
Illuminating the AGN-Galaxy Connection with JWST: AGN Host Demographics During the Era of Galaxy Assembly	43.000	JWST-AR-02446.012-A	nAS5-03127	14,668
Revealing Low Luminosity Active Galactic Nuclei (RevealLAGN)	43.000	JWST-GO-02016.014-A	NAAS5-03127	14,429
The SPACE Program: a Sub-neptune Planetary Atmosphere Characterization Experiment (17192)	43.000	HST-GO-17192.014-A	NAS5-26555	15,386
Clouds or Chemistry?: Pinpointing the drivers of variability across the L/T transition via the benchmark L/T binary WISE 1049AB (JWST2965)	43.000	JWST-GO-02965.002-A	NAS5-26555	4,353
Passthrough- UNIVERSITIES SPACE RESEARCH ASSOCIATION (USRA)				
A Hot Meal: Mapping the Molecular H2 Feeding the Milk Way's Supermassive Black Hole	43.001	09-0205	NNA17BF53C	35,464
Passthrough- UNIVERSITY OF CALIFORNIA SANTA CRUZ (UCSC)				
Follow the Volatiles: Tracing chemical species relevant to habitability from proto-planetary disks to exoplanet atmospheres	43.001	A21-0406-S003	80NSSC21K0597	30,286
Passthrough- UNIVERSITY OF CHICAGO				
The Payload for Ultrahigh Energy Observations (PUEO): A Long-duration Balloon-borne Instrument for Particle Astrophysics at the Highest Energies	43.001	AWD101921 (SUB00000468)	80NSSC21M0116	132,654
Passthrough- UNIVERSITY OF COLORADO				
Participation in NASA Mars Atmosphere and Evolution mission	43.000	1546525	NNH1OCCO4C	239,731
Passthrough- UNIVERSITY OF MASSACHUSETTS - AMHERST				
Characterizing future changes in glacier melt, snow melt, and regional runoff to inform adaptation decisions in high mountain dependent economies	43.001	20-015928-A-03	80NSSC20K1299	45,356
Passthrough- 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	80NSSC19K0720	5,275
Passthrough- UNIVERSITY OF WASHINGTON				
Fjord systems, marine mammals, and subsistence hunting in East Greenland	43.001	UWSC12177	80NSSC20K1361	82,209

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Aeronautics and Space Administration (Continued)				
Passthrough- WICHITA STATE UNIVERSITY				
Artificial Intelligence Assisted Spacecraft Trajectory Optimization and Planning	43.008	R52638-21-00689	80NSSC20M0217	21,624
KSC Exploration Systems and Development: Moon to Mars - Gas Separation Processes for High Purity Methane Production	43.008	R52931-22-0272	80NSSC21M0161	5,357
Multifunctional Ceramics for Space and Aircraft Applications	43.008	R53435-23-01144		84,848
SRI: Enhancing Sustainability and Resilience of Solid-State Battery Systems for Space Exploration via Precision Prognostics and Health Management	43.008	R53187-23-00161	80NSSC22M0028	10,152
Experimental Measurement of Granular Flow Free Colling In Microgravity	43.008	R534342300661	NNH227HA002C	62,651
Kansas National Space Grant College and Fellowship Program - Opportunities in NASA STEM FY 2020-2024	43.008	R52545-23-00341	80NSSC20M0109	33,696
23-2023EPSCoR-0022, Physics-Informed-AI Enabled Smart Electrospinning of Nanofiber Membranes Towards In-Space Manufacturing	43.008	R53642-23-01787	80NSSC23M0100	69,161
Anytime Perception and Control for Intelligent and Safe Advanced Air Mobility	43.008	R53187-23-01410	80NSSC22M0028	18,339
High-Fidelity System Identification and Simulation of UAS/UAM Vehicles	43.008	R53187-23-01419	80NSSC22M0028	14,357
Kansas National Space Grant College and Fellowship Program 2023	43.008	R52547-23-01803	80NSSC20M0109	63,586
Enhancing DEI through rich, street level data: How user stories can reveal gaps and alignment between stated goals and student experience	43.008	R52545-24-00503	80NSSC20M0109	48,527
Developing NASA partnerships for a Space Fungal Ecology Program	43.012	R531872300142		8,945
Subtotal: National Aeronautics and Space Administration- Passthrough				1,722,338
Total: National Aeronautics and Space Administration				**2,135,588**
Institute of Museum and Library Services				
Direct				
Impact of the Quality of Music Programs on the Overall School Climate in High Schools	45.024	1909596-38-23		23,485
Advancing Research Collaboration in the Humanities	45.130	CH-50951		425,000
Humanities Challenge Project II	45.130	CH-20811		521,125
Subtotal for AL No. 45.130				946,125
Black Book Interactive Project III	45.149	PW-277575-21		83,667
Subtotal: Institute of Museum and Library Services- Direct				1,053,277
Total: Institute of Museum and Library Services				**1,053,277**
National Science Foundation				
Direct				
FEWtures: Innovation Analysis Framework for Resilient Futures, with Application to the Central Arkansas River Basin	47.041	CBET-1856084		465,257
CAREER: Advanced Thermal Management of Lithium-Ion Battery Packs: Combining Physics-Based and Machine Learning Models toward High Thermal Safety	47.041	CMMI-1847651		91,532
CAREER: Quantification of the kinetic energy of particles in complex flows using magnetic particle tracking	47.041	CBET-1944187		11,508
CAREER: Spectrokinetic Studies for Understanding Metal-Support Interactions in Catalytic Oxidation of Ethanol	47.041	CBET-1847655		73,458
Assessing the Influence of Hazard Mitigation Planning on Disaster Recovery	47.041	CMMI-1760183		18,183
Engineering the Ionic Polymer Phase-Fluid Interface of the PEM Fuel Cell Catalyst Layer for Higher Performance	47.041	CBET-1803058		(170)
CAREER: Integrated Modeling of Hazard Mitigation Stakeholder Networks for Compassionate, Sustainable Risk Reduction	47.041	CMMI-1751696		76,544
CAREER: Thermo-responsive absorbent with selective absorption for miscible liquids separation	47.041	CBET-1944314		44,226
CAREER: Assessing the Role of Buildings and Organizations in Community Disaster Resilience	47.041	CMMI-1847373		90,867
PFI-RP: Development of Continuous Process Concepts for Upgrading Lignin in Biorefineries	47.041	IIP-1919267		97,352

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
Collaborative Research: Development and Application of a Molecular an Process Design Framework for the Separation of Hydrofluorocarbo Mixtures	47.041	CBET-1917480		37,293
EFRI DCheM: Next-generation Low Global Warming Refrigerants	47.041	EFMA-2029354		504,312
Manipulating Mycorrhizal Fungi: Plant Symbionts in Organic Agriculture	47.041	IIP-2016549		16,091
Planning Grant: Engineering Research Center for Environmentally Applied Refrigerant Technology Hub (EARTH)	47.041	2123852		38,717
RET Site: Inquiry Driven Engineering Activities using Bioengineering Examples (IDEA-BioE)	47.041	EEC-2055716		141,980
Team Iconium - Environmentally Applied Research Towards Hydrofluorocarbons	47.041	2140448		2,093
The Kansas University Refrigerant Ionic liquid SEparation (KU-RISE)	47.041	2213965		131,612
CAREER: Thermal proteome profiling applications for in-situ bioreporting of contaminant degradation in soils	47.041	2237889		65,926
Collaborative Research: CDS&E: An Experimentally Validated, Interactive, Data-enabled Scientific Computing Platform for Cardiac Tissue Ablation Characterization and Monitoring	47.041	2245153		22,751
REU SITE: IDEA Incubator for Porous Materials: Integrating Discovery, Engineering and Art	47.041	EEC-2243816		151,872
Collaborative Research: Can Human-Induced Turbidity Currents Enable Sustainability of Freshwater Reservoirs?	47.041	2317834		28,846
Collaborative Research: Supporting the Whole Student: Identifying and Mitigating Barriers to Persistence for Underserved Post-Traditional Engineering Students	47.041	EEC-2321391		15,765
Design and Synthesis of Atomically Tunable Memristors	47.041	2314401		84,092
Subtotal for AL No. 47.041				2,210,107
CAREER: First Principles Evaluation of Optical Activity in Solids	47.049	CHE-1650942		8,288
Ultrafast Dynamics of Highly Excited Molecules in the Condensed Phase	47.049	CHE-1956387		117,154
Design of oligozulene-based organometallics for probing new paradigms in charge delocalization, transport, and storage at the nanoscopic scale	47.049	CHE-1808120		13,722
CAREER: New frontiers for Frobenius, singularity theory, differential operators, and local cohomology	47.049	DMS-1945611		130,329
Periodic KPZ Universality	47.049	DMS-1953687		43,810
Collaborative Research: Extreme Starbursts and Outflows: The Formation of Massive Compact Galaxies	47.049	AST-1814159		1,465
Geometric and Electronic Structure Contributions to Bond-breaking and Bond-making Reactions of Mid-valent Manganese-Oxygen Complexes	47.049	CHE-1900384		10,556
Broadband Two-Photon Absorption Spectroscopy for High-Repetition Rate Lasers	47.049	CHE-1905334		12,914
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		39,491
A study of hypersurfaces in general position inspired by Frobenius	47.049	DMS-1902321		32,085
Collaborative Research: WoU-MMA: The Radar Echo Telescope for Cosmic Rays and Neutrinos: Toward a Transformative Technology for Neutrino Detection	47.049	PHY-2012989		16,826
Engineering interfaces for high-performance oxide superconductor nanocomposite films	47.049	DMR-1909292		61,821
CAREER: Probing the High Energy Frontier with the CMS Experiment	47.049	PHY-1945038		286,883
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1950293		113,755
Large Solutions for Systems of Hyperbolic Conservation Laws and Wave Equations in One and Multiple Space Dimensions	47.049	DMS-2008504		66,583
Collaborative Research: WoU-MMA. Extreme Quantum-Electrodynamic and General-Relativistic Plasma Physics	47.049	PHY-2010109		100,614
Research and Development Cluster (Continued)				

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
National Science Foundation (Continued)				
Collaborative Research: WoU-MMA: Askaryan Radio Array: The world's forefront neutrino astrophysics program from 100 PeV	47.049	PHY-2012951		49,026
Particle Physics at the Energy Frontier with the CMS Experiment	47.049	PHY-2013007		364,891
RAPID: COVID-19 Behavior, perception, and control across geographic and economic gradients	47.049	DMS-2028297		5,309
Collaborative Research: Prairie Analysis Seminar 2020-2021	47.049	DMS-2034592		1,712
Direct Calculation of Activation Energies and Entropies for Chemical Dynamics	47.049	2102656		153,574
Elucidating fundamental factors driving self-assembly with guided interactions in multicomponent enzyme systems using model nanostructured platforms	47.049	2108448		144,431
NSF Acceinet: Inter-American Network of Networks of Quantum Chromo-Dynamics Challenges	47.049	2114669		59,824
Isotopic and Elemental Abundances in Stars and Planets	47.049	AST-2108686		32,117
Controlling exciton dynamics at interfaces using moire potentials	47.049	2109979		84,410
Modulations of Periodic Waves in Applied Mathematics	47.049	2108749		72,102
REU SITE: University of Kansas Physics and Astronomy Research Experiences for Undergraduates	47.049	PHY2149897		119,838
Periodic Coupled Cluster Methods for Optical Activity in Chiral Crystals	47.049	CHE-2154452		160,315
Properties and Activation Mechanisms of Mn-hydroperoxo and Mn-alkylperoxo Complexes	47.049	2154955		160,112
Regularity and stability for solutions of quasilinear wave type models with singularities	47.049	DMS-2206218		72,078
Nonlinear Wave Models in Domains with a Boundary	47.049	2206270		34,808
Collaborative Research: ACES Galactic Center Mass Flow	47.049	2206509		84,791
Collaborative Research: GOing GREEN at High Resolution - Spatially Deconstructing Environmental Quenching over 9 Billion Years	47.049	AST-2206473		116,246
Catalytic synthesis via small molecule evolution	47.049	2155003		90,311
Exact Formulas of the KPZ Fixed Point and the Directed Landscape	47.049	DMS-2246683		47,946
Planar Capillary Electrophoresis	47.049	2247387		99,351
Collaborative Research: WoU - MMA: The Radar Echo Telescope for Cosmic Rays and Neutrinos: Toward a Transformative Technology for Neutrino	47.049	2306424		180,194
Particle Physics Research with the CMS Experiment	47.049	PHY-2310030		39,140
Helium Recovery Equipment: Acquisition of Helium Recovery and Liquefaction Hardware for the University of Kansas	47.049	CHE-2305187		109,330
CAS: Enabling synthesis through small molecule liberation	47.049	2247708		126,820
Collaborative Research: Conference: 2023-2025 Kansas Mathematics Graduate Student Conference	47.049	2326560		10,619
Stability, uniqueness and existence for solutions of hyperbolic conservation laws and nonlinear wave equations	47.049	2306258		26,732
Collaborative Research: RUI: Tracing Galaxy Quenching in the Cosmic Web With Spatially-Resolved Star-Formation Maps	47.049	2308126		36,296
Collaborative Research: WoU-MMA: Askaryan Radio Array: A world-class, forward-looking, and dynamic neutrino astrophysics observatory from 100 PeV	47.049	2310096		11,218
A study of hypersurface singularities	47.049	2302685		35,426
Collaborative Research: Planning: FIRE-PLAN:High-Spatiotemporal-Resolution Sensing and Digital Twin to Advance Wildland Fire Science	47.049	2335568		8,692
Collaborative Research: WoU-MMA: Ultrahigh Energy Neutrinos with the Radio Neutrino Observatory in Greenland	47.049	PHY-2310126		5,629
Predicting effects of interannual variability in climate an drought on plant community outcomes resilience and soil carbon using temporally replicated grassland reconstructions.	47.049	DEB-234738		17,531

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	2349329		9,863
Conference: 2024 KUMUNU-ISU Conference one PDE, Dynamical Systems and Applications	47.049	DMS-2349508		16,388
Broadband Two-Photon Absorption Spectroscopy for in situ Measurement and Characterization of Heterogeneous Samples	47.049	2404444		4,454
Subtotal for AL No. 47.049				3,647,820
RCN: Facilitating Indigenous Research, Science and Technology (FIRST)	47.050	PLR-1417767		43,612
Collaborative Research: Mechanisms governing synoptic-scale, rapid cloud dissipation in subtropical marine low clouds	47.050	AGS-1656237		16,840
Collaborative Research: Topographic controls on Antarctic Ice Sheet grounding line behavior - integrating models and observations	47.050	OPP-1745055		(4,214)
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		7,839
Collaborative Research: Unearthing Antarctica's role in the Late Cretaceous evolution of flowering plants	47.050	OPP-1953993		139,636
CAREER: UAS-Based Radar Suite for Sounding and Mapping Glaciers	47.050	OPP-1848210		85,327
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		114,880
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		65,949
Collaborative Research: Dry Rifting in the Albertine-Rhino graben (DRIAR), Uganda	47.050	EAR-2021724		54,149
EarthCube Data Capabilities: Collaborative Proposal: Broadenin Community Use and Adoption of StraboSpot	47.050	ICER-1928389		167,364
Collaborative Research: EarthChem & SESAR - Data Infrastructure for Geochemistry and Earth Science Samples Communities	47.050	EAR-1948813		8,470
Collaborative Research: Patterns, causes, and consequences of synchrony in giant kelp populations	47.050	OCE02023474		118,915
NSF GEO-NERC: Collaborative Research: Impact of the Plio-Pleistocene Transition on Provenance and Sediment Routing from the Himalaya to the Deep-Sea Bengal Fan	47.050	OCE-2026898		188,023
Collaborative Research: How roots, regolith, rock an climate interact over decades to centuries - The R3-C Frontier	47.050	2121639		88,483
Collaborative Research: Deployment of Seafloor Optical Fiber Strainmeters for the Detection of Slow Slip Events	47.050	OCE-2127938		109,545
Collaborative Research: EarthCube Capabilities: Open Polar Radar (OPoRa) Software and Service	47.050	2126503		187,839
Collaborative Research: Machine-enabled modeling of terminus ablation for Greenland's outlet glaciers	47.050	2146703		47,323
Collaborative Research: Catalytic Track: Improving Accuracy and Efficiency of Multicollector Mass Spectrometry	47.050	2149083		21,168
Island Biogeography in Deep Time: The Assembly and Demise of a Uniquely Insular Eocene Mammal Fauna	47.050	2141115		124,624
Understanding the formation and impacts of warm-season trans-Atlantic African dust extremes	47.050	2227707		99,583
OCE-PRF: Uncovering the drivers of marine metapopulation synchrony an resilience under climate change (POSTDOC-VADIM KARATAYEV)	47.050	2205794		161,087
Collaborative Research: FieldSafe - Changing the Culture of Fieldwork in the Geosciences	47.050	2307411		5,540
Collaborative Research: Frameworks: Automated Quality Assurance and Quality Control in the StraboSpot Geologic Information System for Observational Data	47.050	OAC-2311819		300,782

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
Collaborative Research: GEO OSE Track 2: Building a multiscale community-led ecosystem for crustal geology through the integration of Macrostrat and StraboSpot	47.050	2324580		25,753
Subtotal for AL No. 47.050				2,178,517
CAREER: Unifying Heterogeneity of Extreme-Scale Cyberinfrastructures for Higher Productivity and Performance Portability	47.070	OAC-1942973		110,615
CDS&E: Collaborative Research: A Computational Framework for Reconstructing and Visualizing Myocardial Active Stresses	47.070	OAC-1808553		977
Collaborative Research: Intelligent Solutions for Navigating Big Data from the Arctic and Antarctic	47.070	IIS-1838236		33,039
SaTC: CORE: Small: Digital Homelessness in the Heartland: Safeguarding and Enhancing the Experiences of Public Internet Users	47.070	CNS-1946180		43,508
Collaborative Research: CNS Core: Medium: Combating Latency and Disconnectivity in mmWave Networks: From Theory to Implementation	47.070	CNS-1955561		128,709
Collaborative Research: CNS Core: Medium: RUI: Optics without Borders.	47.070	CNS-1956137		50,031
SCH: INT: Collaborative Research: Privacy-Preserving Federated Transfer Learning for Early Acute Kidney Injury Risk Prediction	47.070	IIS-2014552		95,066
Collaborative Research: CPS: Medium: Real-time Criticality-Aware Neural Networks for Mission-critical Cyber-Physical Systems	47.070	CNS-2038923		95,827
MRI: Acquisition of a High-Performance Computing Cluster for Science and Engineering Research at the University of Kansas	47.070	OAC-2117449		41,207
SCC-CIVIC-FA Track A: Connecting Underrepresented Youths with Employment Opportunities	47.070	2133384		56,048
CAREER: SATC: Bridging the Gap Between Research and Practice: Automation and Metrics in Security Operation Centers	47.070	CNS-2143393		101,122
Collaborative Research: CNS Core: Medium: TeTON: A Testbed and a Toolkit for Expediting Investigation of and Accelerating Advancements in All-Optical Neural Networks	47.070	2211990		83,179
Collaborative Research: CCRI: Planning-C: Accelerated Infrastructure for Simulating Future Systems	47.070	2213807		13,634
Collaborative Research: NSF-AoF: CNS Core: Small: Towards Scalable an AI-based Solutions for Beyond-5G Radio Access Networks	47.070	2225577		5,756
CAREER: Near-Memory Datacenter Network	47.070	2239020		52,052
GOALI: CNS: Medium: Communication-Computation Co-Design for Rural Connectivtiy and Intelligence under Nonuniformity: Modeling, Analysis, and Implementation	47.070	2212565		172,947
Conference: Student Travel Grant Request for IEEE International Symposium on Performance Analysis of Systems and Software	47.070	2310166		5,768
IMR: MT: AirScope: A Versatile and Programmable UAV Platform for End-to-End Cellular Network Measurements in Rural Environments	47.070	2323189		19,722
NSF Student Travel Grant for 2023 ACM International Symposium on Mobile Ad Hoc Networking and Computing (MobiHoc)	47.070	2324567		17,804
Collaborative Research: EAGER: AI-Assisted Just-In-Time Scaffolding Framework for Exploring Modern Computer Design	47.070	IIS-2327971		47,746
Collaborative Research: Frameworks: Advancing Computer Hardware and Systems' Research Capability, Reproducibility, and Sustainability with the gem5 Simulator Ecosystem	47.070	OAC-2311891		21,598
Subtotal for AL No. 47.070				1,196,355
Bridging observational, experimental and genomic insights on species and speciation through comparative analyses in a new vertebrate model systems	47.074	DEB-1457774		309
DIMENSIONS: COLLABORATIVE RESEARCH: The evolution of pollination syndrome diversity in Penstemon	47.074	DEB-1542402		45,368

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
doseR: a novel linear modeling framework for dosage compensation analysis	47.074	DBI-1661454		61,706
Dimensions US-China: Collaborative Research: Microbe eco-evolutionary feedbacks as drivers of plant coexistence, diversity gradients, and overyielding	47.074	DEB-1738041		55,605
Collaborative Research: Ecological Dynamics of the Plant-Arbuscular Mycorrhizal Funal Mutualism: Contribution to Plant Species turnover and Coexistence	47.074	DEB-1556664		11,090
Collaborative Research: Phylogenetic Systematics and the Evolution of Reproductive Innovation in an Adaptive Radiation of Limnonectes Fanged Frogs	47.074	DEB-1654388		354
Collaborative Research: ABI Development: Cultivating a sustainable Open Tree of Life	47.074	DBI-1759838		107,688
CAREER: A Novel Bioinformatic Infrastructure for Metagenome Assembly and Functional Annotation	47.074	DBI-1943291		112,794
Bilateral BBSRC-NSF/BIO: CIBR: Structural modeling of interactome to assess phenotypic effects of genetic variation	47.074	DBI-1917263		18,278
Collaborative Research: Cestode phylogeny and genomics: A spine for the spineless, gutless worms	47.074	DEB-1921411		75,275
Collaborative Research: SG: Clonality and the scope for adaptation in heterogeneous environments	47.074	DEB-1923495		42,815
Collaborative Proposal: MRA: Teleconnections Among Great Plains NEON Sites by Wind and Wing	47.074	DEB-1926596		122,290
CIBR: Collaborative Research: Integrating data communities with BiotaPhy: a computational platform for data-intensive biodiversity research and training	47.074	DBI-1930005		202,367
FSML: Enhancing research support infrastructure at the University of Kansas Field Station	47.074	DBI-1938412		508,176
Chromosomal Inversions and gene expression in Mimulus	47.074	MCB-1940785		20,674
COLLABORATIVE RESEARCH: LTREB RENEWAL: The role of ecological heterogeneity in a long-term grassland restoration experiment	47.074	DEB-1922915		43,420
Collaborative Proposal: Frameworks: Internet of Samples: Toward an Interdisciplinary Cyberinfrastructure for Material Samples	47.074	2004815		182,282
Collaborative Research: Network Cluster: Geomicrobiology and Biogeochemistry in the Critical Zone	47.074	EAR-2012633		218,649
BBSRC-NSF/BIO: A holistic approach to understand drought adaptation in plants, their symbionts, and free-living microbiomes	47.074	IOS-2016351		152,672
How genomic shock triggers transposition during hybrid dysgenesis	47.074	MCB-2025197		137,458
Collaborative Research: CSBR: Ownership Transfer: Living Stocks: International Culture Collection of Arbuscular Mycorrhizal Fungi (INVAM)	47.074	2027458		154,753
CSBR: Rehousing of the Mammal Collection at the University of Kansas Biodiversity Institute	47.074	2100955		112,801
Collaborative Research: Digitization TCN: Extending Anthophila research through image and trait digitization (Big-Bee)	47.074	2101851		73,381
RESEARCH-PGR: Genetics and mechanisms of microbe-dependent heterosis	47.074	IOS-2033621		244,201
REU SITE: The Stressed Life of Cells	47.074	DBI-2051128		84,085
A public workflow for predicting peptide binding structures	47.074	2121063		97,412
CAREER: The genetic mechanisms of sex-ratio meiotic drive and resistance	47.074	MCB-2047052		164,185
MCA: New directions in female aggression research	47.074	IOS-2121849		53,570
EAGER: Toward a tractable genetic model of DNA virus - Drosophila interaction	47.074	MCB-2135167		83,811
Collaborative Research: Phylogeny of Cnidaria - Convergent Evolution of Eyes, Gene Expression, and Cell Types	47.074	2153774		74,129
UKRI/BBSRC - NSF/BIO: Modeling of protein interactions to predict phenotypic effects of genetic mutations	47.074	2224122		382,021
Collaborative Research: Digitization and Enrichment of U.S. Herbarium Data from Tropical Africa to Enable Urgent Quantitative Conservation Assessments	47.074	2223875		233,318

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
Collaborative Research: BoCP Implementation: Using the Past to Predict the Future: How Physiology and other Functional Traits Determine Survival and Extinction in W. Atlantic Mollusks	47.074	2225011		120,444
MFB: NSF-BSF: Data-Adaptive and Metamorphosis Machine Learning Architectures for Generative Protein Design of Metal Biosensors	47.074	CHE-2226804		335,078
Collaborative Research: Ranges: Building Capacity to Extend Mammal Specimens from Western North America	47.074	2228391		8,299
OPUS: A Computational Theory of Biodiversity	47.074	2241353		44,489
EAGER: Overcoming transformation and germline expression barriers	47.074	2300557		53,011
RaMP: Making meaningful connections: Fostering the Integration of Biodiversity Patterns with Genetic Evolutionary Mechanisms (BioGEM)	47.074	2319820		51,887
Conference: Genomic Consequence of Meotic Drive Workshop	47.074	2312190		46,329
Collaborative Research: PurSUiT: Systematic viral discovery through structured search of host phylogeny	47.074	2302677		26,233
CAREER: Unearthing the conifer tree of death	47.074	DEB-2338756		73,078
The genetic basis of divergence in immune defense between species	47.074	2330095		85,301
Subtotal for AL No. 47.074				4,721,086
Examining Native Language Variability and its Effects on Second Language Processing: An Event-Related Potentials Investigation of Referential Dependencies	47.075	BCS-1749143		61,345
Neural Mechanisms for Phonological Alternation with High and Low Productivity	47.075	BCS-1826547		62,434
The Genetic History of the Aleut People	47.075	BCS-1849338		140,459
Learning to pronounce ethnic names as a means of improving inter-ethnic interaction	47.075	BCS-1941684		48,912
Collaborative Research: The Effect of State Disinvestment in Higher Education on Research Quality and Returns to Scale in Science Funding	47.075	SMA-1854849		50,170
Conferences to Strengthen the Kansas Health Economics Community	47.075	SES-1941552		13,787
Collaborative Research: Assessing the Impact of Lead Agency Cross-Functional Authority on City Sustainability Outcomes	47.075	SES-2021044		36,017
Collaborative Research: Dealing with Disruption: Investigating the Micro-level Underpinnings of City Response to the Climate Crisis	47.075	SES-2049917		29,670
Modeling the dynamics of belief formation: Towards a computational understanding of the timing and accuracy of probability judgments	47.075	SES-212112		41,977
Investigating the genetic history of the Central and Southern Plains	47.075	2051397		72,491
Speech perception in younger and older adults: Cue-weighting and contextual information	47.075	2141302		3,998
Optimized spatial data conflation with topological conditions	47.075	2215155		45,412
Complementizers and Complementation in Bantu Languages	47.075	2140837		91,500
SCISIPBIO: Examining the Career Barriers Confronting African American of Black Biomedical Scientists	47.075	2152437		122,577
RAISE: IHBEM: Project INSIGHT: INclusion of challenges from Social Isolation Governed by Human behavior through Transformative research in epidemiological modeling	47.075	2230117		245,596
Using Publication, Patent, and NSF Grant Data Linked to the Survey of Doctorate Recipients to Understand Science Career Trajectories	47.075	NCSE-2215606		83,855
Doctoral Dissertation Research: The Representation and Processing of Vowel Contrasts in Brazilian Portuguese and English	47.075	2314478		11,254
Subtotal for AL No. 47.075				1,161,454
Deep Roots: Wide-Spread implementation of community-driven evidence-based Pedagogy	47.076	DUE-1525775		117,578

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
CyberCorps: New Scholarships for Service (SFS) Program at the University of Kansas - Jayhawk SFS	47.076	DGE-1565570		674,284
Collaborative Research: Transforming the Evaluation of Teaching: A Study of Institutional Change to Advance STEM Undergraduate Education	47.076	DUE-1726087		84,062
Collaborative Research: Technology Education for Women in Transition: Broadening Participation Through Innovations	47.076	DRL-1907002		34,938
CANSec: The Central Area Networking and Security Workshop	47.076	DGE-1842678		9,223
Collaborative Research: Cool Science: Art as a Vehicle for Intergenerational Learning	47.076	DRL-1906810		126,398
NRT-HDR: The Internet of Catalysis - Harnessing Data Science for Catalyst Design	47.076	DGE-1922649		432,182
Graduate Research Fellowship Program	47.076	DGE-1940699		317,334
Collaborative Research: SaTC: EDU: Hardware Security Education for All through Seamless Extension of Existing Curriculum	47.076	2114157		35,340
Collaborative Research: Peek Inside the Box: Gamified Learning of Computing Hardware Fundamentals	47.076	2142696		55,845
Collaborative Research: ADVANCE Partnership: Empowering scientists to transform workplace climate through the ADVANCEGeo community-based intervention program	47.076	2204022		164,642
University-Community Partnerships Broadening Technology Education for Women Transitioning from Incarceration	47.076	2314275		251,870
Building Capacity to Produce Highly Qualified STEM Teachers	47.076	2345168		5,034
Subtotal for AL No. 47.076				2,308,730
EAGER: Extending Greenland glacier observations using newly-discovered aerial photographs	47.078	2135018		129,884
MRI: Development of a Reconfigurable Radar for UAS Applications	47.078	2216455		362,890
Investigation into Initial Population Movement into the New World	47.078	2243622		78,290
Collaborative Research: NSFGEO-NERC: Understanding surface-to-bed meltwater pathways across the Greenland Ice Sheet using machine-learning and physics-based models	47.078	2235052		23,220
Subtotal for AL No. 47.078				594,284
RII Track-1: Microbiomes of Aquatic, Plant and Soil Systems (MAPS) mediating sustainability: An observational and experimental network across Kansas	47.083	OIA-1656006		1,022,940
RII Track-2 FEC: Marshalling Diverse Big Data Streams to Understand Risk of Tick-borne Diseases in the Great Plains	47.083	1920946		861,150
RII Track-2 FEC: Aquatic Intermittency effects on Microbiomes i Streams (AIMS)	47.083	OIA-2019603		1,777,255
RII Track-2 FEC - Advanced Manufacturing of Renewable and Recyclable Polymers	47.083	2119754		1,109,108
RII Track-1: Adaptive and Resilient Infrastructures driven by Social Equity (ARISE)	47.083	OIA-2148878		3,239,807
R11-BEC: Mitigating COVID-19 Career Challenges with Research an Professional Development Training for Undergraduate Students and Mentors in Field-based Environmental Sciences	47.083	OIA-2225863		148,975
COLLABORATIVE RESEARCH: Social-Emotional Analysis of the Language Environment (SEAL): Key Word & Phrase Spotting in Early Childhood Care Settings	47.083	2235041		36,077
RII Track-4:NSF:Assessing Dynamic Connectivity of Streams and Wetlands across Spatial and Human Gradients with Deep Learning	47.083	2229616		147,784
Subtotal for AL No. 47.083				8,343,096
NSF Convergence Accelerator Track G: Combating Vulnerability and Unawareness in 5G Network Security: Signaling and Full-Stack Approach	47.084	ITE-2226447		410,092
Porous absorbent-coated geotextile to enhance water drainage from soil	47.084	TI-2234410		106,219

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
NSF Convergence Accelerator Track G: Combating Vulnerability and Unawareness in 5G Network Security	47.084	2326898		1,012,130
Subtotal for AL No. 47.084				1,528,441
NSF Intergovernmental Personnel Act for Joan Sereno	47.000	BCS-2220732		173,731
NSF Convergence Accelerator Track K: Improving Water Quality and Equity through Sensor Data and Machine Learning Models	47.000	49100424C0008		205,888
Subtotal for AL No. 47.000				379,619
Subtotal: National Science Foundation- Direct				28,269,509
Passthrough- AMERICAN MUSEUM OF NATURAL HISTORY				
Collaborative Research: All Birds: A Time-scaled Avian Tree From Integrated Phylogenomic and Fossil Data	47.074	A14-2023-1	1655736	9,078
Passthrough- AMERICAN PHYSICAL SOCIETY				
PhysTEC: Building a Solution to the National Physics Teacher Shortage	47.049	PT-002-2019	PHY-1707990	2,942
Passthrough- BATTELLE MEMORIAL INSTITUTE				
Reaeration Analyses: SF6, Chloride, Bromide	47.074	US001-0000731738		23,051
Mosquito Taxonomic Identification	47.000	US001-0000732907	NEON Cooperative Agreement	57,823
Dissolved Gas Analyses: CH4, CO2, N20	47.000	US001-0000732763	NEON Cooperative Agreement	59,800
Passthrough- COLUMBIA UNIVERSITY				
Collaborative Research: Frameworks: Internet of Samples: Toward an Interdisciplinary Cyberinfrastructure for Material Samples	47.070	1(GG015554-01)	OAC-2004839	23,509
Passthrough- CORNELL UNIVERSITY				
U.S. CMS Upgrades for the HL-LHC	47.049	79433-20679	PHY-1946735	80,716
Passthrough- DONALD DANFORTH PLANT SCIENCE CENTER				
BII: New Roots for Restoration: integrating plant traits, communities, and the soil ecosphere to advance restoration of natural and agricultural systems	47.074	24409-K	2120153	850,012
BII New Roots for Restoration: Arbuscular mycorrhizal mediation of drought stress in intermediate wheatgrass domestication	47.074	none	DBI-2100153	848
Passthrough- DUKE UNIVERSITY				
Human and Natural Forcings of Critical Zone Dynamics and Evolution at the Calhoun Critical Zone Observatory	47.050	14-NSF-1078	EAR-1331846	(1)
Passthrough- FLORIDA STATE UNIVERSITY				
CAREER: Quantification of the kinetic energy of particles in complex flows using magnetic particle tracking.	47.049			16,420
Passthrough- GEORGIA STATE UNIVERSITY				
SCC-IRG Track 1: Smart and Safe Prescribed Burning for Rangeland and Wildland Urban Interface Communities	47.070	SP00016096-01		59,895
Passthrough- HASKELL FOUNDATION				
Large-scale CoPe: Rising Voices, Changing Coasts: The National Indigenous and Earth Sciences Convergence Hub	47.075	HFKU-01	2103843	99,958
Passthrough- ICONIUM ENGINEERING COMPANY				
Iconium Engineering Company Refrigerant Ionic liquid Separation (IEC-RISE)	47.084	28738	TI-2232475	31,951
Passthrough- KANSAS STATE UNIVERSITY				
Collaborative Research: How roots, regolith, rock and climate interact over decades to centuries - the R3-C Frontier	47.050	A22-0124-S001	2121652	103,354
LTER: Manipulating drivers to assess grassland resilience	47.074	A21-0332-S003	DEB-2025849	15,854
GP-IN: SOARING: Sharing Opportunities, Approaches, and Resources in New Geo-teaching	47.078	A21-0163-S001	OPP-2022964	22,808
Passthrough- NATURAL HISTORY MUSEUM OF LOS ANGELES COUNTY				
Digitization PEN: Collaborative Research: The Cretaceous World Connecting the Cretaceous Seas of North America	47.074	1902262	1902262	171

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
National Science Foundation (Continued)				
Passthrough- NEW YORK UNIVERSITY				
Melting at Thwaites grounding zone and its control on sea level (THWAITES-MELT)	47.050	F0691-02	Melting at Thwaites grounding zone and its control on sea level (THWAITES-MELT)	2,772
Passthrough- NORTH DAKOTA STATE UNIVERSITY				
CAREER: Rapid Phenotypic Divergence & Insulin-like Growth Factor 1 Signaling in a Widespread Songbird	47.074	FAR0037353	1845974	6,337
Passthrough- OAKLAND UNIVERSITY				
NRT-HDR: Using a Data Analytics Framework to Merge STEM and Entrepreneurial Training	47.076	A24-0004-S001	2244091	3,269
Passthrough- OREGON STATE UNIVERSITY				
Center for OLDest Ice EXploration (COLDEX)	47.078	S2306L-I	OPP-2019719	278,016
Passthrough- PENNSYLVANIA STATE UNIVERSITY				
NSFPLR-NERC: Ground Geophysics Survey of Thwaites Glacier	47.050	5860-UKCR-NSF-8934	OPP-1738934	10,355
Passthrough- SOUTH DAKOTA SCHOOL OF MINES				
RII Track-2 FEC: The IceCube EPSCoR Initiative (IEI) - IceCube and the Data Revolution	47.083	SDSMT- KU 21-05	OIA-2019597	380,339
Passthrough- TEXAS A AND M UNIVERSITY COLLEGE STATION				
Broadening Community Use and Adoption of StraboSpot	47.050	M2301358	ICER-1928348	41,418
Passthrough- UNIVERSITY OF ALABAMA-BIRMINGHAM				
Bill: IISAGE - Discovering the Mechanisms and Evolution of Aging Differences Between Females and Males	47.074	000535058-SC001	2213824	86,124
Passthrough- UNIVERSITY OF CALIFORNIA - SAN FRANCISCO				
NSF Convergence Accelerator Track J: Network Of User-engaged Researchers building Interdisciplinary Scientific Infrastructures for Healthy food (NOURISH)	47.084	14129sc	2236389	24,241
Passthrough- UNIVERSITY OF ILLINOIS-CHICAGO				
Collaborative Research: Improving Multi-dimensional Assessment and Instruction: Building and Sustaining Elementary Science Teachers' Capacity Through Learning Communities	47.076	19233	DRL-1813737	74,279
Passthrough- UNIVERSITY OF IOWA				
RII Track-2 FEC: Critical Resource Availability for the Future of the Renewable Energy Industry: Critical Minerals and Ground Water Resources in Iowa and Kansas	47.083	S02918-01	OIA-2119551	80,813
Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE				
Sub-cellular Neurotransmitter Population Dynamics in Chemobrain	47.074	GR16875-Johnson	2P30CA168524-11	5,983
Passthrough- UNIVERSITY OF NEBRASKA - LINCOLN				
U.S. CMS Operations at the Large Hadron Collider	47.049	25-0521-0244-006	PHY-2121686	31,343
Passthrough- UNIVERSITY OF NEVADA, LAS VEGAS				
THE GENETIC BASIS OF LOCAL ADAPTATION ACROSS AN ISLAND ADAPTIVE RADIATION	47.074	GR17050	2204729	13,538
Passthrough- UNIVERSITY OF NEW MEXICO				
PIPP Phase I: Center for Emerging Pathogen Prediction and Integration	47.074	0480UY-87R8	2155222	57,613
Passthrough- UNIVERSITY OF NORTHERN COLORADO				
Collaborative Research: Developing a Next Generation Concept Inventory using Constructed Response for evaluating student knowledge of complex FEW systems in environmental education	47.076	000021-00001A.008.00	4040-0001	4,357
Passthrough- UNIVERSITY OF OKLAHOMA				
PIPP Phase 1: International Center for Avian Influenza Pandemic Prediction and Prevention	47.074	2023-33	2200310	168,353
Passthrough- UNIVERSITY OF WISCONSIN-MADISON				
Technical Support: Kansas	47.050	0000002485		41,652
Passthrough- VANDERBILT UNIVERSITY				
Collaborative Research: SHF: Small: Learning Fault Tolerance at Scale	47.070	OSA00000080		41,718
Passthrough- VIRGINIA TECH				
DISES: Toward resilient and adaptive community-driven management of groundwater dependent agricultural systems	47.050	480773-19799	ICER-2108196	161,112

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Environmental Protection Agency				
Passthrough- ZENOLEAP LLC				
Energy Efficient Superconducting Neuromorphic Computing Circuits	47.084	26951	TI-2136676	44,646
STTR Phase I: High-sensitivity flexible quantum dots/graphene x-ray detectors and imaging systems	47.084	2322053-29291	TI-2322053	25
Subtotal: National Science Foundation- Passthrough				3,016,492
Total: National Science Foundation				**31,286,001**
Passthrough- MID AMERICA REGIONAL COUNCIL				
Resilient People, Resilient Places	66.306	28335 MOA		3,222
Subtotal: Environmental Protection Agency- Passthrough				3,222
Total: Environmental Protection Agency				**3,222**
Department of Energy				
Direct				
Searches for New Physics in Standard Model Processes	81.049	DE-SC0017988		46,525
Probing Small-x QCD Dynamics With Hadronic Collisions	81.049	DE-SC0019389		2
Molecular to Mesoscale Targeting of Oxoanions with Multi-Tasking Hosts	81.049	DE-SC0018629		54,004
Uranyl Capture and Activation with Lewis Acids and Macrocyclic Hosts	81.049	DE-SC0019169		55,120
Searching for the Nature of Dark Matter and Dark Energy	81.049	DE-SC0019474		23,548
Ab Initio Machine Learning Algorithms for Modeling Kinetics on Amorphous Catalysts	81.049	DE-SC0019488		103,005
Understanding Rate Constants of Hydrated Electron Reactions	81.049	DE-SC0021114		108,271
Research in Heavy-Ion Nuclear Physics: Studying the initial state of QCD matter	81.049	DE-SC0020914		337,546
Electron transfer in heterostructures based on two-dimensional materials	81.049	DE-SC0020995		228,826
Studying nuclear gluon dynamics using novel technologies with the ALICE experiment and at the Electron-Ion Collider Sponsor	81.049	DE-SC0023510		267,828
Theoretical High Energy Physics in the Data-Driven Era	81.049	DE-SC0024673		27,970
Using ARM observations and large-eddy simulation to constrain cloud processing of CCN in boundary-layer clouds over the Eastern North Atlantic	81.049	DE-SC0023083		117,257
Minimizing the Energy Loss in Charge Separation via Spontaneous Exciton Heating	81.049	DE-SC0024525		154,908
Precision hot and cold QCD with CMS and EPIC	81.049	DE-SC0023908		539,721
Theoretical Particle Physics in the Data-Driven Era	81.049	DE-SC0024407		36,234
Research in Heavy-Ion Nuclear Physics at CMS	81.049	DE-FG02-96ER40981		(7,843)
Subtotal for AL No. 81.049				2,092,922
Stationary Direct Methanol Fuel Cells Using Pure Methanol	81.087	DE-EE0008440		2,480
Recycling of End-of-Life Solar Panels using Near-critical Fluids and Ozone	81.087	DE-EE0010496		152,741
Subtotal for AL No. 81.087				155,221
A NOVEL SMART MICROCHIP PROPPANTS TECHNOLOGY FOR PRECISION DIAGNOSTICS OF HYDRAULIC FRACTURE NETWORKS	81.089	DE-FE0031784		754,609
Critical Minerals in Coaly Strata of the Cherokee-Forest City Basin	81.089	DE-FE0032056		373,726
Subtotal for AL No. 81.089				1,128,335
Subtotal: Department of Energy- Direct				3,376,478
Passthrough- AMERICAN INSTITUTE OF CHEMICAL ENGINEERS				
GAS SEPARATION USING FURAN-BASED POLYMER MEMBRANES - PROJECT H22020	81.087	DE-EE0007888-06-09	DE-EE007888-06-09	1,454
Passthrough- ENVIRONMENTAL SOLUTIONS AND INNOVATIONS INC.				
Archaeological Curation Services (FY22-23), Northwestern Division, Kansas City District	81.000	Pesi1640.05		2,787
Passthrough- FERMI NATIONAL ACCELERATOR LABORATORY				
High Luminosity (HL) LHC CMS Detector Upgrade Projects MIP Timing Detector	81.000	678515	DE-AC02-07CH11359	3,947
2024 LPC Distinguished Researcher Award for Recipient Dr. Alice Bean	81.000	709725	DE-AC02-07CH11359	45,178

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Energy (Continued)				
2024 Jr. LPC Distinguished Researcher Award - Recipient: Georgios Krintiras (PI: M. Murray)	81.000	709735	DE-AC02-07CH11359	16,292
Passthrough- HONEYWELL				
MASTER COLLABORATION AGREEMENT	81.000	none	DE-NA0002839	490,905
Microfluidics Consortium: Solubility Model	81.000	N000459672	DE-NA0002839	61,435
2D Semiconductor Reliability- KU	81.000	N000459660		25,254
Predictive Model for Silicone Pad Failure and Predicting Uniaxial Compression of Foam Using Computer Vision	81.000	N000467468		17,934
KU Special Communications	81.000	PO NN000468596		119,714
Next Generation Silicones for DIW	81.000	N000474370	DE-NA0002839	35,424
Flow synthesis of isocyanate terminated prepolymers	81.000	PO N000477021	DE-NA0002839	154,408
Volume Tester isothermal containment Improvement	81.000	PO N000492909	DE-NA0002839	12,903
Microfluidics Consortium: Predictive Algorithm for Spectral Elucidation	81.000	N000506684	DE-NA0002839	7,060
Development, Testing and Improvement of Components & Systems for Next-Generation Radar	81.000	N000506642		35,194
2D Semiconductor Reliability	81.000	N000516760		50,135
Polymer 3D Printed Presure Vessels, Compressive Lap Shear Test Fixtures, Modeling Fluid and Mixing Behavior, and Design and Additive Manuafacturing of Fluidic Channels for Synthesis	81.000	N000517603		5,331
Digitally Assured Manufacturing Processes Testbed	81.000	N000518357		20,041
Application of Process Flow techniques to Catalyzed Cross-Coupling Reactions	81.000	N000521938	NA0002839	20,334
Passthrough- JEFFERSON SCIENCE ASSOCIATES LLC				
Radiation Hardness Tests of Glass Blocks and Software Development for Data Analysis and Simulations	81.000	JSA-22-R413253 PO 22-P1508	DE-AC0-06OR2317	1,382
eRD105: Development and Characterization of Scintillating Glass for the EIC Detector - Kansas: Radiation properties and Software Development	81.000	PO-23-P10097	DE-AC05-06OR23177	6,077
Passthrough- KANSAS STATE UNIVERSITY				
Integrated Anaerobic Membrance Bioreactor (AnMBR)-electro-assisted fermentation platform for total resource recovery from diverse wastewaters	81.086	A21-0320-S001	DE-EE0009504	96,156
Passthrough- LARGO CLEAN ENERGY CORP				
Electrolyte Densification for Shipping (EDS) Process	81.135	26076	cooperative Agreement	44,309
Passthrough- LAWRENCE BERKELEY NATIONAL LAB				
Research During Sabbatical Leave during 2020-2021 Academic Year	81.000	7561272	DE-AC02-05CH11231	-
Passthrough- NEW MEXICO TECH				
Carbon Utilization and Storage Partnership (CUSP) for the Western USA	81.089	P0019651	DE-FE0031837	405,191
Passthrough- NORTHERN ILLINOIS UNIVERSITY				
5-D dual-readout calorimetry for the Next Generation of HEP Experiments	81.049	G1A627765-1	DE-SC0021123	3,096
Passthrough- PACIFIC NORTHWEST NATIONAL LABORATORIES				
Nexus of Controls and Communications for Battery Energy Storage Systems	81.000	702191	DE-AC05-76RL01830	28,802
Passthrough- SANDIA NATIONAL LABORATORIES				
Molecular Modeling of Fluid Properties at Mineral Interfaces	81.000	2127658		130,520
Adaptive Waveform Development For Optimized ReTurns-Enhanced Scene Interpretation and Interference Mitigation(A WD Fort-e S1m)	81.000	2415977		50,137
Cryptand Molecular Cavities to Capture and Chemically Process CO2	81.000	PO2541367		67,976
Joint SAR/GMTI using Agile Waveforms	81.000	2537559	DE-NA0003525	241,229
Passthrough- SYSTEMS TECHNOLOGY RESEARCH (STR)				
Smaller Targeting Radars with Integrated Performance Equivalency STRIPE	81.000	2023-0054	FA2385-23-C-0004	171,102
Passthrough- TENNESSEE TECH UNIVERSITY				
Second-life Battery in Mobile EV Charging Application for Rural Transportation (SMART)	81.086	BL179138630	DE-EE0010404	15,946
Passthrough- TEVERRA LLC				
Heat-Sweep Monitoring with Bubbled Water Seismic Imaging	81.049	Subaward_DE-SC0024148	DE-SC0024148	19,759

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Energy (Continued)				
Passthrough- TRIAD NATIONAL SECURITY LLC				
Parallel High-order Curvilinear Mesh Generation Algorithms and Software for Use with Computational Mechanics Simulations	81.000	619744	89233218CNA000001	126,468
Passthrough- UNIVERSITY OF MARYLAND - BALTIMORE				
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	9,355
Subtotal: Department of Energy- Passthrough				2,543,235
Total: Department of Energy				5,919,713
Department of Education				
Direct				
Fulbright-Hays Doctoral Dissertation Research Abroad Award	84.022	P022A210054		1,379
Funds for the Improvement of Postsecondary Education	84.116	P116Z990008		5,049,881
The Effects of Promoting Engaging Early Literacy Interactions in Preschool Environments: Literacy 3D	84.305	R305A170241		220,747
AspirePlus: A Researcher-Practitioner Partnership to Promote Self-Determination and More Positive Student Outcomes	84.305	R305H190017 Act 2		35,458
Improving Software and Methods for Estimating Diagnostic Classification Models and Evaluating Model Fit	84.305	R305D210045		41,455
Development of an Implementation Support Package to Install, Implement, and Sustain MTSS in Early Childhood Settings	84.305	R305A230405		167,446
Subtotal for AL No. 84.305				465,106
MTSS and Self-Determination: Examining the Impact of Tier 1 Supports to Promote Self-Determination and Academic Outcomes	84.324	R324A170008		-
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		36,545
Factors Contributing to Academic, Social/Communication, and Behavioral Outcomes for Elementary Students with the Most Significant Cognitive Disabilities	84.324	R324A180024		17,315
Promoting Teacher Use of the Supports Intensity Scale-Children's Version to Engage in Supports Planning to Enhance Access to the General Education Curriculum for Children with Intellectual Disability	84.324	R324A180034 - 20		124,638
Project DataWall: A Decision Support System for MTSS	84.324	R324A190054		238,905
Promoting Self-Determination for Students with Disabilities: A Goal-Setting Challenge App	84.324	R324A180012		(76)
Possible Selves and Self-Determination: Improving Transition Outcomes for High School Students with Learning Disabilities	84.324	R324A190011 - 20		627,174
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		118,807
Enhancing CI3T: Building Professional Capacity for High Fidelity Implementation to Support Students' Educational Outcomes (Project ENHANCE)	84.324	R324N190002		738,042
5E Model Professional Development in Science Education for Special Educators (5E-SESE)	84.324	R324A18202		120,235
Combining the Self-Determined Learning Model of Instruction and Peer Supports: Examining the Impact on Academic, Social, and Functional Outcomes for Students with Autism Spectrum Disorders	84.324	R324A200007		789,625
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		296,842
Initial Efficacy Evaluation of the CW-FIT Middle School Program: Improving Academic Engagement and Outcomes for Middle School Students	84.324	R324A200063		573,250

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Education (Continued)				
Validity of a Nonspeech, Dynamic Assessment of the Alphabetic Principle (DAAP)	84.324	R324A200190		197,625
Resources Aligned and Integrated for Student Equity (RAISE): Protocol for Grade-level Teams to Intensify Instruction for Students With or At-risk for Disabilities	84.324	R324X220051		399,327
Resources Aligned and Integrated for Student Equity (RAISE): Protocol for Grade-level Teams to Intensify Instruction for Students With or At-risk for Disabilities	84.324	R324X220051		(2,943)
Project ENGAGE: Enhancing Student Engagement to Facilitate Learning and Well-Being	84.324	R324X220067		394,493
Examining the Initial Efficacy of the Goal Setting Challenge App: Impacts of Technology-Delivered Self-Determination Instruction on Secondary/Transition Outcomes	84.324	R324A230012		280,312
Examining the Efficacy of Aligning Core Content-Area Reading Instruction and Small Group Reading Intervention for Students with Reading Disabilities (Project ALIGN)	84.324	R324A230239		165,201
Math Words: Vocabulary Support for Students Experiencing Difficulty in Mathematics	84.324	R324A230238		79,358
Effects of CIRCLES on the Provision of Transition Services and Resulting Transition Outcomes for Students with Disabilities	84.324	R324A230240		470,745
Subtotal for AL No. 84.324				5,665,420
Preparation of Special Education, Early Intervention, and Related Services Leadership Personnel	84.325	H325D160080		21,042
Shared Writing Instructional Model(SWIM) for Students with Intellectual Disabilities	84.326	H326M180010		117,130
National Technical Assistance Center for Inclusive Practices and Policies	84.326	H326Y220003		1,973,506
Subtotal for AL No. 84.326				2,090,636
Stepping Up Technology Enabled Self-Monitoring For High School Students with Disabilities	84.327	H327S170001		233,424
Virtual reality Opportunities to Integrate Social Skills (VOISS)	84.327	H327S180006		350,934
Center for Innovation, Design, and Digital Learning	84.327	H327F200008		732,216
Special Educator Technology-based Training of Trainers (SETTT) for Success	84.327	H327S200015		552,168
Project WRITE-APLM: Writing stRategies for Integrating Technology in Education with the Adaptive Professional Learning Model	84.327	H327S210009		366,702
Project iKNOW: Increasing Knowledge and Natural Opportunities With Social Emotional Competence	84.327	H327R230015		168,633
FLITE: STEM Coaching	84.327	H327S230012		180,865
Subtotal for AL No. 84.327				2,584,942
Supporting High-Needs Elementary Students with the CW-FIT Program: Building for Scale and Sustainability	84.411	U411B190025		1,697,336
CW-FIT Rural Expansion: Gaining More Time to Learn and More Time to Teach in Rural Schools	84.411	S411A220001		1,518,168
Subtotal for AL No. 84.411				3,215,504
Subtotal: Department of Education- Direct				19,093,910
Passthrough- AMERICAN INSTITUTES FOR RESEARCH				
Evaluation of Transition Supports for Youth with Disabilities	84.000	PO 0489800006	91990019C0078	169,084
Passthrough- ARCTIC SLOPE COMMUNITY FOUNDATION INC.				
Writing and Revising Interventions to Excel: Using Learning Maps and interventions to improve written communication (WRITE for Alaska Native CTE students	84.356	25781 ASCF		466,695
Passthrough- CENTER FOR APPLIED SCIENCE TECHNOLOGY IN				
Project COaching On Learning (COOL) for UDL Implementation	84.326	none		53,406
Passthrough- KANSAS BOARD OF REGENTS				
Jobs and Degree Requirements for 2030:An Expanded Analysis of Projections from Georgetown University Center on Education and the Workforce	84.425			40,690
Passthrough- KANSAS DEPARTMENT OF EDUCATION				
SPDG Evaluation	84.323	652-23-2254	State Personnel Development Grant	244,657

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Education (Continued)				
Passthrough- LAS CRUCES PUBLIC SCHOOLS				
Comprehensive Literacy State Development Grant - Las Cruces Public Schools	84.371	CSA20-21-01		225,260
Passthrough- METROPOLITAN NASHVILLE PUBLIC SCHOOLS				
GEAR UP Nashville Project	84.334	2-00530-01	Gaining Early Awareness and Readiness for Undergraduate Programs	201,151
Passthrough- PURDUE UNIVERSITY				
Para-Impact: Professional Development with Teacher-as-Coach for Paraeducators of Elementary Students with Moderate-to-Severe Developmental Disabilities	84.324	19100063-004		3,816
Passthrough- UNITED CEREBRAL PALSY OF CENTRAL FLORIDA INC				
PROJECT RAISE: Robots and Artificial Intelligence to Improve Social Skills for Elementary Students	84.327	SRA28824	H327S200009	19,509
Passthrough- UNIV OF NORTH CAROLINA AT CHAPEL HILL				
Effects of Implicit Bias on Children's Early Outcomes	84.305	5127932	Education Research Grant	116,294
Passthrough- UNIVERSITY OF CONNECTICUT				
Exploring Relationships between College and Career Readiness, Self-Determination, and Transition Planning among Adolescents with Disabilities	84.324	450820	R324A210245	30,589
Passthrough- UNIVERSITY OF IOWA				
Evaluate effectiveness of Waterloo CSD & Council Bluffs CSD exploratory projects & statewide implementation of specially designed instruction, including evaluation of the State Identified Measure of R	84.425	S03566-01	ESSER II and IDEA part B	219,871
Passthrough- UNIVERSITY OF MINNESOTA				
Initial Efficacy Trial of a Group-Based Implementation Strategy Designed to Increase Teacher Delivery of Evidence-Based Prevention Programs	84.305	A008888703	R305A210241-3	
Passthrough- UNIVERSITY OF MISSOURI - COLUMBIA				
Evaluating the Efficacy of a Daily Check-in/Check-out Intervention for Students At-Risk for Emotional and Behavioral Disorders	84.324	C00064320-2		130,287
Passthrough- UNIVERSITY OF OREGON				
Technical Assistance Center on Positive Behavioral Interventions and Supports VI	84.326	225340C	H326S230002	6,297
Passthrough- UNIVERSITY OF TEXAS-AUSTIN				
The Self-Determined Learning Model of Instruction for Reading (SDLMI-R): Improving Outcomes of Upper Elementary Students with or At-Risk for Reading Disability	84.324	UTA21-000354	R324A210204	143,787
Passthrough- UNIVERSITY OF WASHINGTON				
Initial Efficacy Trial of a Group-Based Implementation Strategy Designed to Increase Teacher Delivery of Evidence-Based Prevention Programs	84.305			9,059
Passthrough- UNIVERSITY OF WISCONSIN-MADISON				
Item Development for New Forms of Alternate ACCESS for ELLs (Alt ACCESS Advancing ALTELLA: Alternate Assessment Redesign	84.368	22-8755	S368A190004	6,381
Subtotal: Department of Education- Passthrough				2,086,833
Total: Department of Education				**21,180,743**
Department of Health and Human Services				
Direct				
Bridging the Word Gap Research Network	93.110	UA6MC27762		(32)
Bridging the Word Gap Research Network	93.110	U6DMC42197		343,927
Building Capacity of Early Childhood Providers to Promote Language Learning of Infants and Young Children from Underserved Communities	93.110	1R40MC49145-01-00		181,994
Subtotal for AL No. 93.110				525,889

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Toxicogenomics of metal response in genetically-variable Drosophil populations	93.113	5R01ES029922-03		74,586
Linking genomic, physiological, and behavioral responses using a Drosophila model of heavy metal stress	93.113	K99ES033257		28,069
Subtotal for AL No. 93.113				102,655
Peptide-Polymer Engineering Dentin/Adhesive Interfacial Bond Integrity	93.121	R01DE025476		430,462
Peptide Enabled Tunable Restorative Interface	93.121	1R56DE032903		113,022
Subtotal for AL No. 93.121				543,484
Evaluation of a Comprehensive Approach to Address Youth Violence through the Kansas City Youth Violence Prevention Center	93.136	U01CE003375		1,092,106
Interactive book reading to accelerate word learning by children with SLI	93.173	R01DC012824		91,686
Morphosyntactic Abilities of SLI Probands	93.173	5R01DC001803		(5,814)
A virtual vocal tract for speech output using non-invasive brain-computer interface	93.173	1R01DC016343-02		267,062
Training Researchers in Language Impairments	93.173	T32DC000052		11,765
Genetic studies of specific language impairment (SLI) using consanguineous families	93.173	R21DC017830		31,779
Examining adaptive peer-mediated interventions for preschoolers with autism spectrum disorder and limited or no spoken language: A Sequential Multiple Assignment Randomized Trial	93.173	1R01DC020418		556,779
More and Less Social Comprehension: Child and Text Factors for Autistic Children	93.173	R21DC020786		186,327
Understanding how caregivers shape reciprocal communication with nonspeaking autistic children	93.173	1F31DC021869		1,192
Subtotal for AL No. 93.173				1,140,776
Care and Safety Practices during the COVID-19 Pandemic in Home-Based Long term Services and Supports	93.226	R01HS028172		40,354
Motor abnormalities and functional brain mechanisms in autism spectrum disorder	93.242	R01MH112734		553
Smart Technology for Anorexia Nervosa Recovery: A Pilot Intervention for the Post-Acute Treatment of Anorexia Nervosa	93.242	R34MH127022		276,774
Exploring predictors of response to a peer-mediated communication intervention for minimally verbal preschoolers with ASD	93.242	R21DC019215		22,129
Neurocircuit of Partner-seeking Following Social Loss	93.242	R01MH133123		573,997
Subtotal for AL No. 93.242				873,453
A cluster-randomized trial of a behavioral activation intervention administered in a college freshman orientation course	93.273	R01AA027791		368,294
Using Neuroeconomics to Characterize State-Based Increases and Decreases in Alcohol Value	93.273	R01AA027255		212,028
Subtotal for AL No. 93.273				580,322
Neuronal Circuits and Molecular Mechanisms Underlying Early Social Isolation-Potentiated Heroin Seeking	93.279	1K01DA050908		76,086
The role of DNA breaks and repairs in opioid addiction	93.279	1DP1DA056804		472,049
Subtotal for AL No. 93.279				548,135
Biotechnology Resource Center of Biomodular Multi scale Systems CBM2 for Precision Molecular Diagnostics	93.286	P41EB020594-06		(1,295)
Scanning Resonator Microscopy	93.286	R03EB027357		2,628
Biotechnology Resource Center for BioModular Multi-scale Systems (CBM2) for Precision Medicine	93.286	P41EB020594		1,033,474
mRNA Expression Profiling from Extracellular Vesicles (EVs): Generating a Rapid Diagnostic for Stroke	93.286	R01EB031579		531,722
Subtotal for AL No. 93.286				1,566,529
A Resource for the Genetic Dissection of Complex Traits	93.351	1R01OD034064-01		360,315
Increased Sensitivity of Minimal Residual Disease Monitoring using Peripheral Blood in Pediatric Patients with Acute Lymphoblastic Leukemia	93.394	R33CA235597		178,754
Nano-Engineered Lab-on-a-Chip for Assessing HuR-Regulated Exosomes for Cancer Monitoring and Targeted Therapy	93.394	R01CA243445		598,456

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Molecular Sub-typing Breast Cancer Patients using a Liquid Biopsy	93.394	R21CA272351		261,212
Subtotal for AL No. 93.394				1,038,422
Targeted Proteomics of MUC16 to Enable Early Detection of Ovarian Cancer Recurrence	93.395	R21CA267532		196,918
Research and Training Center on Community Living	93.433	90RT5043-04-01		143,808
Promoting Career Design and Development via Telehealth for Rural Adults with Intellectual and Developmental Disabilities	93.433	90IFRE0039		142,488
Using the National Survey on Health and Disability Panel to Document the COVID-19 Pandemic Experiences of Working-Age Americans with Disabilities	93.433	90IFRE0050		130,184
Subtotal for AL No. 93.433				416,480
Kansas State Plan for Assistive Technology	93.464	2101KSATSG-02		8,951
ATPH-Expanding the Public Health Workforce within the Disability Network: AT St. Grants	93.464	2201KSATPH-00		(7,841)
Kansas State Plan for Assistive Technology 2021-2023	93.464	2201KSATSG		286,536
Kansas State Plan for Assistive Technology	93.464	2301KSATSG-		198,677
Subtotal for AL No. 93.464				486,323
Kansas Invests in Families (KInvest)	93.556	90CW1150		453,032
Head Start Collaboration Office Needs Assessment	93.600	none		266
Kansas Self-determined Transition Employment Partnership (K-STEP): Youth-Led Systems Change for Enhanced Transition and Employment Outcomes	93.631	90DNCE0002		226,156
State of the States in Developmental Disabilities-On-going Data Collection and Information Dissemination: 2018	93.631	90DNPA0004		222,060
State of the States in Intellectual and Developmental Disabilities	93.631	90DNPA0005		231,103
Subtotal for AL No. 93.631				679,319
Kansas Self-Determined Transition Taskforce: Moving Forward To Enhance Transition Outcomes	93.632	90DDCI0003		211,481
Expanding the Public Health Workforce in Kansas	93.632	90UCPH0004-01-00		42,093
Kansas University Center on Developmental Disabilities: 2022-2027	93.632	90DDUC0096		529,812
Subtotal for AL No. 93.632				783,386
Universal Prevention for Strong and Thriving Families (Family Strong)	93.648	90CT7013-01-00		844,193
Kansas Strong for Children and Families (Kansas Strong)	93.652	90CO1139		1,467,734
Kansas Bravely Raising & Activating Voices for Equity	93.670	90CA1889-01-00		228,364
Integrated Health Scholars: Partnerships to Advance Practice	93.732	M01HP31360		506,259
Optimizing a Sensor-Enabled mHealth Intervention for Adolescents with Suboptimal Asthma Control	93.838	R34HL167214		58,767
Roles for Adenomatous polyposis coli in colon injury prevention and wound healing	93.847	R01DK132320		453,286
Structural and functional connectivity of the social decision-making network	93.853	3R01NS113104-02S1		277,576
A Novel Pharmacologic Approach to Treat CMT1X	93.853	4R33NS114355		167,767
Regulation of directed neuroblast migration by the ECM and MAB-5/Hox	93.853	1R01NS115467-01A1		287,604
Wearable real-time functional brain mapping for a non-human primate stroke model	93.853	R01NS118918		630,784
Mechanisms and biomarkers of disease progression in Fragile X-associated tremor/ataxia syndrome (FXTAS)	93.853	1R01NS131337-01A1		23,542
Subtotal for AL No. 93.853				1,387,273
The causes of balancing selection on immunity genes: from populations to molecular interactions.	93.855	1RO1AI139154-01		101,010
Identification of CYP5122A1 inhibitors as chemical probes for Leishmania biology	93.855	5R01AI139198-03		163,205
Identifying functional targets of HSV-1 ICP0-directed degradation	93.855	R21AI154302		4,080
Resistance-gene-guided genome mining for novel antifungal compounds	93.855	R21A1156320		48,926
Identifying the targets of virus-induced PARPs during SARS-CoV-2 infection	93.855	1R21AI173781		239,156
Subtotal for AL No. 93.855				556,377

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
KU Post Baccalaureate Research Education Program (PREP)	93.859	R25GM078441		349,703
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	5K12GM063651-18		228,519
Mass Spectrometry Measurements for Complex PTMS	93.859	5R35GM130354-03		312,581
Graduate Training at the Biology-Chemistry Interface	93.859	T32GM132061		343,219
Enhanced Sampling of G-Protein-Coupled Receptor-G Protein Interactions	93.859	R01GM132572		47,747
MARC at The University of Kansas	93.859	T34GM136453		338,059
Determining mechanisms of innate immune modulation by ADP-ribosylation	93.859	R35GM138029		353,182
Quorum sensing evolution and function in mixed bacterial communities	93.859	R35GM133572		351,738
Chemical Biology of Infectious Disease	93.859	2P20GM113117		2,704,240
Tethered aza-Wacker Technology for Complex Antibiotic Assembly	93.859	R35GM142499		279,203
Molecular Analysis of Disease Pathways	93.859	1P30GM145499		1,333,696
Integrated Resource for Protein Recognition Studies	93.859	2R01GM074255		185,727
Bridges to the Baccalaureate Research Training Program at the University of Kansas/Haskell Indian Nations University	93.859	5T34GM142615		141,393
Modulating gene expression by RNA-targeting chimeras	93.859	R35GM147498		409,631
New catalytic strategies to make non-proteinogenic peptides	93.859	1R35GM147169-01		394,198
SCISIPBIO: Examining the Career Barriers Confronting African American or Black Biomedical Scientists	93.859	1R01GM148816		19,139
Glycoscience Tools and Therapeutics	93.859	R35GM151083		255,161
Leveraging Big Data to Improve Women's Health (BD-WH)	93.859	1P20GM152280		91,281
Plugging & Pulling-in: tuning peptide for TolC to overcome antibiotic resistance	93.859	1R01GM148583-01A1		234,467
Subtotal for AL No. 93.859				8,372,884
Kansas Intellectual and Developmental Disabilities Research Center	93.865	U54HD090216		113,744
Individual and family-based approaches to increase physical activity in adolescents with IDD	93.865	R01HD094704		580,250
Gatlinburg Conference on Research in ID/DD	93.865	R13HD102142		113,046
Parent-implemented treatment for repetitive behaviors in children with ASD: Using a novel telehealth approach to increase service access	93.865	5R01HD105036		399,804
The Role of Hostile Attribution Bias and Working Memory in the Link between Trauma Exposure and Violence in Justice-Involved Youth	93.865	F31HD106745		7,448
FXS: Late Adolescence and Early Adulthood	93.865	2R01HD084563-06A1		453,027
Psychometrics and Predictive Validity of Infant Learning	93.865	R01HD109221		254,510
Subtotal for AL No. 93.865				1,921,829
Sporadic Alzheimer's Disease: A Bioenergetic Etiology?	93.866	1R01AG061038-02		220,204
A Dyadic Approach for a Remote Physical Activity Intervention in Adults with Alzheimer's Disease and their Caregivers	93.866	R01AG061187		1,008,678
Synapse structural dynamics and memory loss in mouse models of Alzheimers disease	93.866	R01AG064067		281,460
Remediation of elevated delay discounting in mid-life individuals: A stage-II trial	93.866	R01AG048904		374,103
Structure and Function of Gamma-Secretase in Familial Alzheimer's Disease	93.866	R01AG066986		659,071
Mitochondria targeting for Alzheimer's Disease	93.866	3R21AG070466		136,592
A Study of Race Differences in Alzheimer's Disease Biomarkers	93.866	RF1AG072760		356,138
Ghsr1a and Hippocampal Pathology in Alzheimer's Disease	93.866	RAG059753		312,332
mtDNA leakage and STING-dependent microglial innate immune response in Alzheimer's disease	93.866	1R01AG075108		428,109
Reshaping ApoE4 and Alzheimer's Brains with ApoE2	93.866	1R01AG071682		524,107
Neurodegenerative mechanisms of motor, executive, and memory decline in females with Fragile X-associated tremor/ataxia syndrome (FXTAS)	93.866	R21AG080923		170,866

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
A Novel Method to Enhance Drug Delivery to the Brain	93.866	1R01AG082273		38,609
Subtotal for AL No. 93.866				4,510,269
Precisely removing microvessels by photo-mediated ultrasound therapy	93.867	R01EY029489		101,268
CARE Project Referral Network - IRIS (TO 23027)	93.994	TO23027		68,568
Subtotal: Department of Health and Human Services- Direct				31,905,235
Passthrough- ALBANY MEDICAL COLLEGE				
Role of a Fatty Acid Chaperone in Schwann Cell Myelination	93.853	GR10000124	1R01NS134493	4,244
Passthrough- AMERICAN ACADEMY OF PEDIATRICS				
Act Early Ambassador 2023-2024	93.283	none	Learn the Signs. Act Early Program	1,148
Passthrough- ASSOCIATION OF UNIVERSITY CENTERS ON DISABILITIES				
Act Early Ambassador 2022 - 2023	93.283	none	Learn the Signs. Act Early Program	3,591
Act Early Ambassadors: State or Territorial Liaisons to CDCs, Learn the Signs. Act Early. Program	93.837	none		(207)
Passthrough- AXIOFORCE				
3D force sensing insoles for wearable, AI empowered, high-fidelity gait monitoring	93.286	SRA28688	R42EB034605	73,619
Passthrough- BRIGHAM & WOMEN'S HOSPITAL RESEARCH ADMINISTRATION				
Leveraging Heterogeneity in Autosomal Dominant AD to Elucidate Pathophysiology and Improve AD Biomarkers	93.866	127688	1RF1AG079569-01	235,877
Passthrough- CHILDREN'S MERCY HOSPITALS & CLINICS				
Childhood Housing Assistance and Adult Health: Life Course Critical Periods and Cumulative Impact	93.865	42013124	R21HD107247	16,364
Passthrough- COLUMBIA UNIVERSITY				
GLO1/AB-mediated mitochondrial and synaptic injury in Alzheimer's disease	93.866	1(GG018633-01)	1RF1AG081575-01	121,274
Passthrough- COMMUNITY CARE CORPS THE OASIS INSTITUTE				
University of Kansas Transition to Postsecondary Education (KU TPE) Peer Navigators	93.048	none	90CCDG0001-04-00	42,320
Passthrough- CONTINUUM EDUCATIONAL TECHNOLOGIES PBC				
Smart Tools to Accelerate Research Translation by Uplifting Participants for the Central IDeA State Region (STARTUP Central)	93.859	27004	1UT2GM148086-01	155,669
Passthrough- CRAWFORD COUNTY				
Certified Behavioral Health Clinic (CCBHC) Planning, Development, and Implementation Grant Project Evaluation -- Crawford County	93.696	27209	H79SM086722	170,877
Passthrough- DIGITAL NANOGENETICS LLC				
A novel single molecule sequencing technology for direct, label-less detection of unamplified DNA single molecules	93.172	1R43HG010551-01-Sub	1R43HG010551-01	1
Passthrough- DirectSYNC SURGICAL, LLC				
Spinal Fusion Implant with Integrated Fusion Progression Diagnostic Capability	93.846	SRA27460		2,403
Passthrough- DUKE UNIVERSITY				
Novel Immunogens to Elicit Broadly Cross-reactive Antibodies that Target the Hemagglutinin Head Trimer Interface.	93.855	A035386	1R01AI155804-01A1	29,554
Duke Center for HIV Structural Biology: Protein analytics support to characterize Env Proteins	93.855	303000855	1U54AI170752-01	37,424
Passthrough- EMORY UNIVERSITY				
Emory Home Visiting Program	93.434	A630801	90TP0070	92
Passthrough- FAMILIES AND COMMUNITIES RISING, INC.				
National Center for Community-Based Child Abuse Prevention	93.590	none	90CZ0027	25,327
Passthrough- FUTURES WITHOUT VIOLENCE				
A Quality Improvement center on domestic violence in child welfare	93.670	3037 Addendum #1	90CA 1850-04	55
Passthrough- GEORGIA INSTITUTE OF TECHNOLOGY				
Discovering novel predictors of minimally verbal outcomes in autism through computational modeling	93.173	AWD-004137-G1	R01DC020048	298,737

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- HENRY FORD HEALTH SYSTEM				
Reducing Maternal Delay Discounting as a Target Mechanism to Decrease Harsh Parenting and Improve Child Mental Health Outcomes in a Traditionally Underserved Community	93.242	B11239UK	1R34MH123602-01A1	13,850
Improving Delay Discounting to Decrease Harsh Parenting among Parents Receiving Substance Use Treatment in a Low Resource Community	93.279	B11238UK	1R34DA053524-	6,575
Improving Decision Making to Prevent Substance Misuse among Adolescents from Traditionally Underserved Communities	93.279	B11256UK	1R34DA056732	36,770
Passthrough- HORIZONS MENTAL HEALTH CENTER				
Mental Health Awareness Training Project Evaluation	93.243		1H79SM084510-01	16,875
CCBHC Expansion Grants	93.829	24921	H79SM083196	(1,953)
Passthrough- IDAHO STATE DEPARTMENT OF EDUCATION				
Idaho Advancing Wellness and Resiliency in Education (ID-AWARE)	93.243	23-7905		60,813
Idaho Advancing Wellness and Resiliency in Education (ID-AWARE) FY2024	93.243	24-7819		103,513
Passthrough- IOWA DEPARTMENT OF HUMAN SERVICES				
FY24 Community Check Box Evaluation System for Partnerships for Success to Prevent Alcohol Misuse (FPS-PAM) PFS PAM	93.243	BEHESPP24320		38,451
Iowa ROM 2021 - 2026	93.658	ACFS 21-206		42,805
Passthrough- JOHNS HOPKINS UNIVERSITY				
An Examination of the Joint Contributions of Socieeconomic Disadvantage, Genetics, and COVID-19 on the Development of Delay Discounting and Substance Use Across Adolescence	93.279	2005711194	R01DA057552	12,294
Passthrough- KANSAS CHILD CARE TRAINING OPPORTUNITY				
Statewide Infant-Toddler Specialist Network: KCCTO-KITS Partnership FY 2023	93.575	23358	EES-2021-ITSN-01	1,013,483
Passthrough- KANSAS CHILDREN'S CABINET AND TRUST FUND				
HHS/ACF Preschool Development Grant Birth through Five	93.434	PO12995	LOC fund 3592-3070-Z01023	1,942,233
Kansas PDG B-5 Planning Grant 2	93.434	none	90TP0112-01	1,021,689
KS ECIDS Distinct Count of Children Project	93.558			474,554
Kansas Workforce Registry	93.575	none		478,650
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	93.590	KUCR-CC-CBCAP-2021-2024-C		194,830
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP)	93.590	G-210LSBCAP	210LSBCAP	3,222
WellBeing Mapping CBCAP Program	93.590	none	2101KSBCC6/BCC6	147,116
Building Early Childhood-Child Welfare Partnerships to Support the Well-Being of Young Children, Families, and Caregivers	93.670	NONE	90CA1879-01-00	118,103
Passthrough- KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES				
Kansas Reading Road Map Evaluation	93.558	39403		
Family Resource Center Evaluation	93.558	PPS-2023-KUFRCEV-01		360,394
Kansas Enrichment Network FY 2021 - 2023	93.575	49429	Child Care and Development Block Grant	3,146
Head Start Collaboration Office Needs Assessment 2023	93.600	EES-2023-KUHSCO-01		14,419
Kansas Navigator Series for Supported Decision-Making	93.630	KCDD-2023-KUCR-01	2201KSSCDD-D2	25,477
Prevention Grant Evaluation, Families First Prevention Services Act	93.658	PPS-2019-FFPEV		683,204
Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT				
Mosquito Surveillance (23063)	93.063	23063	NU50CK000549	39,151
Maternal Anti-Violence Innovation and Sharing (MAVIS) (TO 24045)	93.088	TO 24045, Contract 48567 UKCR	ASTWH210098	43,626
Master Agreement	93.110	48567 - TO 21007	5UK3MC322410300	2
KSKidsMAP, IRIS Expansion	93.110	23099		4,830
Kansas Connecting Communities (KCC) Year 5; MAVIS Year 2	93.110	48567, TO 23026	UK3MC32241 and ASTWH210098	333,027
Kansas Connecting Communities (KCC) (TO 24038)	93.110	24038		163,931
COVID-19 Vaccination Education and Outreach	93.129	48567 TO23056	H8GCS48067-01-00	14,493

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Kansas Department of Health and Environment Contract for Second Step Evaluation Project	93.136	TO21051	5NUF2CE002495-03-00	11
Sexual Violence Primary Prevention Community Based Project Evaluation	93.136	TO22057	5NUF2CE002495	(971)
Evaluation of Programs at KU Sexual Assault Prevention and Education Center	93.136	TO 22051	5NUF2CE002495	10,772
Sexual Violence Primary Prevention Community-Based Evaluation	93.136	TO 23051 under contract 48567	NUF2CE002495	44,852
Evaluation of 2023-2024 Second Step Schools	93.136	24031	NUF2CE002495	6,094
Evaluation of Programs at KU Sexual Assault Prevention and Education Center	93.136	TO 23053, Contract 48567	5NUF2CE002495	39,868
Sexual Violence Prevention Community-Based Valuation	93.136	Task Order 2405, contract 4856	NUF2CE002584	20,015
Kansas Title X Family Planning Needs Assessment: (TO 24047)	93.217	24047	3622/3271	77,900
Community Health Access Section Kansas Statewide Farmworker Health Program Evaluation	93.224	TO22008		5
Our Tomorrows (KDHE Health Equity) (TO 22066)	93.391	22066		11,866
COVID-19 Vaccination Education and Outreach	93.527	TO 24013, contract no. 48567	H8GSCS48067-01-00	20,000
Bridge Access Program	93.527	Task Order 24043	264BAP23	12,666
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	KDHE2014-011		5,211
Assistive Technology for Kansans	93.778	21034		21,114
Medicaid Equipment Exchange	93.778	21035		83,160
Assistive Technology for Kansans	93.778	23064		80,109
Medicaid Equipment Exchange	93.778	TO23065		272,370
Second Step Evaluation Project	93.991	48567 UKCR	NB01OT009228	128
KDHE DAISEY Year 8-11	93.994	TO 22074, Contact 48567	Maternal And Child Health Services Block Grant To The States	304,559
Monitoring and Evaluating Implementation of the MCH State Action Plan	93.994	48567: TO 22075	B04MCH453217	40,200
MCH Block Grant Monitoring, Evaluation, and Workforce Development	93.994	48567	B04MCH453217	40,972
KDHE Title V Needs Assessment TO #24067	93.994	48567	B04MCH453217	121,364
Passthrough- KANSAS STATE UNIVERSITY				
Small Molecule Protease Inhibitors against MERS-CoV	93.855	S18147		5,850
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S001	R01AI141586	34,179
Discovery of Hsp100-selective inhibitors for targeting multiple microbial pathogens	93.855	A00-1041-S002	R01AI141586	27,164
Small molecule inhibitors against 3C-like protease of SARS-CoV-2	93.855	A22-0151-S001	R01AI161085	65,955
Passthrough- KICKAPOO TRIBE				
Kickapoo Native Connections Evaluation	93.243	24036	1H79SM082694-01	54,435
Grants to Tribes, Tribal Organizations and Migrant Programs for Community-Based Child Abuse Prevention Programs	93.590	1774-000	90CA1874	12,251
Behavioral Health Integration Initiative	93.654	26414	BH171HS0020	122,107
Kickapoo Practices for Wellness Evaluation and Performance Plan	93.762	21173	NU58DP006395	380
Kickapoo TOR Return to Community Program	93.788	27273	H79T1085715	24,343
Passthrough- KINIMMUNE				
Development of a tumor-retentive immunostimulant as adjunct therapy for solid tumor cancers	93.395	SUB27340	R41CA272024	89,278
Passthrough- LANGSTON UNIVERSITY (PUBLIC UNIVERSITY)				
RRTC: Equity Center in Employment Domain	93.433	LU-520133-2	90RTEM0009	79,676
Passthrough- LEIDOS BIOMEDICAL RESEARCH INC.				
Development and Application of Antibody Optimization Technologies to Improve Public Health	93.000	18X007	HHSN261200800001E	17
Passthrough- LOUISIANA STATE UNIVERSITY				
Small molecules for perturbing iron homeostasis in bacterial biofilms	93.855	PO0000191609	R01AI169344	65,023
Passthrough- MASSACHUSETTS GENERAL HOSPITAL				
Multimodal Dynamics of Parent-Child Interactions and Suicide Risk	93.242	241821	1R21MH130767-01	27,019

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- MCLEAN HOSPITAL				
SCH: INT: Collaborative Research: Context-Adaptive Multimodal Informatics for Psychiatric Discharge Planning	93.242	401780	1R01MH125740-01	14,830
Passthrough- MINNESOTA DEPARTMENT OF EDUCATION				
Minnesota Interagency Community Voice & SenseMaking Project	93.434	224436	90TP0115-01-00	135,172
Passthrough- NEW MEXICO CHILDREN, YOUTH & FAMILIES				
New Mexico ROM FY2021	93.556	21-5000-21071	G-1801NMFPSS	76,585
Passthrough- OK DEPARTMENT OF MENTAL HEALTH & SUBSTANCE ABUSE				
Oklahoma Infant Toddler Court Program (OKITCP)	93.110	None		183,676
Passthrough- OREGON DEPARTMENT OF HUMAN SERVICES				
Oregon ROM Reports System	93.658	133972	Foster Care Title IV-E	77,536
Passthrough- PINNACLE TECHNOLOGY INC				
Functionalized Multi-Modal Tetrode Arrays for Real-Time, Site-Specific Neurochemical Monitoring	93.242	2023-177	1R43MH134669-01	62,281
Passthrough- PRAIRIE BAND				
SAMHSA Garrett Lee Smith Grant Implementation Support Contract: Prairie Band Potawatomi Nation Youth Wellness Services	93.243	PBWC2021-0001	1H79SM082132-01	87,352
Prairie Band Potawatomie Nation Native Connections Evaluation (Y3)	93.243	2023-187	6H79SM082666-03M001	29,996
Prairie Band Potawatomie Nation Native Connections Evaluation (Y3)	93.243	2023-187	6H79SM082666-03M001	18,507
Passthrough- ROSWELL PARK COMPREHENSIVE CANCER CENTER				
Development and analysis of novel experimental platforms for Alzheimer's disease in Down syndrome	93.865	534-01	3R01HD109750-02SI	42,336
Passthrough- SAINT FRANCIS COMMUNITY SERVICES				
KS, NE and TX fathers, couples, and co-parents whose children are involved in the child welfare system will gain the skills and knowledge to be better parents through Saint Francis Fatherhood FIRE	93.086	24372	90ZJ0047-01-00	136,607
Passthrough- SEATTLE CHILDREN'S HOSPITAL				
Seattle Structural Genomics Center for Infectious Disease Renewal	93.000		Centers for Research on Structural Biology of Infectious Diseases	148,743
Seattle Structural Genomics Center for Infectious Disease Renewal	93.000	12917SUB	75N93022C00036	28,593
Structural Genomics Center for Infectious Disease Renewal	93.000	13169SUB	75N93022C00036	24,880
Seattle Structural Genomics Center for Infectious Disease Renewal	93.000			446,904
Seattle Structural Genomics Center for Infectious Disease Renewal	93.000	13189SUB		38,374
Seattle Structural Genomics Center for Infectious Disease Renewal	93.000	13190SUB		93,890
Passthrough- THE CITY UNIVERSITY OF NEW YORK				
Special Interest Project #4 Disability and Health Date Collaborative: Using Data to Promote the Health and Wellness	93.135	CM00009022	6U48DP006396-04-01	63,355
Passthrough- UNIV OF CALIFORNIA - BERKELEY				
STEM Escape: Immersing urban and rural families in biomedical mysteries	93.351	00010137	1R25GM132971-01	28,250
Passthrough- UNIV OF NORTH CAROLINA AT CHAPEL HILL				
Nanopore Methods for Determining Capsid Viability	93.103	5122517		142,116
Validation of an Outcome Measure of Early Social-Communication for Young Children with ASD	93.242	5128246		410,451
Passthrough- UNIVERSITY OF CALIFORNIA - LOS ANGELES				
Autism Intervention Research Network on Behavioral Health (AIR-B)	93.877	2000 G YC232	UT339436	187,628
Autism Intervention Research Network on Physical Health (AIR-P)	93.877	1557GZB332	UT2MC39440	23,087
Passthrough- UNIVERSITY OF DENVER COLORADO SEMINARY				
Prenatal Pathways for Poverty's Influence on the Brains of Two Generations	93.865	SC37547-04-00 / PO168130	R01HD090068	8,269
Passthrough- UNIVERSITY OF FLORIDA				
Integrative Functional Profiling of Tumor-Derived Extracellular Vesicles	93.394	SUB00002779	R33CA252158	41,030

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- UNIVERSITY OF GEORGIA				
USING NEUROECONOMICS TO UNDERSTAND ALCOHOL OVERVALUATION IN ALCOHOL USE DISORDER	93.273	SUB00002433	R01AA025911	25,828
The activation of benzoxaborole prodrug AN15368, a clinical candidate for Chagas disease	93.855	SUB00003135	1R21AI171727-01A1	37,165
The Role of Fathering in the Language Development of Young, Low-Income African American and Latino Children	93.865	SUB00003084	R01HD100557	434,990
Passthrough- UNIVERSITY OF ILLINOIS				
All Our Kids Network University of Illinois IRIS Proposal (Year 5)	93.994	109989-19096		2,543
Passthrough- UNIVERSITY OF ILLINOIS - URBANA-CHAMPAIGN				
Rehabilitation Engineering Research Center (RERC) on Technologies to Support Aging-in-Place for People with Long-Term Disabilities	93.433	095457-17810	90REGE0006-01-00	25,417
Technologies to Support Aging Among People with Long-Term Disabilities (TechSAge)	93.433	114913-19759	90REGE0021	15,534
Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE				
3D force sensing shoe insoles for wearable, remote, high-fidelity gait monitoring	93.012	GR17635		24,208
Kansas University Affiliated Program	93.110	AWD-0002295	T73MC06623	18,507
Role of SPECC1L cytoskeletal protein in palate elevation dynamics	93.121	AWD10000356	R01DE032825	28,411
Translating research into school-based practice via small-group, language-focused comprehension intervention	93.173	GR15603	R01DC018823	26,143
te Research Assistant Services on KanAWARE	93.243	GR516288	H79SM086348	69,565
Exploring Daily Influences on Decision Making	93.275	GR517131	5TL1TR002368-07	69,693
Localized mHealth approach to boosting COVID-19 testing and vaccine literacy, access, and uptake among women with criminal legal system involvement in three cities	93.310	GR16641	1U01MD017415-01	44,478
SPeCTRE 2.0: The Sunflower Pediatric Clinical Trials Research Extension	93.310	AWD-0001939	5UG10D024943-05	3,083
FY 2022 - Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	ZPBT0044	5TL1TR002368-05	10
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	GR16366	5KL2TR002367-05	(90)
Frontiers: University of Kansas Clinical and Translational Science Institute (Postdoctoral Trainee Aaron Smith)	93.350	ZPBT0044	5TL1TR002368-05	(17,082)
Examining the effects of gambling volatility on drinking behavior	93.350	GR16981	TL1TR002368	28,200
Investigating the Challenging Eating Behaviors of Children with Autism at Mealtime	93.350	GR16998	2KL2TR002367-06	93,791
Frontiers: University of Kansas Clinical and Translational Science Instituter	93.350	GR512080	KL2TR002367	136,368
Frontiers: University of Kansas Clinical and Translational Science Institute	93.350	GR505614	UL1TR002366	34,324
Investigating approved therapeutics for their ability to inhibit the SARS-CoV-2 ADPribosylhydrolase: 2022-2023	93.350	GR17661	2UL1TR002366-06	43,233
Institutional Career Development Core	93.350	GR511137	5KL2TR002367-07	31,010
University of Kansas Clinical and Translational Science Institute	93.350	IAM00000115/GR510907	5UL1TR002366-07	10,837
The safety and efficacy of megesterol as part of an outpatient feeding protocol for children with chronic medical conditions	93.361	0001673	R01HD093933	19,507
IAmHealthy Parents First	93.361	GR16990	1R01NR019810-01A1	7,420
Health Equity and Rural Education (HEREI) Clinical Trial	93.361	GR525662	1R56NR021161-01	3,924
Sexual Health Empowerment for Jail-Involved Women's Health Literacy and Prevention	93.393	ZAR00080	R01CA181047	13,213
TEAMSPORT to Community TEAMSPORT: Validating and Adapting a Precision Oncology Reflex Testing Team Intervention to Reduce Rural Disparities in Cancer Care Delivery	93.393	GR504883	R01CA274560	56,938
Ultrafast FLASH radiation therapy dosimetry	93.395	AWD10000265	1R21CA274193-01A1	32,726
Ultrafast FLASH radiation therapy dosimetry	93.395	AWD10000265_Subaward	1R21CA274193-01A1	39,015
NCI Cancer Center Support Grant - LDO Core (Hageman)	93.397	GR503588 (Hageman)	2P30CA168524-11	28,456
Personalized T Cell Therapy for Mantle Cell Lymphoma	93.397	GR503062	2P30CA168524-11	25,330
Colon Cancer Chemoprevention Through Inhibition of Exportin 1 (XPO1)	93.397	AWD-0002643-Dixon_Extension	2P30CA168524-11	7,989

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Cancer Center Support Grant - Drug Discovery, Delivery and Experimental Therapeutics Component (D3ET)	93.397	GR503973	2P30CA168524	28,662
Cancer Center Support Grant - Cancer Biology Program	93.397	GR16886	2P30CA168524-11	13,460
NCI Cancer Center Support Grant - LDO Core (Roy)	93.397	GR503588 (Roy)	2P30CA168524-11	25,015
P30 CATCH UP Above Accrual Goal Administrative Supplement Request	93.397	GR16876	P30CA168524	35,521
The Online and Applied System for Intervention Skills (OASIS) - Scaling-up!	93.433	Z1H00040	90DPKT0003	62,813
Project Eagle: Early Head Start	93.600	AWD10000015	07CH011678-03-00	12,067
FY 2024 Early Head Start	93.600	AWD10000310	07CH011678-04-00	84,174
Drug abuse and HIV-associated pulmonary vascular injury	93.838	AWD-0002100	5R01HL152832-03	10,310
RNA-binding protein HuR in liver pathophysiology and carcinogenesis	93.847	ZAZ00040	R01DK119131	68,162
Weight management for adults with mobility related disabilities	93.847	ZAD000F0		12,334
Functional training for overweight/obese adults with mobility-related disabilities	93.847	GR17489	5P20GM144269-02	19,468
The National Diabetes Prevention Program in Rural Communities	93.847	IAM00000114	1R01DK132362-01A1	31,268
K-INBRE Undergraduate Research Office (URO)	93.859	GR16950	5P20GM103418-22	3,638
K-INBRE Summer Scholars yr 9	93.859	GR16961	PGM103418F	825
K-INBRE DRPP: Cortical-striatal correlates of restricted and repetitive behaviors in autism spectrum disorder	93.859	GR16902		(30)
K-INBRE Undergraduate Research Office (URO)	93.859			34,053
K-INBRE Post Doctoral Award: Jessamyn Perlmutter	93.859	GR509089	5P20GM103418-23	37,209
K-INBRE DRPP:Genetics and developmental functions of natural telomere length variation	93.859	GR509069	5P20GM103418-23	111,851
K-INBRE DRPP:Genetics and developmental functions of natural telomere length variation	93.859	GR509069	5P20GM103418-23	8,258
The Kansas Institute for Precision Medicine: Biomedical Engineering Core	93.859	AWD-0001805_Soper_BME	5P2OGM130423	61,610
K-INBRE Bioinformatics Core Facility	93.859	GR509057	P20GM103418	153,477
K-INBRE Campus Coordinator 2023-2024	93.859	GR509158	P20GM103418	5,349
KINBRE Star Trainees yr 10	93.859		5P20GM103418-23	12,709
K-INBRE Summer Scholars yr 10	93.859	GR509399	5P20GM103418-23	69,840
The Kansas Institute for Precision Medicine	93.859	AWD-0001805 Soper Admin	5P20GM130423-05	105,574
The Kansas Institute for Precision Medicine	93.859	AWD-0001805_Lunte_Year5	5P20GM130423-05	3,771
K-INBRE DRPP Mentorship Award	93.859	GR509109	5P20GM103418-23	1,906
Teachers and Students for Community-Oriented Research and Education: Linking Industry Partners, Faculty, and Teachers (TSCORE LIFT)	93.859	AWD-0002371	5R25GM137272-03	26,655
COBRE CEO Core: Implementation Science and Equity	93.859	GR527575	1P20GM139733-01A1	6,043
COBRE ETHICS Core: Implementation Science and Equity	93.859	GR527571	1P20GM139733-01A1	5,571
Modeling Longitudinal Reading Comprehension in Adolescence:Protective and Risk Factors	93.865	AWD10000268	1R01HD108300-01A1	18,588
Prescribing Smart Aging: Integrating Health Systems with Community-Based Lifestyle Interventions	93.866	GR12141		260
Swerdlow Haplo Group J	93.866	GRI14019	1R01AG061194-01	15,836
KU ADRC Biomarker Core	93.866	AWD-0002190	1P30AG072973	187,109
University of Kansas Alzheimer's Disease Research Center (KU ADRC)	93.866	AWD-0002190	5P30AG072973-02	58,414
Guided Episodic Future Thinking to Increase Physical Activity Adherence and Promote Healthy Brain Aging Among Mid-Life Adults	93.866	AWD10000092	1R61AG078087-01	37,256
The Impact of Weight Loss on Alzheimers Disease Risk in Adults with Down Syndrome	93.866	AWD10000097	1R61AG078967-02	17,230
Guided Episodic Future Thinking to Increase Physical Activity Adherence and Promote Healthy Brain Aging Among Mid-Life Adults	93.866	AWD10000357	4R33AG078087-02	31,021
All of Us Research Program Heartland Consortium (AoURP-HC)	93.000	GR520339	1OT2OD036430-01	33,765
Passthrough- UNIVERSITY OF MARYLAND - BALTIMORE				
PTPRD phosphatase inhibitors for stimulant use disorders	93.279	20591-2158	DA056039-01	26,648

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Research and Development Cluster (Continued)				
Department of Health and Human Services (Continued)				
Passthrough- UNIVERSITY OF MINNESOTA				
A high-throughput screen for inhibitors of Plk1-interacting checkpoint helicase (PICH)	93.395	N009209201	1R21CA259718-01A1	46,386
Research Training Center on HCBS Outcome Measurement (RTC/OM)	93.433	A008179301	90RT5039-05-00	3,124
Control of Chromosome Segregation by DNA Topoisomerase II	93.859	N006994001	1R01GM130858-01	14,355
Control of Chromosome Segregation by DNA Topoisomerase II	93.859	P010971501		5,557
Passthrough- UNIVERSITY OF MISSOURI - COLUMBIA				
The Midwest Biomedical Accelerator Consortium (MBArC) - Screening Diagnostic for COVID-19 using Microfluidic Enrichment and Counting of SARS-CoV-2 Particles	93.286	C00072277-1	3U01HL152410-02S1	9,133
Midwest Biomedical Accelerator Consortium: MBArC - RADx COVID-19 Project	93.286	C00072277-2	U01HL152410	8,165
Improve cancer immunotherapy by targeting RNA-binding protein HuR	93.310	C00066571-6	U01HL152410	39,918
ImmunAdvisor: High-Throughput T Cell Receptor Discovery for Affordable Commercial Personalized Cancer Therapies	93.310	C00066571-5	U01HL152410	56,899
Midwest Biomedical Accelerator consortium: MBArC	93.310	C00066571-8	U01HL152410	1,412
Midwest Biomedical Accelerator Consortium: MBArC	93.310	C00066571-10	U01HL152410	109,052
3D force sensing insoles for wearable, AI empowered, high-fidelity gait monitoring (MBArC)	93.310	C00066571-15	U01HL152410	52,788
Passthrough- UNIVERSITY OF SOUTH CAROLINA				
Understanding Community Obesity Initiatives and Informing Tailored Community Interventions to Reduce Childhood Obesity	93.847	22-4653 PO#2000061555	1R01DK129307-01	123,984
Passthrough- UNIVERSITY OF TEXAS-AUSTIN				
Evaluating THRIVE – A Promising Sexual Health Intervention for Youth in Foster Care and Child Welfare Professionals	93.297	UTAUS-SUB00001132	1TP2AH000095	22,689
Passthrough- UNIVERSITY OF UTAH				
Novel therapeutic strategy for renal fibrosis by targeting RNA-binding protein HuR targeting	93.847	10052956-01	1R01DK123727-01	51,929
Passthrough- UNIVERSITY OF VERMONT				
University of Vermont Center on Tobacco Regulatory Science	93.077	32359SUB52491	U54DA036114	22,404
Passthrough- UNIVERSITY OF VIRGINIA				
Targeted Small Molecule Inhibitors for Inv(16) Leukemia	93.395	GB10639_PO_2091174	R01CA234478	50,229
Passthrough- UNIVERSITY OF WASHINGTON				
Functional Genomics for Chlamydia	93.855	UWSC14157	2R01AI126785-06A1	354,115
Optimizing Evidence-Based Practice Implementation for Clinical Impact: the IMPACT Center Project 3	93.865	UWSC14665	P50MH126219	28,620
Passthrough- UNIVERSITY OF WISCONSIN-MADISON				
RE-PACT: respiratory exacerbation plans for action and care transitions for children with severe cp	93.838	0000001324	1R34HL153570-01A1	17,623
Subtotal: Department of Health and Human Services- Passthrough				16,915,088
Total: Department of Health and Human Services				**48,820,323**
Total Research and Development Cluster				**126,323,672**
TRIO Cluster				
Department of Education				
Direct				
KU Student Support Services Science, Technology, Math, Engineering and Health Sciences (SSS STEM)	84.042	P042A201664		246,586
University of Kansas Student Support Services (KU SSS)	84.042	P042A211632		349,055
Subtotal for AL No. 84.042				595,641
University of Kansas Talent Search	84.044	P044A210069		480,452
The University of Kansas Veterans Upward Bound Program	84.047	P047V180027		73,928
University of Kansas Upward Bound (KU-UB)	84.047	P047A230738		268,618
University of Kansas Upward Bound Math and Science Program, Leavenworth and Turner (KU UBMS-LT)	84.047	P047M220068		249,591
University of Kansas Upward Bound Math-Science Center (KU-MSC)	84.047	P047M220154		296,727
University of Kansas Upward Bound Program	84.047	P047A180353		159,144

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
TRIO Cluster (Continued)				
Department of Education (Continued)				
University of Kansas Veterans Upward Bound (KU-VUB): 2023 - 2028	84.047	P047V230055		221,693
Subtotal for AL No. 84.047				1,269,701
University of Kansas EOC Leavenworth-Franklin County (KU-EOC-LV-FR)	84.066	P066A210117		283,615
University of Kansas Educational Opportunity Center (KU-EOC)	84.066	P066A210033		307,705
Subtotal for AL No. 84.066				591,320
KU TRIO Training Program for Absolute Priority 2 (KU TTP-2)	84.103	P103A220007		299,655
University of Kansas Ronald E. McNair Post-Baccalaureate Achievement Program (KU-MSP)	84.217	P217A220144		323,118
Subtotal: Department of Department of Education- Direct				3,559,887
Total: Department of Education				**3,559,887**
Total TRIO Cluster				**3,559,887**
Maternal Cluster				
Department of Health and Human Services				
Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT				
Maternal, Infant and Early Childhood Home Visiting DAISEY Date Management	93.870	KDHE TO 22082		321,703
Kansas MIECHV Readiness Assessment	93.870	KDHE TO 22068	X10MC43582 MIECHV	37,534
MIECHV Learning Management System 2022-2026 (TO 23024)	93.870	48567, TO 23024	MIECHV Grants	66,083
Kansas MIECHV Community Readiness Assessment (TO 23030)	93.870	TO 23030, contract 48567	X1046866 MIECHV	1,046
Kansas MIECHV Coordinated State Evaluation (TO 23031)	93.870	23031 PO104393	X1046866 MIECHV	176,993
Kansas MIECHV Program	93.870	23050		168,453
Passthrough- STATE OF NEBRASKA DEPARTMENT OF HEALTH & HUMAN SERVICES				
Home Visiting Data Collection and Management - Nebraska	93.870	88265-O4		203,825
Passthrough- UNIVERSITY OF ILLINOIS				
All Our Kids Network University of Illinois IRIS Proposal (Year 6)	93.870	113928-19655		48,558
Passthrough- WISCONSIN DEPARTMENT OF CHILDREN & FAMILIES				
Wisconsin Family Foundations Home Visiting Shared Measurements System	93.870	437003-C20-0001518-R03-01	Maternal, Infant and Early Childhood Home Visiting Grant Program	170,057
FY24: Wisconsin Family Foundations Home Visiting Shared Measurements System	93.870	437003-C20-0001518-R04-01	MIECHV Funds	97,610
Subtotal: Department of Health and Human Services- Passthrough				1,291,862
Total: Department of Health and Human Services				**1,291,862**
Total Maternal Cluster				**1,291,862**
Other Programs				
Department of Agriculture				
Passthrough- UNIVERSITY OF KANSAS MEDICAL CENTER RESEARCH INSTITUTE				
Kansas-Missouri Nutrition Incentive Collaborative	10.331	GR16154	Food Insecurity Nutrition Incentive Program	6,452
Subtotal: Department of Agriculture- Passthrough				6,452
Total: Department of Agriculture				**6,452**
Department of Defense				
Direct				
Army Educational Outreach Program (UNITE)	12.630	none		27,619
Army Educational Outreach Program (UNITE)	12.630			587
Subtotal for AL No. 12.630				28,206
KU STARTALK Arabic Academy	12.900	H98230-22-1-0069		107,081
2021 GenCyber - University of Kansas	12.901	H98230-21-1-0085		4
GenCyber Summer Camp at the University of Kansas -- Inspiring the Next Generation of Cyber Defenders	12.903	H98230-22-1-0211		132,612

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Defense (Continued)				
GenCyber Summer Camp at the University of Kansas - Inspiring the Next Generation of Cyber Stars	12.903	H98230-23-1-0158		11,174
Subtotal for AL No. 12.903				143,786
Subtotal: Department of Defense- Direct				279,077
Passthrough- GRIFFISS INSTITUTE				
Fortifying the Cyber and Electromagnetic Frontlines: Establishing a Virtual VICEROY Institute in Midwest	12.000	A100120230470716	PIA no. FA8750-19-3-1000 and CPO no. FA8750-19-3-1001	484,258
Passthrough- INSTITUTE OF INTERNATIONAL EDUCATION				
Master Agreement - KU Project GO Center: Attaining Intercultural Understanding through Critical Language Learning for 21st Century Officers	12.357	PGO1801-KU-10	H98210-18-2-002	488,495
Cost Reimbursement Umbrella Agreement for Prime Award Number H98210-18-2-0002	12.357	PGO1801-KU-10	H98210-18-2-0002	1,771
Cost Reimbursement Umbrella Agreement for Prime Award Number H98210-23-C-0010	12.357	PGO2301-KU-10	H98210-23-C-0010	561,576
2024-2025: Project Global Officer-Language Training Center Program	12.357	PGO2301-KU-10-LTC-PO3	H98210-23-C-0010	3,661
Passthrough- KANSAS STATE UNIVERSITY				
Learning, Exploration, and Application for Prospective Engineering Students (LEAPES)	12.006	A22-0220-S001	HQ00342110017	301,132
Subtotal: Department of Defense- Passthrough				1,840,893
Total: Department of Defense				**2,119,970**
Department of Justice				
Direct				
U.S.P. LEAVENWORTH LEGAL ASSISTANCE PROGRAM	16.000	15B40819D00000033		27,695
Subtotal: Department of Justice- Direct				27,695
Total: Department of Justice				**27,695**
Department of State				
Direct				
FY 2016 Study of the U.S. Institute for Student Leaders on Women's Leadership	19.009	S-ECAGD-16-CA-1075		(890)
Study of the U.S. Institutes for Young Women Leaders: Elevating Womens Global Leadership	19.009	SECAGD22CA0022		1,188,977
Subtotal for AL No. 19.009				1,188,087
Subtotal: Department of State- Direct				1,188,087
Passthrough- INSTITUTE OF INTERNATIONAL EDUCATION				
2023 Eight-Week Hubert H. Humphrey Fellowship Pre-Academic Training Program	19.010	3000294287	S-ECAGD-23-CA-0009	262,286
2024 Eight-Week Hubert H. Humphrey Fellowship Pre-Academic Training Program	19.010	3000333929	S-ECAGD-24-CA-0003	113,370
Hosting Agreement: Six-week English language certificate program for high school English teachers ("Participants") from Brazil	19.408	FBC2001000	Fulbright	551
Subtotal: Department of State- Passthrough				376,207
Total: Department of State				**1,564,294**
Department of Transportation				
Passthrough- KANSAS DEPARTMENT OF TRANSPORTATION				
2023 Local Technical Assistance Program (LTAP)	20.215	RE-1255-23		354,396
2024 Local Technical Assistance Program LTAP	20.215	RE-1255-24		249,660
KDOT Transportation Safety Conference 2023 - 2027	20.600	SA-0943	69A37522300004020KSO	72,197
Impaired Driving Deterence Project (IDDP): University of Kansas	20.600	AL-9085-23	69A3752030000405DKSL	6,500
Data Access and Support Center (DASC) GIS Mapping Integration	20.616	TR-2114-22	69A3752030000405CKS0	72,915
Data Access and Support Center (DASC) GIS Mapping Integration - FY2024	20.616	TR-2114-24	69A3752230000405CKS0	125,935
Passthrough- KANSAS DIVISION OF EMERGENCY MANAGEMENT				
Hazardous Materials Training to fire and emergency services personnel in the State of Kansas delivered through Kansas Fire & Rescue Training Institute 2022-2023	20.703	NONE	693JK32240057HMEP	13,368

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Transportation (Continued)				
Passthrough- KANSAS STATE UNIVERSITY SPA				
Traffic Assistance Services for Kansas (TASK) Program (FY 2022-2023)	20.215	A21-0571-S001		373
Traffic Assistance Services for Kansas (TASK) Program FY24-26	20.215	A24-0455-S001	Highway Training and Education DOT	23,660
Subtotal: Department of Transportation- Passthrough				919,004
Total: Department of Transportation				**919,004**
Department of the Treasury				
Direct				
VITA Grant Project	21.009	22VITA0218		105
VITA Grant Project	21.009	23VITA0274		(8,622)
VITA Grant Project	21.009	24VITA0077		38,237
Subtotal for AL No. 21.009				29,720
Subtotal: Department of the Treasury- Direct				29,720
Passthrough- ENTERPRISEKC				
EnterpriseKC Cybersecurity Center of Excellence Cybersecurity Assessments (Project 1) and Cybersecurity Talent Exchange (Project 2)	21.027	SRA27014		783,352
Passthrough- KANSAS CHILDREN'S CABINET AND TRUST FUND				
CPF Multi-Purpose Facility	21.029		3761 3504 Z01059	295,921
SPARK-Accelerator	21.027	none		178,179
Passthrough- KANSAS DEPARTMENT FOR AGING AND DISABILITY SERVICE				
Employment First	21.027	54172	ARPA	433,791
Passthrough- OFFICE OF THE GOVERNOR OF KANSAS				
Kansas Fiscal Transparency Project (KFTP): Tracking the Impact of Government Funding in Kansas.	21.027	None	American Rescue Plan Act – State Fiscal Recovery Funds	97,137
Subtotal: Department of the Treasury- Passthrough				1,788,380
Total: Department of the Treasury				**1,818,100**
Federal Communications Commission				
Direct				
Kansas Deaf Blind Equipment Distribution--Assistive Technology for Kansans	32.000	DA 16-729		(3,573)
Kansas Deaf Blind Equipment Distribution--Assistive Technology for Kansans	32.000	DA 22-549		33,015
Kansas Deaf Blind Equipment Distribution--Assistive Technology for Kansans	32.000	DA23-352		148,106
Subtotal for AL No. 32.000				177,548
Subtotal: Federal Communications Commission- Direct				177,548
Total: Federal Communications Commission				**177,548**
Institute of Museum and Library Services				
Direct				
To support research and planning for the exhibition Bold Women: Changing the World and Art	45.024	1865585-44-21		4,785
To support a workshop production of Never Quite by composer Susan Kander and librettist Roberta Gumbel	45.024	1894383-36-22		129
To support research and preliminary work for the 2025 exhibition STREET NIHONGA: The Art of jimmy Tsutomu Mirikitani and accompanying publication	45.024	1906367-44-23		19,963
KU Powwow & Indigenous Cultures Festival (ICF)	45.024	1910811-54-23		50,603
Subtotal for AL No. 45.024				75,480
To support infrastructure improvements to the Spencer Museum of Art's collection storage, freight elevator, and galleries.	45.130	CHA-261952-19		38,542
Improving energy efficiency in collection storage in Spencer Research Library, University of Kansas	45.149	PF-271970-20		13,115
Revisioning the Spencer Museum of Art's Collection Galleries	45.164	GI27833821		105,554
Building Literacy and Curating (Critical Cultural) Knowledge in Black Humanities: BLACK DH	45.169	HAA28103021		115,397

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Institute of Museum and Library Services (Continued)				
Strengthening Digital Platforms for Teacher, Learning, and Exploration	45.301	MA-249559-OMS-21		52,245
Database and Application Development for Access, Education, and Research	45.301	MA251667OMS22		72,382
Subtotal for AL No. 45.301				124,627
Subtotal: Institute of Museum and Library Services- Direct				472,715
Passthrough- CITY OF LAWRENCE				
KU Indigenous Cultures Festival Artists	45.024	none	ARPA Funds	(1,213)
University Press of Kansas NEA ARP Subgrant	45.024	none	ARPA Subaward	8,494
Passthrough- HUMANITIES KANSAS				
Emmett Till and Mamie Till-Mobley: Let the World See	45.129	224602SP	SSUJB3GSH8A5	15,000
Passthrough- KANSAS DEPARTMENT OF COMMERCE & HOUSING				
NORTH & the Underground Railroad	45.025	NFY22-004	1903767-61-22	3,990
Here-ing	45.025	none		6,317
Passthrough- MID-AMERICA ARTS ALLIANCE				
Modern Warriors Live - Engagements and Performance at the University of Kansas	45.024	FY2023-00113586		1,420
Passthrough- NATIONAL ENDOWMENT FOR HUMANITIES				
The Public Digital Humanities: An Institute for Academic/Community Collaborations	45.169	HT-281161-21		611
Passthrough- WEST VIRGINIA UNIVERSITY				
The American Congress Digital Archives Portal Project	45.129	23-003-UKCRI	PW-290502-23	15,554
Subtotal: Institute of Museum and Library Services- Passthrough				50,173
Total: Institute of Museum and Library Services				**522,888**
Director of National Intelligence				
Direct				
Kansas Coalition Intelligence Community Centers for Academic Excellence (KC-IC CAE)	54.000	2022-22082500003		309,100
Collaborative Cybersecurity Research Initiative: Fostering Innovation and Empowering Students in the IC CAE Kansas Consortium	54.000	2022-22082500003		29,380
Subtotal for AL No. 54.000				338,480
Subtotal: Director of National Intelligence- Direct				338,480
Total: Director of National Intelligence				**338,480**
Small Business Administration				
Passthrough- FORT HAYS STATE UNIVERSITY				
University of Kansas Small Business Development Center	59.037	SBA 12-16		1,830
University of Kansas Small Business Development Center: 2023	59.037		Small Business Development Center Grant	61,790
University of Kansas Small Business Development Center - 2024	59.037		Small Business Development Center Grant	56,159
Subtotal: Small Business Administration- Passthrough				119,779
Total: Small Business Administration				**119,779**
Environmental Protection Agency				
Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT				
Expansion of UIC submittals to KOLAR website	66.608	23029		41,751
Subtotal: Environmental Protection Agency- Passthrough				41,751
Total: Environmental Protection Agency				**41,751**
Direct				
Solar Decathlon 2023 Build Challenge	81.041	None		7,946
Subtotal: Department of Energy- Direct				7,946
Total: Department of Energy				**7,946**

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education				
Direct				
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015B180104-19		50,183
Support: Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.015	P015B180021		9,255
NRC: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015A180095		71,946
Connecting Communities: Increasing Competencies in Less Commonly Taught Languages and Expanding Access to Latin American and Caribbean Studies	84.015	P015A180021		41,310
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	P015A180104		35,126
FLAS: Building Global Competencies in the 21st Century: University of Kansas Center for East Asian Studies	84.015	P015B1800950 - 20		31,826
Fostering Global Competency and Engagement in the Heartland: The University of Kansas Center for Russian, East European and Eurasian Studies	84.015	P015A200004		17,681
FLAS: Global Asia	84.015	P015B220120		270,178
NRC: Global Asia	84.015	P015A220124		184,074
FLAS: Supporting Sustainable Connections: The Kansas African Studies Center	84.015	P015B220148		226,840
NRC: Supporting Sustainable Connections: The Kansas African Studies Center	84.015	P015A220149		185,694
FLAS: Rethinking Russian, East European, and Eurasian Studies in the Heartland for a Global and Digital Age	84.015	P015B220119		222,787
NRC: Rethinking Russian, East European, and Eurasian Studies in the Heartland for a Global and Digital Age	84.015	P015A220123		210,394
NRC: Center for Latin American and Caribbean Studies: Strengthening Communities	84.015	P015A220136		206,509
(FLAS) Center for Latin American and Caribbean Studies: Strengthening Communities	84.015	P015B220130		290,069
Subtotal for AL No. 84.015				2,053,872
Fulbright Hays Doctoral Dissertation Research Abroad	84.022	P022A220040		27,757
Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program	84.022	P022A230047		44,024
Subtotal for AL No. 84.022				71,781
Heartland College Assistance Migrant Program (HCAMP)	84.149	S149A220010		484,942
University of Kansas Open Language Resource Center	84.229	P229A1808008		9,180
Post-Doctoral Research Training Program in Special Education: Evidence-Base	84.324	R324B180004		37,557
Enhancing Engagement: Investigating Adaptations to Commonly Used Interventions for Elementary Students with Challenging Behavior	84.324	R324B210007		190,564
Postdoctoral Research Training in Special Education and Early Intervention	84.324	R324B200021		95,830
Subtotal for AL No. 84.324				323,951
KU LEAP: Preparing Leaders to Create Ambitious Educational Programs for Students with Severe Disabilities: Beyond De Minimis	84.325	H325D180015 - 19		255,284
Preparing Leaders to Advocate for Inclusion in Early Childhood Education (KU-PLAI-ECE)	84.325	H325D180080		175,993
Project INSTRUCT (Inclusive INterdisciplinary Supports and Training for positive, Rigorous EdUcation and Communication OuTcomes)	84.325	H325K200046		365,332
Project for Interprofessional Preparation-Early Childhood Intervention (PIP-ECI)	84.325	H32K200061		203,449
KU Para to Teacher Project: Pathway to Low Incidence Teacher Endorsement	84.325	H325K230013		24,843
Project MounTaiN: Meeting The Need to Prepare Early Interventionists and Special Educators in Data-Based Instruction for Young Children with High Intensity Support Needs	84.325	H325K230087		31,112
Subtotal for AL No. 84.325				1,056,013
The University of Kansas KCKPS Gear Up Program	84.334	P334A170025		2,655,810
The University of Kansas CCAMPIS Program (KU-CCAMPIS)	84.335	P335A220008		396,065

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education (Continued)				
PEAK: Partners in Education Across Kansas	84.351	S351A210022		252,955
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	T365Z170233		34,972
Project SEMILLA (Supporting Educators, Math Instructors, and Language Learners for Advancement)	84.365	T365Z210171		497,076
Promoting English Learners Academic Achievement and Cultivating Educational Equity through Professional Development	84.365	T365Z220111 Act 1		406,765
Subtotal for AL No. 84.365				938,813
Subtotal: Department of Education- Direct				8,243,382
Passthrough- AMERICAN INSTITUTES FOR RESEARCH				
Evaluation of Transition Supports for Youth with Disabilities	84.000	0489800005	91990019C0078	257,829
Passthrough- ARIZONA STATE UNIVERSITY				
Preparing Productive Special Education Scholars to Lead in Evidence-based Practices in Comprehensive, Integrated, Three-tiered (CI3T) Models of Prevention (Project EPIC)	84.325	ASUB00001234	H325D220011	139,290
Passthrough- GREENBUSH SOUTHEAST KANSAS EDUCATION SERVICE				
KSDE Summer Enrichment Program Sunflower Summer 2023	84.425	27704		110,383
Passthrough- HELEN KELLER SERVICES FOR THE BLIND INC				
National Center for Deaf-Blindness (NCDB) Subaward FY24	84.326	SRA28584	H326T230030	45,325
Passthrough- IDAHO STATE DEPARTMENT OF EDUCATION				
Instructional Supports Project	84.027	21-5038		7,739
Passthrough- KANSAS DEPARTMENT OF HEALTH & ENVIRONMT				
Kansas Inservice Training System (KITS)	84.181	TO21047	H181A200032	
Kansas Inservice Training System (KITS)-Infant and Toddler Expansion	84.181	22080		312,092
tiny-k Infant Toddler Assistive Technology Services	84.181	22079	H101A200032	28,228
Infant Toddler Assistive Technology Services	84.181	T.O. 23063, contract 48567	H181A200032	18,976
Assistive Technology Early Childhood Workshops	84.181	TO 26061, contract # 48567	H181A200032	75,000
KITS Summer Institute	84.181	TO 23068, contract 48567 UKCR	Special Education-Grants for Infants and Families	65,344
Kansas Inservice Training System (KITS)-Infant and Toddler Expansion Part C	84.181	24015	H181A200032	248,806
Passthrough- KANSAS STATE UNIVERSITY				
RESPETAME: Reimagining Educational Systems by Practicing Equity and Translanguaging and Accessing Multiliterate Experiences	84.365	A23-0230-S001	T365Z220089	26,058
Evaluation of KSU Project RAICES	84.423	A24-0151-S002	S423A230060	2,105
Passthrough- MISSOURI DEPARTMENT - ELEMENTARY/SECONDARY ED				
FY2023: Social-Emotional Learning for All	84.027	none	Special Education Grants to States	18,023
Missouri Post-Secondary Success Project/ Social-Emotional Learning for All	84.027	none	Special Education Grants to States	277,198
Pathways for Instructionally Embedded Assessment (PIE) project	84.368			557,625
Pathways for Instructionally Embedded Assessment (PIE) project	84.368			220,784
Passthrough- NEWMAN UNIVERSITY				
Navigating the University Experience	84.031	27177	P031A220143	14,241
Passthrough- STANFORD UNIVERSITY				
Leadership in Research and Teacher Preparation for System-wide Inclusive Education	84.325	62307368-154936	H325D190042	288,082
Passthrough- UNIVERSITY OF NORTH CAROLINA CHARLOTTE				
National Technical Assistance Center on Transition for Students and Youth with Disabilities	84.326	20210128-05-UKS	H326E200003	247,306
National Technical Assistance Center on Transition for Students and Youth with Disabilities	84.326	20210128-06-UKS	H326E200003-22	19,588
National Technical Assistance Center on Transition for Students and Youth with Disabilities	84.326	20210128-07-UKS	H326E200003-22	11,406

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2024

Federal Grantor/Program Title	Assistance Listing Number	Identifying Number	Pass-through Entity Identifying Number	Federal Expenditures
Other Programs (Continued)				
Department of Education (Continued)				
Passthrough- UNIVERSITY OF OREGON				
Technical Assistance Center on Positive Behavioral Intervention and Supports V	84.326	282070J	H326S180001	62,524
Passthrough- UNIVERSITY OF TEXAS-AUSTIN				
Preparing Early Childhood Special Education Leaders for Diverse Settings (Project EARLY)	84.325	UTAUS-SUB00001276	H325D230073	76,767
Passthrough- USD 497, LAWRENCE				
USD 497 Portrait of a Graduate	84.048	SRA28588		7,389
Safe and Supportive Schools	84.424	SRA28863	S244F220017	11,113
Passthrough- USD 500, KANSAS CITY				
Status Update Review for the Special Education Department at Kansas City USD 500	84.425	28651	S425U210002	47,523
Passthrough- WICHITA STATE UNIVERSITY				
WSU WEST WICHITA GEAR UP	84.334	22-00359	P334A170139	40,652
WSU Southeast Wichita GEAR UP Project Evaluation	84.334	23-00387 SEWGU		12,845
WSU Southeast Wichita GEAR UP Project Evaluation	84.334	23-00387		26,898
Subtotal: Department of Education- Passthrough				3,277,139
Total: Department of Education				**11,520,521**
Corporation for National and Community Service				
Passthrough- ARIZONA STATE UNIVERSITY				
Enhancing the Public Health Response to Domestic Violence in the Context of COVID-19	94.006	ASUB00001163	22NDDAZ001	24,221
Subtotal: Corporation for National and Community Service- Passthrough				24,221
Total: Corporation for National and Community Service				**24,221**
Department of Homeland Security				
Direct				
State Fire Training Systems Grant FY23	97.043	EMW-2022-GR-00174-S01		691
State Fire Training Systems Grant FY23	97.043	EMW-2023-GR-05033		20,290
Subtotal for AL No. 97.043				20,981
AFG Assistance to Firefighters	97.044	EMW-2022-FG-07966		69,016
Subtotal: Department of Homeland Security- Direct				89,997
Passthrough- KANSAS DEPARTMENT OF AGRICULTURE				
Kansas Base Flood Elevation Portal	97.045	none	not specified	33,529
Subtotal: Department of Homeland Security- Passthrough				33,529
Total: Department of Homeland Security				**123,526**
Total Other Programs				**19,332,175**
TOTAL EXPENDITURES OF FEDERAL AWARDS				**150,507,596**

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Program	Assistance Listing Number	Amount Provided
Research & Development Cluster	Various	$ 16,440,319
Study of the U.S. Institutes for Young Women Leaders: Elevating Womens Global Leadership	19.009	605,416
Employment First	21.027	225,772
Building Literacy and Curating (Critical Cultural) Knowledge in Black Humanities: BLACK DH	45.169	20,709
Collaborative Cybersecurity Research Initiative: Fostering Innovation and Empowering Students in the IC CAE Kan	54.000	20,000
Kansas Coalition Intelligence Community Centers for Academic Excellence (KC-IC CAE)	54.000	56,943
Infant Toddler Assistive Technology Services	84.181	2,000
Tiny-k Infant Toddler Assistive Technology Services	84.181	20,000
The University of Kansas CCAMPIS Program (KU-CCAMPIS)	84.335	187,983
Kansas State Plan for Assistive Technology	93.464	77,395
Kansas State Plan for Assistive Technology 2021-2023	93.464	79,419
Kansas Invests in Families (KInvest)	93.556	162,516
Universal Prevention for Strong and Thriving Families (Family Strong)	93.648	394,637
Kansas Strong for Children and Families (Kansas Strong)	93.652	62,503
Kansas Bravely Raising & Activating Voices for Equity	93.670	105,671
Assistive Technology for Kansans	93.778	18,360
Medicaid Equipment Exchange	93.778	153,408
Fortifying the Cyber and Electromagnetic Frontlines: Establishing a Virtual VICEROY Institute in Midwest	12.000	364,815
NRT-HDR: The Internet of Catalysis - Harnessing Data Science for Catalyst Design	47.076	38,980
Cultivating Global Citizenship in the Heartland: The Kansas African Studies Center	84.015	6,912
Heartland College Assistance Migrant Program (HCAMP)	84.149	189,252
Project SEMILLA (Supporting Educators, Math Instructors, and Language Learners for Advancement)	84.365	39,905
Supporting Technology, Educators, and Parents for Upward Progress (STEP-UP)	84.365	727
Kansas Self-Determined Transition Taskforce: Moving Forward To Enhance Transition Outcomes	93.632	18,474
Kansas University Center on Developmental Disabilities: 2022-2027	93.632	51,351
KU Post Baccalaureate Research Education Program (PREP)	93.859	16,574
		$ 19,360,041

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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, 2024. 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, 2024.

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND ASSISTANCE LISTING NUMBER

Department	AL Number		Amount
U.S. Department of Agriculture	10.000	$	7,019
	10.001		115,324
	10.025		5,584
	10.250		30,206
	10.310		755,661
	10.331		6,452
	10.699		7,631
	10.902		90,205
			1,018,082

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	AL Number	Amount
U.S. Department of Commerce	11.035	25,722
	11.303	68,537
	11.417	51,689
	11.431	2,778
	11.432	76,224
	11.609	76,783
		301,733
U.S. Department of Defense	12.000	6,820,630
	12.006	301,132
	12.300	202,938
	12.357	1,055,503
	12.420	1,435,740
	12.431	341,093
	12.630	183,224
	12.800	1,315,041
	12.900	107,081
	12.901	4
	12.903	143,786
	12.905	11,930
	12.910	117,922
		12,036,024
U.S. Department of Education	84.000	426,913
	84.015	2,053,872
	84.022	73,160
	84.027	302,960
	84.031	14,241
	84.042	595,641
	84.044	480,452
	84.047	1,269,701
	84.048	7,389
	84.066	591,320
	84.103	299,655
	84.116	5,049,881
	84.149	484,942
	84.181	748,446
	84.217	323,118

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	AL Number	Amount
U.S. Department of Education (Continued)	84.229	$ 9,180
	84.305	590,459
	84.323	244,657
	84.324	6,297,850
	84.325	1,581,194
	84.326	2,536,488
	84.327	2,604,451
	84.334	2,937,356
	84.335	396,065
	84.351	252,955
	84.356	466,695
	84.365	964,871
	84.368	784,790
	84.371	225,260
	84.411	3,215,504
	84.423	2,105
	84.424	11,113
	84.425	418,467
		36,261,151
U.S. Department of Energy	81.000	1,947,969
	81.041	7,946
	81.049	2,125,132
	81.086	112,102
	81.087	156,675
	81.089	1,533,526
	81.135	44,309
		5,927,659
U.S. Department of Health and Human Services	93.000	815,166
	93.012	24,208
	93.048	42,320
	93.063	39,151
	93.077	22,404
	93.086	136,607
	93.088	43,626
	93.103	142,116
	93.110	1,229,862
	93.113	102,655
	93.121	571,895

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	ALN Number	Amount
U.S. Department of Health and Human Services (Continued)	93.129	$ 14,493
	93.135	63,355
	93.136	1,212,747
	93.172	1
	93.173	1,465,656
	93.217	77,900
	93.224	5
	93.226	40,354
	93.242	1,401,884
	93.243	479,507
	93.273	606,150
	93.275	69,693
	93.279	630,422
	93.283	4,739
	93.286	1,657,446
	93.297	22,689
	93.310	307,630
	93.350	360,601
	93.351	388,565
	93.361	30,851
	93.391	11,866
	93.393	70,151
	93.394	1,079,452
	93.395	454,552
	93.397	164,433
	93.433	603,044
	93.434	3,099,186
	93.464	486,323
	93.527	32,666
	93.556	529,617
	93.558	834,948
	93.575	1,495,279
	93.590	382,746
	93.600	110,926
	93.630	25,477
	93.631	679,319
	93.632	783,386
	93.648	844,193
	93.652	1,467,734
	93.654	122,107
	93.658	803,545
	93.670	346,522
	93.696	170,877

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	AL Number	Amount
U.S. Department of Health and Human Services (Continued)	93.732	$ 506,259
	93.762	380
	93.778	461,964
	93.788	24,343
	93.829	(1,953)
	93.837	(207)
	93.838	86,700
	93.846	2,403
	93.847	760,431
	93.853	1,391,517
	93.855	1,212,806
	93.859	9,196,774
	93.865	2,470,996
	93.866	5,214,546
	93.867	101,268
	93.870	1,291,862
	93.877	210,715
	93.991	128
	93.994	578,206
		50,112,185
U.S. Department of Justice	16.000	27,695
	16.710	6,778
	16.753	465,179
		499,652
U.S. Department of Transportation	20.000	96,140
	20.106	51,159
	20.109	561,276
	20.200	172,873
	20.205	122,132
	20.215	628,089
	20.509	12,653
	20.600	78,697
	20.616	198,850
	20.701	595,224
	20.703	13,368
		2,530,461

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	AL Number	Amount
U.S. Department of the Interior	15.000	$ 22,284
	15.073	292,108
	15.224	274
	15.514	17,776
	15.557	48,972
	15.611	169,813
	15.805	78,341
	15.810	701,674
	15.814	198,465
	15.815	6,702
	15.904	514
	15.980	2,946
		1,539,869
U.S. Department of the Treasury	21.009	29,720
	21.027	2,540,041
	21.029	295,921
		2,865,682
Institute of Museum and Library Services	45.024	107,666
	45.025	10,307
	45.129	30,554
	45.130	984,667
	45.149	96,782
	45.164	105,554
	45.169	116,008
	45.301	124,627
		1,576,165
National Aeronautics and Space Administration	43.000	450,313
	43.001	1,174,398
	43.008	437,573
	43.012	73,304
		2,135,588

(Continued)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

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

Department	AL Number		Amount
National Science Foundation	47.000	$	497,242
	47.041		2,210,107
	47.049		3,779,241
	47.050		2,539,179
	47.070		1,321,477
	47.074		5,958,048
	47.075		1,261,412
	47.076		2,390,635
	47.078		895,108
	47.083		8,804,248
	47.084		1,629,304
			31,286,001
Corporation for National and Community Service	94.006		24,221
Department of State	19.009		1,212,610
	19.010		375,656
	19.408		551
			1,588,817
Environmental Protection Agency	66.306		3,222
	66.608		41,751
			44,973
Office of the Director of National Intelligence	54.000		338,480
Small Business Administration	59.037		119,779
U.S. Department of Homeland Security	97.043		20,981
	97.044		69,016
	97.045		33,529
			123,526
Federal Communications Commission	32.000		177,548
TOTAL		$	**150,507,596**

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

Crowe

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, 2024, 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 26, 2024.

Report on Internal Control Over Financial Reporting

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

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

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

(Continued)

Report on Compliance and Other Matters

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

Purpose of this Report

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

Crowe LLP

Crowe LLP

Indianapolis, Indiana
September 26, 2024

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

Crowe

Crowe LLP
Independent Member Crowe Global

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

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

Report on Compliance for Major Federal Program

Opinion on Major Federal Program

We have audited 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 identified as subject to audit in the OMB Compliance Supplement that could have a direct and material effect on the Center's major federal program for the year ended June 30, 2024. The Center's major federal program is identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

In our opinion, the Center complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on its major federal program for the year ended June 30, 2024.

Basis for Opinion on Major Federal Program

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

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

Responsibilities of Management for Compliance

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

(Continued)

Auditor's Responsibilities for the Audit of Compliance

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

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

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

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

Report on Internal Control Over Compliance

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

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

(Continued)

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

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

Crowe LLP

Crowe LLP

Indianapolis, Indiana
September 26, 2024

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEULE OF FINDINGS AND QUESTIONED COSTS
Year ended June 30, 2024

SECTION 1 – SUMMARY OF AUDITOR'S RESULTS

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:

AL Number(s)	Name of Federal Program or Cluster
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? __X__ Yes _____ No

SECTION 2 – FINANCIAL STATEMENT FINDINGS

None

SECTION 3 – FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

University of Kansas Office of Research

Board of Directors

Start Date	End date	Rank	Last Name	First Name	Title	Affiliation
August 4, 2024		trustee / officer	Hooks	Shelley	Vice Chancellor for Research/ KUCR President and Vice Chair	KU Center for Research, President
Feb. 24, 2020		trustee	Bichelmeyer	Barbara	Provost & Executive Vice Chancellor	KU - Provost's Office
Jul. 1, 2017		trustee/ officer	Girod	Doug	Chancellor/Chair of the Board	KU - Chancellor's Office
Mar. 16, 2014		officer (Sec/Tres)	Cregg	Gina	Executive Director, Fiscal Affairs	KU Center for Research, CFO
Mar.14, 2021		trustee	DeWitt	Jeffrey	CFO/Secretary-Treasurer of the Board	KU - Chancellor's Office
Jan. 5, 2021		trustee	Hornberger	Jason	VP of Finance	KU - Provost's Office

According to bylaws:

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

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

JARED BARTON, PHD, MSW
Director, Center for Public Partnerships and Research
Director, Results Oriented Management (ROM)
University of Kansas

SUMMARY

Visionary leader with 20+ years progressive leadership experience directing teams and combating complex social problems. Legitimacy- and competency-based leader capable of inspiring team members to innovate and transform systems advancing child, family, and community well-being. Extensive experience fostering novel ideas from their conceptual origins to large scale. Committed to identifying people and pathways to continuously improve workflows and grow impact. Valuing meaningful and collaborative relationships building with key internal and external partners resulting in the successful procurement of 41 externally funded projects as Principal or Co-Principal Investigator totaling approximately $16 million.

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

Director, Center for Public Partnerships and Research, Achievement and Assessment Institute, University of Kansas, February 2025 – Present

- Oversee large university research and service center and direct mission, vision, and execution of more than 50 sponsored projects totaling more than $14 million annually and nearly 90 full-time staff.

Assistant Director of Applied Research/Research Project Director, Center for Public Partnerships and Research, Achievement and Assessment Institute, University of Kansas, December 2023 – January 2025

- Develop and implement a functional vision for CPPR's Applied Research Team.
- Effectively led challenging staffing and leadership transitions to restore trust, collaboration, and role clarity of Applied Research within and across function teams.
- Lead team comprised of 18 researchers supporting federal, state, and local child and family well-being initiatives.
- Define and develop metrics of success for ART functional areas and roles. Monitor progress through establishing advisory team of senior researchers.
- Advise executive director, associate directors, and fellow assistant directors across organization's multi-functional areas on issues related to applied research, technical implementation, and systems transformation initiatives.
- Serve as Principal Investigator on more than a dozen sponsored research projects funded through

federal and state sources and private and philanthropic organizations.

- Foster and sustain relationships with external partners in key executive roles (e.g., executive directors, organizational presidents and vice-presidents, and other senior leaders).
- Oversee development and implementation of Kansas Early Childhood Integrated Data System (ECIDS) bringing together datasets across five Kansas state agencies and partners serving children and families across a mixed delivery system.
- Director development and implementation of ROM Reports providing longitudinal reporting and analytics to 10 state child welfare departments.
- Orchestrated a transition of ROM Reports to KU-CPPR's Technology to Practice team to integrate existing technology applications across KU to streamline data and analytics tools for state agencies and child and family well-being initiatives.

Assistant Research Professor, School of Social Welfare, University of Kansas, February 2020 – December 2023

- Conceptualized and designed research programs to improve systems for child and family wellbeing.
- Expanded community, state, and national partnerships to grow KUSSW's research programs and partnerships.
- Acquired new sponsored research partnerships accounting for approximately half of KUSSW's external funding during my tenure, including federal partnerships with Children's Bureau and Office of Family Assistance and state foundations with the Children's Trust Fund in Missouri.
- Directed and oversaw the implementation of Results Oriented Management (ROM) Reporting project as Principal Investigator in the School of Social Welfare.
- Oversaw functional and business relationships with leaders, data analysts, and program administrators in 12 state and local child welfare agencies.
- Served as PI or Co-I on 15 sponsored research projects.
- Supervised a team of 5 researchers and systems analysts responsible for delivery of projects.

Co-Director, Center for Research to Transform Systems, University of Kansas, November 2022 – December 2023

- Stood up a new research center under the School of Social Welfare.
- Co-developed vision, mission, and activities of a new research center within the School of Social Welfare collaboratively with two other faculty and Associate Dean of Research.
- Directed dissemination and growth opportunities for a center of 15 research staff and 4 additional faculty affiliates.
- Fostered a culture focused on systems impact and project integration rather to advance center mission over project-specific deliverables.
- Leveraged key intersections of project impact to mobilize external partners around grander vision promoting holistic child and family well-being over individually focused child welfare.

Assistant Director of Data Science/Research Project Director, Center for Public Partnerships and Research, Achievement and Assessment Institute, University of Kansas, December 2010 – February 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.
- Grow a technical and implementation team of more than a dozen staff to support scaling of

DAISEY expansion across 4 states and 10+ project initiatives.

- Interfaced with partner organizations to plan specs and develop data collection plans and business intelligence reports using Tableau Professional and Tableau Server.
- Advise a directors' team comprised of 11 cross-functional and systems leaders on integration of data science, technological development, and technical implementation.

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

- Led data analysis and evaluation of a community-based not-for-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/Published Conference Proceedings

1. [redacted] Naemi Jimenez, P., Byers, K., Carr, K., & Akin, B. (2025). Initial implementation of a community-based fatherhood program: Perspectives from the field. *Child Welfare, 102*(5), 243-273.

2. Kiani, S., [redacted] J., Sushinsky, J., & Heimbach, L., Luo, B. (2023). Counterfactual prediction under selective confounding. In K. Gal, A. Nowe, J. Nalepa, R. Faristein, & R. Radulescu (eds.) *ECAI 2023 Volume 372* (pp. 1256-1263). IOS Press. https://doi:10.3233/FAIA230403

3. Byers, K., [redacted] Grube, W., Wesley, J., Akin, B., Hermesch, E., Felzke, E., Roosevelt, R. (2023). "I ran to make a point": Predicting and preventing youth absences from foster care. *Child and Adolescent Social Work*, 1-24. https://doi.org/10.1007/s10560-023-00930-3

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

4. [redacted] & Akin, B. (2022). Implementation Drivers as Practical Measures of Data-Driven Decision-Making for Early Childhood Programs: An Initial Validation Study. *Global Implementation Research and Applications, 2*, 141-152. https://doi.org/10.1007/s43477-022-00044-5

5. [redacted] 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*, 105495. https://doi.org/10.1016/j.childyouth.2020.105495

6. [redacted] (2016). Federal investments in evidence-based early childhood home visiting: A multiple streams analysis. *Poverty and Public Policy, 8*, 248-262. https://doi.org/10.1002/pop4.142

7. [redacted] (2007). Affordable housing crisis: The impact of housing cost burdens. *The Community Psychologist, 40*(3), 30-31.

Works in Review

Pogany, G., Badas, D., Byers, K., Cizek, M., Vanchy Kadavasal, P., Nothanagel Hart, M., Erwin, K., Petrovic, V., Soto, D., & [redacted] (under review). Centering Families through Shared Power: Core Components of Lived Expert Engagement and Case Study Evidence of System Change Impact. *Child Welfare.*

Naemi Jimenez, P., [redacted] Byers, K., Nasrazadani, A., Akin, B., & Carr, K. (under review). Measuring Parental Engagement Among Diverse Father Populations: Establishing Evidence of Internal Structure for Modified Measures. *Family Relations.*

Works in Preparation

Byers, K., Cizek, M., [redacted] Grube, W., Akin, B., Nasrazadani, A., & Erwin, K. (in preparation). Universal Prevention for Strong and Thriving Families: A Multi-Generational Community-Based Approach to Moving Child Welfare Systems Toward Child and Family Well-Being.

Garstka, T.A., Sprague-Jones, J., Bash, K., [redacted] Zhao, Hu., & Dhaliwal. (in preparation). Early childhood services significantly protect against removals into foster care. *Journal of Public Child Welfare.*

Garstka, T., [redacted] Harms, R., Zhao, H., & Severin, L. (in preparation). Active implementation stages to support cross-sector referral networks for families in need: A social network analysis. *Implementation Research and Applications.*

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

1. [redacted] Gelderman, S., Dodson-Weihl, J., Holmes, C., Carillo, P., & Byers, K. (2024). *Building Community Capacity to Prevent Child Sexual Abuse.* Prepared by University of Kansas Center for Public Partnerships and Research on behalf of the Children's Trust Fund of Missouri: Lawrence, KS.

2. Byers, K., [redacted] Cizek, M., Vanchy Kadavasal, P., Tasnim, N., Diaz, A., Brown, A.R.,

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

& Olaleye, O. (2024). Family First: Early Success and future directions. University of Kansas Center for Public Partnerships and Research: Lawrence, KS.

3. Byers, K., [redacted] Grube, W., Wesley, J., Akin, B., Hermesch, E., Felzke, E., & Roosevelt, R. (2023). *Protecting Bonds, Improving Systems, Ensuring Fit: Understanding and Preventing Youth Runaway Decisions in Foster Care.* University of Kansas School of Social Welfare Center for Research to Transform Systems for Family, Community, and Social Justice: Lawrence, KS.

4. [redacted] Byers, K., Grube, W., Nasrazadani, A., & Erwin, K. (2023). *Family Strong Well-Being Matrix for Social Determinants of Health.* Lawrence, KS: Center for Research to Transform Systems for Family, Community, and Social Justice; School of Social Welfare, University of Kansas. WEBLINK TO FAMILY STRONG SITE.

5. [redacted] Jimenez, P.N., Biggs, J., Garstka, T.A., Lewis, M., & Ball, T.C. (2023). Asking the Right Questions: Screening as a Tool for Family Engagement in Early Home Visiting. Lawrence, KS: Center for Research to Transform Systems for Families, Communities & Social Justice; Center for Community Engagement & Collaboration; School of Social Welfare, University of Kansas.

6. Byers, K., [redacted] Grube, W., Wesley, J., Akin, B.A., Hermesch, E., Felzke, E., & Lewis, M. (2023). *"I had everything I needed except a decent home": Predicting and Preventing Youth Absences from Foster Care.* University of Kansas School of Social Welfare. Lawrence, KS.

7. [redacted] Nasrazadani, A., Byers, K., & Naemi-Jimenez, P. (2022, October). *Fatherhood FIRE Impact Evaluation: Year 1 Evaluation data overview.* Lawrence, KS: University of Kansas School of Social Welfare.

8. [redacted] Holmes, C., Byers, K., & Nasrazadani, A. (2022, October). *Children's Trust Fund FY2023 Continuous Quality Improvement Report: Child Sexual Abuse Prevention Program.* Lawrence, KS: University of Kansas School of Social Welfare.

9. [redacted] & Lewis, M. (2022. August). *Children's Trust Fund capacity building initiative: Evaluation report.* Lawrence, KS: University of Kansas School of Social Welfare.

10. Byers, K., Cizek, M, [redacted] Grube, W., Akin, B., Erwin, K.S., & Nasrazadani, A. (2022, August). *Family Strong universal primary prevention implementation and evaluation plan.* Lawrence, KS: University of Kansas, School of Social Welfare.

11. Byers, K., [redacted] Grube, W., Wesley, J., & Akin, B. (2022, May). *Youth absences from care: Final report of study findings.* Lawrence, KS: University of Kansas, School of Social Welfare.

12. [redacted] & Lewis, M. (2021, January). 2020 Interim Findings for the Missouri Children's Trust Fund Capacity Building Initiative. *Evaluation Report.* Lawrence, KS: University of Kansas, School of Social Welfare.

13. Garstka, T., [redacted] Harris, 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.

14. [redacted] & Biggs, J. (2016). 2015 Community Needs Assessment. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).

15. [redacted] (2012). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).

16. [redacted] & Ward, C. (2011). ECKAN Needs Assessment Update. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).

17. [redacted] & Ward, C. (2010). ECKAN Community Needs Assessment Report. Ottawa, KS: East Central Kansas Economic Opportunity Corporation (ECKAN).

18. O'Brien, M., Byrnes, K., Corrigan, S., [redacted] & 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

19. Beverly, S. G., & [redacted] (2006). Barriers to asset accumulation for families in the SEED pre-school demonstration and impact assessment. *Seed Research Report Impact Assessment* Lawrence, KS: University of Kansas School of Social Welfare.

B. Scholarly Presentations

National/International

1. Byers, K., Cizek, M., [redacted] Vanchy Kadavasal, P., Erwin, K., & Jarrard, C. (2024, June). *Universal Support for Strong and Thriving Families.* Family Supports for Primary Prevention Technical Assistance Grantee Meeting. Virtual. (National, Invited)

2. Byers, K., Vanchy Kadavasal, P., [redacted] Tasnim, N., & Cizek, M. (2024, April 15). *Addressing the Unique Challenges of Rural and Frontier Communities in Prevention Services: Lessons from Family First.* ResilienceCon 2024. Nashville, TN. (National, Accepted)

3. [redacted] Grube, W., Byers, K., Erwin, K., Cizek, M., Mitchell, J., & Wallace, S. (2024, March 11). *Creating a Comprehensive Well-Being Measure: Development of the Family Well-Being Survey.* Family Supports for Primary Prevention Technical Assistance Grantee Meeting. Virtual. (National, Invited)

4. Byers, K., Vanchy Kadavasal, P., Brown, A. R., Miller, B., [redacted] & Akin, B.A. (2023, October 4). *Supporting Family Well-Being and Preservation Through Community-Based Prevention Early Impact of Family First Prevention Services.* Child Well-Being Research Network Research to Action Summit. Louisville, KY. (National, Accepted)

5. Grube, W., Nasrazadani, A., [redacted] Cizek, M., Byers, K., Akin, B.A., & Flinders, J. (2023, September). *Family Strong: Leveraging Community Voice for Realizing Systems Change in Child Welfare.* The International Society for the Prevention of Child Abuse &

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

Neglect. Edinburgh, Scotland. (International, Accepted)

6. Byers, K., Vanchy Kadavasal, P., Brown, A.R., [redacted] & Akin, B.A. (2023, June 2). *Achieving child and family well-being through primary prevention: Family First Prevention Services Impact Findings.* In J. McCrae & E. Monahan (Chair), *The Promise of Prevention through the Family First Prevention Services Act: Using Data from Identification to Impact, Examples from Three States* [Symposium]. Society for Prevention Research 31st Annual Meeting. Washington, D.C. (National, Accepted)

7. Byers, K., Cizek, M., & [redacted] (2023, May 24). *Universal Prevention for Strong and Thriving Families.* Presentation for the Family Support through Primary Prevention Grantee Meeting, Administration for Children and Families, Children's Bureau. (National, Invited)

8. Grube, W., [redacted] Nasrazadani, A., Cizek, M., Flinders, J., Sloan, S., Byers, K., Akin, B., & Erwin, K. (2023, May 24). *Connecting with Communities with the Prevention Framework: Universal Prevention for Strong & Thriving Families.* Paper presentation for the Family Supports for Prevention Grantee Meeting, Administration for Children and Families, Children's Bureau. (National, Invited)

9. [redacted] Byers, K., Naemi-Jimenez, P., Carr, K., Akin, B. A. (2023, January 12). *Initial Implementation of a Community-Based Fatherhood Program: Perspectives from the Field.* 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).

10. Byers, K., [redacted] Brown, A., Alford, D., Vanchy Kadavasal, P., Diaz, A., Akin, B. A. (2023, January 14). *Roundtable: Integrating Family First: Early Implementation, Outcomes, and Lessons Learned from Moving Child Welfare Upstream.* 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).

11. Grube, W., Wesley, J., Byers, K., [redacted] Akin, B. A. (2023, January 15). *"I Had Most of the Stuff I Needed Except a Decent Foster Home": Predictors of Youth Absences from Foster Care.* 27th Annual Conference of the Society for Social Work and Research, Social Work Science for Racial, Social, and Political Justice, Phoenix, AZ (National, Accepted).

12. [redacted] Byers, K, & Akin, B. (2022, November 12). *Conditions for change in child welfare: How collective impact frameworks inform Family First implementation.* Counsel for Social Work Education Annual Program Meeting, Anaheim, CA (National/Accepted).

13. [redacted] Byers, K., Akin, B., Hermesch, E., & Felzke, E. (2022, October 4). *"I ran to make a point and they didn't listen": Youth absences from care.* Kempe Center International Virtual Conference: A Call to Action to Change Child Welfare. (International/Accepted; virtual conference).

14. [redacted] Byers, K., Akin, B., & Alford, D. (2022, January 15). *Key conditions for change in child welfare: Applying a collective impact framework to inform Family First Prevention Services implementations.* Society for Social Work Research Conference, Washington, D.C. (National/Accepted; Presentation canceled due to COVID-19)

15. Wells, R., Bauer., A., [redacted] & Epp, P. (2021, Dec. 1). *Modernizing child welfare information systems: Discover the power of a modern information system.* Presentation for

Advanced CareDirector Live Webinar. (International/Invited)

16. [redacted] Byers, K., & Bowling, A. (2021, Nov. 12). *Family first prevention services act data elements*. Invited presentation at the Casey Family Program Child Welfare Data Leaders Convening. (National/Invited; virtual conference)

17. [redacted] (2021, July 26). *Machine learning to promote child and family wellbeing: A model for improving foster care placement decisions*. Invited presentation at the July 2021 Quarterly ROM Leadership Council Meeting. (National/Invited; virtual conference)

18. [redacted] (2021, April 20). COVID-19 pandemic's impact on time to permanency. Invited presentation at the April 2021 Quarterly ROM Leadership Council Meeting. (National/Invited; virtual conference)

19. [redacted] & Kiani, S. (2021, May 19). *Machine learning to promote child well-being: A model for improving foster care placement decisions*. Good Tech Fest 2021, Virtual Event. (International/Accepted)

20. [redacted] & Akin, B. (2019, September). *Implementation drivers as practical measures of data-driven decision-making in early childhood programs*. Storyboard presentation at the Global Implementation Conference, Glasgow, Scotland, United Kingdom. (International/Accepted)

21. Hernandez, S., & [redacted] (2019, February). *Show them the money: How Iowa's home visitor incentive program promotes the workforce*. MIECHV State, Territory, and Tribal All Grantee Meeting, Baltimore, MD. (National/Accepted)

22. Garstka, T. A., [redacted] & Harms, R. (2017, May). *Building a shared measurement system in early childhood*. The 2017 National Smart Start Conference, Greensboro, NC. (National/Accepted)

23. [redacted] (2016, June). *The problems, politics, and people of federal investments in evidence-based home visiting*. Influencing Social Policy's Policy Conference 2.0, St. Louis, MO. (National/Accepted)

24. [redacted] (2015, January). *Predictors and Effect of Service Dosage on Parental Involvement for Mothers enrolled in Home Visiting Programs*. Society for Social Work Research Annual Conference, New Orleans, LA. (National/Accepted)

25. Garstka, T. A., [redacted] & Chang-Rios, K. (2011). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. American Evaluators Association Conference, Anaheim, CA. (National/Accepted)

State, Regional, or Local

1. Byers, K., [redacted] Cizek, M., & Vanchy Kadavasal. (2025, February 12). *Building Systems for Family Well-Being*. All-In for Kansas Kids Systems Building Webinar, Lawrence, KS, Virtual. (State/Invited).
2.
3. Grube, W., & [redacted] (2024, November 7). *Understanding Family Well-Being at the Community Level: A Community Measurement Approach*. Workshop at Governor's

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

Conference for the Prevention of Child Abuse and Neglect, Wichita, KS. (State/Accepted).

4. [redacted] & Byers, K. (2024, August 29). *Evaluation of the Child Sexual Abuse Prevention Initiative: FY2024 Annual Findings*. Presentation at the Children's Trust Fund Child Sexual Abuse Prevention Grantee Meeting, Jefferson City, MO. (State/Invited).

5. Byers, K., Cizek, M., Vanchy Kadavasal, P., Brown, A.R., [redacted] & Akin, B.A. (2023, August 9). *Achieving child and family well-being through primary prevention: Family First Prevention Services Impact Findings*. Kansas Children's Cabinet and Trust Fund's All In for Kansas Kids Webinar. (State, Invited)

6. Byers, K. & [redacted] (2022, April). *Supporting Families with Youth Children: Early Lessons Learned in Moving Child Welfare Upstream with Family First*. Kansas Association of Infant Mental Health Annual Conference, Newton, KS. (State/Invited Keynote).

7. Byers, K, & [redacted] (2022, March). *Early Lessons Learned in Moving Child Welfare Upstream: Family First Prevention Services in Kansas*. CQI Statewide Conference for Child Welfare and Probation, Davis, CA. (State/Invited Keynote; virtual conference).

8. [redacted] Byers, K., Brown, A., Alford, D., Vancy, P., Sushinsky, J., & Shaver, C. (2022, March). *How the Kansas Family First Initiative Brings Together Data for CQI*. CQI Statewide Conference for Child Welfare and Probation, Davis, CA. (State/Invited; virtual conference).

9. Hernandez, S., & [redacted] (2019, May). *Never fear, data help is near*. Prevent Child Abuse Iowa, Ankeny, IA. (State/Invited).

10. [redacted] (2018, October). *Maximizing the DAISEY system for program improvement*. Early Learning – Big Results for Little People, The Early Learning Communities Conference, Wichita, KS. (State/Invited).

11. Garstka, T. A., & [redacted] (2012). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. School of Education Spring Research Retreat at the University of Kansas, Lawrence, KS. (Local/Invited).

12. Richardson, D., Garstka, T., [redacted] Spanhake, S., & Smith, P. (2011). *Designing a performance management system: The Kansas and Nebraska experience*. Region VII and Region VII joint meeting for MIECHV, Denver, CO. (Regional/Accepted)

13. [redacted] & Looze, J. (2017, April). *Using data to make decisions: It's not as scary as you think*. EC 11 Summit, Topeka, KS. (State/Invited)

14. Flinders, J., Lickvar, C., [redacted] Leopold, M., & Naemi, P. (2017, February). *Rethinking space through the rules of engagement: Collaboration at CPPR*. KU Professionals for Inclusion and Social Justice Graduate Research Conference, New Spaces: Opening Up Physical and Social Spaces in the 21st Century, Lawrence, KS. (Local/Accepted)

15. Sprague-Jones, J., [redacted] & Biggs, J. (2016, July). *Demystifying cost analysis: Empowering non-profits to use cost analysis to demonstrate impact*. 2016 Kansas Conference on Poverty, Topeka, KS. (State/Accepted)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

16. Richardson, D., [redacted] Biggs, J., & Garstka, T. (2014, October). *Kansas Maternal, Infant, and Early Childhood Home Visiting Program: Highlights, Innovations, and Findings*. Conference workshop at the 38th Annual Governor's Conference for the Prevention of Child Abuse & Neglect, Wichita, KS. (State/Accepted)

17. Richardson, D., Garstka, T., Biggs, J., & [redacted] (2013, November). *What is MIECHV? The Maternal, Infant and Early Childhood Home Visiting Program in Kansas*. Conference workshop at the 37th Annual Governor's Conference for the Prevention of Child Abuse & Neglect, Topeka, KS. (State/Accepted)

18. [redacted] (2011). *Using Research Electronic Data Capture (REDCap) for designing a data collection system in the field*. Midwest Research and Evaluation Exchange, Kansas City, MO. (Regional/Accepted)

C. Grants and/or Other Funded Projects

Externally-Funded Grant/Contract

Funded

1. [redacted] (Principal). Results Oriented Management (ROM) reporting system for the State of Wyoming Department of Family Services. 1001750, Wyoming Department of Family Services $366,224 (July 1, 2022 - December 31, 2024). (Sole-source contract)

2. Byers, K. (Principal), Akin, B.A. (Co-Principal), Mendenhall, A. (Co-Principal), Garstka, T. (Co-Principal), Cizek, M., [redacted] (Co-Principal). *Community Resource Centers*. Kansas Department for Children and Families $500,000, Submitted February 2023 (Awarded June 2023). (Invited Sole Source Contract).

3. Byers, K. (Principal), Akin, B.A. (Co-Principal), Mendenhall, A. (Co-Principal), Garstka, T. (Co-Principal), [redacted] (Co-Principal). *Family First Prevention Services Act – Kansas Evaluation (FFPSA)*. Kansas Department for Children and Families $849,016, Submitted May 2023 (Awarded July 1, 2023 – June 30, 2024). (Invited Sole Source Contract).

4. [redacted] (Principal). *Results Oriented Management (ROM) for TFI Family Services*. 1002264, TFI Family Services $130,647, (November 1, 2022 – October 31, 2023). (Sole-source contract)

5. [redacted] (Principal). Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families. Connecticut Department of Children and Families $101,315 (July 1, 2022 - June 30, 2023). (Sole-source contract)

6. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for the Colorado Department of Human Services, Office of Children, Youth, and Families*. 1000988, Colorado Department of Human Services, Office of Children, Youth, and Families $112,895 (July 1, 2022 – June 30, 2023). (Sole-source contract)

7. Naemi Jimenez, P. (Principal), [redacted] (Co-PI), & Byers, K. (Co-PI). *Safe sleep grant*

program evaluation for the Missouri Children's Trust. Children's Trust Fund of Missouri, $248,528, October 1, 2021 – December 31, 2025). (Refereed/Competitive)

8. [redacted] (Principal). *Interactive Reporting System for Child Welfare Administration and Management*. Proposal to the Ohio Department of Job and Family Service, Office of Families and Children. $491,702, Submitted July 13, 2021 (August 1, 2021 – June 30, 2026). (Refereed/Competitive)

9. Byers, K. (Principal), [redacted] (Co-Principal), Cizek, M. (Co-Principal), & Akin, B. (Co-Principal). *Universal Supports for Strong and Thriving Families (Family Strong)*. Family Support through Primary Prevention demonstration grant with the U.S. Department of Health and Human Services, Administration for Children and Families, Children's Bureau. $3,750,000, Submitted July 2, 2021 (October 1, 2021 - September 30, 2026). (Refereed/Competitive)

10. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for the State of Connecticut Department of Children and Families*. Connecticut Department of Children and Families $85,000 (July 1, 2021 - June 30, 2022). (Sole-source contract)

11. [redacted] (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)

12. [redacted] (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)

13. [redacted] (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)

14. [redacted] (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)

15. [redacted] (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)

16. [redacted] (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 $442,224, July 1, 2020 (July 1, 2020 - Present). (Sole-source contract)

17. [redacted] (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)

18. [redacted] (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)

19. [redacted] (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)

20. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for the Vermont Department for Children and Families*. Vermont Department for Children and Faniilies $805,975 (October 1, 2015 - September 30, 2023). (Sole-source contract)
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.

21. [redacted] (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)

22. [redacted] (Principal). *Results Oriented Management (ROM) for TFI Family Services*. 1002264, TFI Family Services $151,350, (October 1, 2020 - September 30, 2022). (Sole-source contract)

23. [redacted] (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)

24. Byers, K. (Principal), [redacted] (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)

25. Mendenhall, A. (Principal). Akin, B. (Co-Principal), & [redacted] (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)

26. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for Montana State Department of Public Health and Human Services*. $132,037.50 (July 1, 2020 - December 31, 2021). (Sole-source contract)

27. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families*. State of New Hampshire Department of Health and Human Services, Division for Children, Youth, and Families $277,150 (July 1, 2019 - June 30, 2021). (Sole-source contract)
    Current Status: Funded/Ongoing
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.

28. [redacted] (Principal). *Results Oriented Management (ROM) reporting system for the Ohio*

Department of Job and Family Services. 1001238, Ohio Department of Job and Family Services $215,270 (July 1, 2019 – February 28, 2022). (Sole-source contract)
Current Status: Funded/Ongoing
*[redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.

29. [redacted] (Principal), & Garstka, T. A. (Co-Principal). *Performance Data Management Services for the Kansas Maternal, Infant, & Early Childhood Home Visiting Program*. Kansas Department of Health & Environment, Topeka, KS $581,150 (October 2017 - February 2020). (Sole-source contract)

30. [redacted] (Principal), & Garstka, T. A. (Co-Principal). *Kansas Early Head Start Data Reporting System*. Kansas Department of Children and Families, Topeka, KS $102,767 (June 17, 2017 - February 2020). (Sole-source contract)

31. [redacted] (Principal), & Garstka, T. A. (Co-Principal). *State of Iowa Family Support Program Performance Management Solution and Analytics; DAISEY: Data Application and Integration Solution for the Early Years*. Iowa Department of Public Health, Des Moines, IA $1,681,683 (October 2015 - February 2020). (Sole-source contract)

32. Garstka, T. A. (Principal), & [redacted] (Co-Principal). *Early Childhood Block Grant Performance Management System*. Douglas County Success by Six Coalition $33,380 (2013 - 2014). (Sole-source contract)

33. Lemon, M. (Principal), Counts, J. (Co-Principal), & [redacted] (Grant-Writer). *Kansas Enrichment Network: Technical Assistance for Kansas 21st Century Community Learning Center Grantees*. Kansas State Department of Education, Topeka, KS $1,400,000 (July 2019 - June 2024). (Refereed/Competitive)

34. [redacted] (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)
*[redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

35. [redacted] (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)
*[redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

36. [redacted] (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)
*[redacted] 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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

37. [redacted] (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)
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

38. [redacted] (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)
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.

39. [redacted] (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)
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020. Terry Moore was the original Principal Investigator responsible for establishing and securing this project.

40. [redacted] (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)
    [redacted] assumed Principal Investigator responsibilities from Becci Akin starting in February 2020.

41. [redacted] (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)
    [redacted] 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.

<u>Submitted, Not Funded</u>

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

2. [redacted] (Principal), Akin, B., & Byers, K. *Working in Community Toward Holistic Unwavering Support (WITH US): KYAC and RYAC Coordination and Facilitation*. Proposal to the Kansas Department for Children and Families (Event Bid: EVT0008919). $495,349, Submitted January 26, 2023.

3. Sutley, E., [redacted] Han, Hye-Sung, Li, J., Husic, A., Davis, B., & Medina, M. (2022, April). *Rising homes: The future of sustainable housing*. Research Rising proposal to the University of Kansas Office of Research. (Refereed/Competitive)

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

[redacted]

SERVICE

School of Social Welfare

Member
Faculty Search Committee (elected). (May 2023 – December 2023)

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

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

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

Mentor
MSW Research Scholar Program. Serve as faculty mentor for two MSW students receiving scholarships under the MSW Research Scholar Program.
Paige Richardson (October 1, 2020 – July 31, 2021)
Jessica Wesley (October 1, 2020 – December 31, 2021)

PROFESSIONAL SERVICE OUTSIDE THE UNIVERSITY

International

Reviewer, Ad Hoc
Journal of Child and Family Studies, Lawrence, KS, United States (2021 to present)

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

[redacted] (2024, March 2). *Child Well-Being Policy in Action: Implementation of Family First Prevention Services in Kansas*. Invited guest speaker in Dr. Whiteny Grube's SW 720 Social Welfare Policy course. Overland Park, KS: University of Kansas School of Social Welfare. (Invited)

[redacted] (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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

doctoral seminar. Lawrence, KS: University of Kansas School of Social Welfare. (Invited)

[redacted] (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)

[redacted] (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)

[redacted] (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)

[redacted] (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)

[redacted] (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)

REFERENCES AVAILABLE UPON REQUEST

NH Department of Health and Human Services

KEY PERSONNEL

List those primarily responsible for meeting the terms and conditions of the agreement.

Job descriptions not required for vacant positions.

Contractor Name: University of Kansas Center for Research, Inc.

NAME	JOB TITLE	ANNUAL AMOUNT PAID FROM THIS CONTRACT	ANNUAL SALARY
Jared Barton	Director, Center for Public Partnerships and Research	$8,522.00	$189,000.00
		$0.00	$0.00
		$0.00	$0.00
		$0.00	$0.00
		$0.00	$0.00
		$0.00	$0.00

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

0 JUN13'23 PM 2:47 RCV

mac

28

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION FOR CHILDREN, YOUTH & FAMILIES

Lori A. Weaver
Interim Commissioner

Joseph E. Ribsam, Jr.
Director

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

May 22, 2023

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

REQUESTED ACTION

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

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

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

See attached fiscal details.

EXPLANATION

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

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

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

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

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

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

Area served: Statewide

Sources of Federal Funds:

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

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

Respectfully submitted,

Lori A. Weaver
Interim Commissioner

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

Fiscal Details

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	42108004	$8,000	$0	$8,000
2016	067-500557	Contracts for Prog Servs	42108004	$12,000	$0	$12,000
2017	067-500557	Contracts for Prog Servs	42108004	$14,400	$0	$14,400
2018	067-500557	Contracts for Prog Servs	42108004	$16,100	$0	$16,100
2019	067-500557	Contracts for Prog Servs	42108004	$14,400	$0	$14,400
2020	067-500557	Contracts for Prog Servs	42108004	$18,000	$0	$18,000
2021	067-500557	Contracts for Prog Servs	42108004	$16,000	$0	$16,000
2022	067-500557	Contracts for Prog Servs	42108004	$16,000	$0	$16,000
2023	067-500557	Contracts for Prog Servs	42108004	$16,000	$0	$16,000
			Subtotal:	$126,900	$0	$126,900

05-095-42-421010-29600000 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	$69,900	$0	$69,900
2023	026-500251	Organizational Dues	42015602	$73,075	$0	$73,075
			Subtotal:	$261,225	$0	$261,225

05-095-42-421010-37210000-HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS DEPT OF,

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

Total:	$388,125	$195,215	$583,340

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

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 8, 2023

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

Dear Commissioner Weaver:

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

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

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

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

Sincerely,

Denis Goulet

DG/jd
DoIT #2014-138D

cc: Mike Williams, IT Manager

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

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

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

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

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

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

1. Form P-37 General Provisions, Block 1.7, Completion Date, to read:

   June 30, 2025

2. Form P-37, General Provisions, Block 1.8, Price Limitation, to read:

   $583,340

3. Form P-37, General Provisions, Block 1.9, Contracting Officer for State Agency, to read:

   Robert W. Moore, Director.

4. Modify Consolidated Exhibits – Part 3, Exhibit B – Amendment #3, Price & Payment Schedule, Section 1, Deliverable Payment Schedule, Subsection 1.2, Annual Subscription Fee, to read:

   1.2 Annual Subscription Fee

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

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

Contractor Initials DS AMR
Date 6/8/2023

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

   3.4. STATE CONTRACT MANAGER

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

Contractor Initials AMR
Date 6/8/2023

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

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

State of New Hampshire
Department of Health and Human Services

6/12/2023
Date

DocuSigned by:
Marie Noonan
Name: Marie Noonan
Title: DCYF Interim Director

University of Kansas Center for Research, Inc.

6/8/2023
Date

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

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

OFFICE OF THE ATTORNEY GENERAL

DocuSigned by:
Robyn Guarino

6/12/2023
Date

Name: Robyn Guarino
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

30 mac

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-97.1F-28270CAC6B90

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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-26270CAC6B90

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

Respectfully submitted,

Lori A. 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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB62B9367

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

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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1
DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-2B270CAC6B90
DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB62B9387

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB82B9367

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,

Denis Goulet

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB62B9367

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.

DS
AK
6/1/2021

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

DocuSigned by:
Joseph E. Ribsam, Jr.

6/14/2021
Date

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

University of Kansas Center for Research, Inc.

DocuSigned by:
Alicia Reed

6/1/2021
Date

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

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:

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6890

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB82B9367

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

I. DELIVERABLE PAYMENT SCHEDULE

I.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	
		Sub-Total SFY 2015	*$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	
		Sub-Total SFY 2016	*$12,000*

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-26270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB62B9367

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	
		Sub-total SFY 2017	*$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	
		Sub-total SFY 2018	*$16,100*

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947BB82B9367

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*

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

DocuSign Envelope ID: C3899942-3805-4A43-8DDD-947B86289367

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	
		Sub-total SFY 2021	*$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	
		Sub-total SFY 2022	*$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	
		Sub-total SFY 2023	*$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	
		Sub-total	*$261,225*
		TOTAL	$388,125

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

10 mac

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION FOR CHILDREN, YOUTH & FAMILIES

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

Jeffrey A. Meyers
Commissioner

Joseph E. Ribsam, Jr.
Director

October 25, 2019

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

REQUESTED ACTIONS

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

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

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

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

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

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
[redacted]	[redacted]	[redacted]	*Subtotal:*	*$0*	*$118,250*	*$118,250*
[redacted]	[redacted]	[redacted]	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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

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,

Kenneth Dean For

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-section3.2 The Vendor's

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:

Key Member(s)	Title
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

the State and contain detailed information, including without limitation:

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

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

2.3 Invoices shall be sent to:

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

Kellie.esdale@dhhs.nh.gov

12. Add Exhibit K: DHHS Information Security Requirements.

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

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

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

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.

Julie C. Popiel
Signature of Notary Public or Justice of the Peace

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

JULIE C. POPIEL
Notary Public - State of Kansas
My Appt. Expires July 31, 2022

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

EXHIBHIT 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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A58AB7B-448B-435F-971F-28270CAC6B90

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

I. 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	
		Sub-Total SFY 2015	*$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	
		Sub-Total SFY 2016	*$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	
		Sub-total SFY 2017	*$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	
		Sub-total SFY 2018	*$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	
		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 #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	
		Sub-total SFY 2021	*$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	
		Sub-total	*$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,

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

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.

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.).

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,

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/doit/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.

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

Item# 16
G & C Approved
November 8/2017

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

OFFICE OF HUMAN SERVICES

DIVISION FOR CHILDREN, YOUTH & FAMILIES

Jeffrey A. Meyers
Commissioner

Christine Tappan
Interim 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

October 6, 2017

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BA87B-448B-435F-971F-28270CAC6B90

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.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

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

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

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

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

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

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

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

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

1. Form P-37, General Provisions, Block 1.8, Price Limitation to read:

   $62,900

2. Form P-37, General Provisions, Block 1.9, Contracting Officer for State Agency to read:

   E. Maria Reinemann, Esq., Director

3. Contract Agreement – Part 2, Section 3.4, State Contract Manager to read:

   Director, Bureau of Contracts and Procurement
   Department of Health and Human Services
   129 Pleasant Street
   Concord, NH 03303
   Tel: (603) 271-9330
   Fax: (603) 271-8431

4. Contract Agreement – Part 2, Section 3.5, State Project Manager to read:

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

   a. Leading the Project;
   b. Engaging and managing all the Contracted Vendors;

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

The State Project Manager is:

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

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

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

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

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

   Table C-3, Consolidated System Enhancements

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

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

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

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

State of New Hampshire
Department of Health and Human Services

10-6-17
Date

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

University of Kansas Center for Research, Inc.:

8-23-2017
Date

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

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

Linda L Crawford
Name and Title of Notary or Justice of the Peace

NOTARY PUBLIC - State of Kansas
LINDA L CRAWFORD
My Appt. Expires May 18, 2020

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

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

OFFICE OF THE ATTORNEY GENERAL

10/14/17
Date

Name: Andrew Ruffner
Title: attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

FEB12'15 PM 2:08 DAS

GC Item #9

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION FOR CHILDREN, YOUTH & FAMILIES

Nicholas A. Toumpas
Commissioner

Mary Ann Cooney
Associate 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

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC8B90

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

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

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

Steven J. Kelleher
Acting Commissioner

February 4, 2014

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

Dear Commissioner Toumpas:

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

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

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

Sincerely,

Steven J. Kelleher

SJK/lm
Contract 2014-138

cc: Eric Borrin, DHHS
Leslie Mason, DoIT

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

FORM NUMBER P-37 (version 1/09)

Subject: Results Oriented Management (ROM)

CONTRACT 2014-138
AGREEMENT - PART I

AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name Department of Health & Human Services Division for Children, Youth & Families	1.2 State Agency Address 129 Pleasant St Concord, NH 03301
1.3 Contractor Name University of Kansas Center for Research, Inc.	1.4 Contractor Address 2385 Irving Hill Road Lawrence, KS 66045
1.5 Contractor Phone Number (785) 864-3441 1.6 Account Number	1.7 Completion Date June 30, 2019 1.8 Price Limitation $61,200
1.9 Contracting Officer for State Agency Eric D. Borrin	1.10 State Agency Telephone Number (603) 271-9558
1.11 Contractor Signature Kristi M. Billinger	1.12 Name and Title of Contractor Signatory Kristi Billinger Director, Research Administration

1.13 Acknowledgement: State of KS, County of Douglas

On 2/19/2014, before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.

1.13.1 Signature of Notary Public or Justice of the Peace Linda L Crawford [Seal]	LINDA L. CRAWFORD Notary Public - State of Kansas My Appt. Expires May 18, 2018
1.13.2 Name and Title of Notary or Justice of the Peace	
1.14 State Agency Signature Mary Ann Carey	1.15 Name and Title of State Agency Signatory Mary Ann Carey Associate Commissioner

1.16 Approval by the N.H. Department of Administration, Division of Personnel *(if applicable)*

By: Director, On:

1.17 Approval by the Attorney General (Form, Substance and Execution)

By: Megan A. Yeh - Attorney On: 2/10/15

1.18 Approval by the Governor and Executive Council

By: On:

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

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

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

5. CONTRACT PRICE/PRICE LIMITATION/ PAYMENT.
5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT B which is incorporated herein by reference.
5.2 The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete compensation to the Contractor for the Services. The State shall have no liability to the Contractor other than the contract price.
5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.
5.4 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8.

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

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

8. EVENT OF DEFAULT/REMEDIES.
8.1 Any one or more of the following acts or omissions of the Contractor shall constitute an event of default hereunder ("Event of Default"):
8.1.1 failure to perform the Services satisfactorily or on schedule;
8.1.2 failure to submit any report required hereunder; and/or
8.1.3 failure to perform any other covenant, term or condition of this Agreement.
8.2 Upon the occurrence of any Event of Default, the State may take any one, or more, or all, of the following actions:
8.2.1 give the Contractor a written notice specifying the Event of Default and requiring it to be remedied within, in the absence of a greater or lesser specification of time, thirty (30) days from the date of the notice; and if the Event of Default is not timely remedied, terminate this Agreement, effective two (2) days after giving the Contractor notice of termination;
8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall never be paid to the Contractor;
8.2.3 set off against any other obligations the State may owe to the Contractor any damages the State suffers by reason of any Event of Default; and/or
8.2.4 treat the Agreement as breached and pursue any of its remedies at law or in equity, or both.

9. DATA/ACCESS/CONFIDENTIALITY/ PRESERVATION.
9.1 As used in this Agreement, the word "data" shall mean all information and things developed or obtained during the performance of, or acquired or developed by reason of, this Agreement, including, but not limited to, all studies, reports, files, formulae, surveys, maps, charts, sound recordings, video recordings, pictorial reproductions, drawings, analyses, graphic representations, computer programs, computer printouts, notes, letters, memoranda, papers, and documents, all whether finished or unfinished.
9.2 All data and any property which has been received from the State or purchased with funds provided for that purpose under this Agreement, shall be the property of the State, and shall be returned to the State upon demand or upon termination of this Agreement for any reason.
9.3 Confidentiality of data shall be governed by N.H. RSA chapter 91-A or other existing law. Disclosure of data requires prior written approval of the State.

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

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

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

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

14. INSURANCE.
14.1 The Contractor shall, at its sole expense, obtain and maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, the following insurance:
14.1.1 comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than $250,000 per claim and $2,000,000 per occurrence; and
14.1.2 fire and extended coverage insurance covering all property subject to subparagraph 9.2 herein, in an amount not less than 80% of the whole replacement value of the property.
14.2 The policies described in subparagraph 14.1 herein shall be on policy forms and endorsements approved for use in the State of New Hampshire by the N.H. Department of Insurance, and issued by insurers licensed in the State of New Hampshire.
14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or his or her successor, a certificate(s) of insurance for all insurance required under this Agreement. Contractor shall also furnish to the Contracting Officer identified in block 1.9, or his or her successor, certificate(s) of insurance for all renewal(s) of insurance required under this Agreement no later than fifteen (15) days prior to the expiration date of each of the insurance policies. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference. Each

Contractor Initials: KMB
Date: 12/19/14

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

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

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

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

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

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

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

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

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

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

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

Contractor Initials: KMB
Date: 12/19/14

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

TERMS AND DEFINITIONS

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

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

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

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT –PART 2

INTRODUCTION

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

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

RECITALS

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

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

The parties therefore agree as follows:

1. CONTRACT DOCUMENTS

1.1. CONTRACT DOCUMENTS

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

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT – PART 2

Exhibit D- Certificates and Attachments

1.2. ORDER OF PRECEDENCE

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

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

1.3. CONTRACT TERM

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

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

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

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

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

2. COMPENSATION

2.1. CONTRACT PRICE

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

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

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

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

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

3. CONTRACT MANAGEMENT

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

3.1. THE VENDOR'S CONTRACT MANAGER

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

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

3.2: THE VENDOR'S PROJECT MANAGER

3.2.2 Contract Project Manager

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

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

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

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

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

3.2.5 The Contract Project Manager is:

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

3.3. THE CONTRACTED VENDOR KEY PROJECT STAFF

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

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

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

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

The Contracted Vendor's Key Project Staff:

Key Member(s)	Title
Terry Moore	Director of Results Oriented Management

3.4. STATE CONTRACT MANAGER

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

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

3.5. STATE PROJECT MANAGER

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

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

The State Project Manager is:

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

3.6. REFERENCE AND BACKGROUND CHECKS

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

4. DELIVERABLES

4.1 Vendor Responsibilities

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

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

4.2 Deliverables and Services

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

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

4.3 Non-Software and Written Deliverables Review and Acceptance

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

4.4 System/Software Testing and Acceptance

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

4.5 Security

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

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

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

5. SOFTWARE

RESERVED

6. WARRANTY

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

7. SERVICES

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

7.1 Administrative Services

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

7.2 Implementation Services

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

7.3 Testing Services

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

8. CHANGE ORDERS

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

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

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

9. INTELLECTUAL PROPERTY

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

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

10.1 State's Data

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

10.2 Vendor's Materials

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

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

10.3 State Website Copyright

WWW Copyright and Intellectual Property Rights

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

10.4 Survival

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

10. USE OF STATE'S INFORMATION, CONFIDENTIALITY

11.1 Use of State's Information

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

11.2 State Confidential Information

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

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

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

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

11.3 Vendor Confidential Information

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

11.4 Survival

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

12. LIMITATION OF LIABILITY

12.1. STATE

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

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

12.2. THE VENDOR

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

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

12.3. STATE'S IMMUNITY

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

12.4. SURVIVAL

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

13. TERMINATION

This Section 13 shall survive the termination or Contract Conclusion.

13.1. TERMINATION FOR DEFAULT

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

a. Failure to perform the Services on schedule;

b. Failure to submit any report required; and/or

c. Failure to perform any other covenant, term or condition of the Contract

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

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

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

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

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

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

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

13.5. TERMINATION FOR CONVENIENCE

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

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

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

13.6. TERMINATION FOR CONFLICT OF INTEREST

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

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

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

13.7. TERMINATION PROCEDURE

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

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

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

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

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

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

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

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

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

14. CHANGE OF OWNERSHIP

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

15. ASSIGNMENT, DELEGATION AND SUBCONTRACTS

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

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

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

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

16. DISPUTE RESOLUTION

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

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

16.1. Dispute Resolution Responsibility and Schedule Table

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

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

17. CODE

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

18. GENERAL PROVISIONS

18.1. Travel Expenses

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

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

18.2. Shipping and Delivery Fee Exemption

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

18.3. Project Workspace and Office Equipment

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

18.4. Access/Cooperation

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

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

18.5. Required Work Procedures

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

18.6. Computer Use

In consideration for receiving access to and use of the computer facilities, network, licensed or developed software, software maintained or operated by any of the State entities, systems, equipment, documentation, information, reports, or data of any kind (hereinafter "Information"), the Vendor understands and agrees to the following rules:

18.6.1. Every Authorized User has the responsibility to assure the protection of information from unauthorized access, misuse, theft, damage, destruction, modification, or disclosure.

18.6.2. That information shall be used solely for conducting official State business, and all other use or access is strictly forbidden including, but not limited to, personal, or other private and non-State use and that at no time shall the Contracted Vendor access or attempt to access any information without having the express authority to do so.

18.6.3. That at no time shall the Vendor access or attempt to access any information in a manner inconsistent with the approved policies, procedures, and /or agreements relating to system entry/access.

18.6.4. That all software licensed, developed, or being evaluated by the State cannot be copied, shared, distributed, sub-licensed, modified, reverse engineered, rented, or sold, and that at all times the Contracted Vendor must use utmost care to protect and keep such software strictly confidential in accordance with the license or any other Agreement executed by the State. Only equipment or software owned, licensed, or being evaluated by the State, can be used by the Contracted Vendor. Personal software (including but not limited to palmtop sync software) shall not be installed on any equipment.

18.6.5. That if the Vendor is found to be in violation of any of the above-stated rules, the User may face removal from the State Contract, and/or criminal or civil prosecution, if the act constitutes a violation of law.

18.7. Email Use

Mail and other electronic communication messaging systems are State of New Hampshire property and are to be used for business purposes only. Email is defined as "internal Email systems" or "State-funded Email systems". The Vendor understands and agrees that use of email shall follow State standard policy (available upon request).

18.8. Internet/Intranet Use

The Internet/Intranet is to be used for access to and distribution of information in direct support of the business of the State of New Hampshire according to State standard policy (available upon request).

18.9. Regulatory Government Approvals

The Vendor shall obtain all necessary and applicable regulatory or other governmental approvals necessary to perform its obligations under the Contract.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONTRACT AGREEMENT -PART 2

18.10. Force Majeure

Neither the Contracted Vendor nor the State shall be responsible for delays or failures in performance resulting from events beyond the control of such party and without fault or negligence of such party. Such events shall include, but not be limited to, acts of God, strikes, lock outs, riots, and acts of war, epidemics, acts of government, fire, power failures, nuclear accidents, earthquakes, and unusually severe weather.

Except in the event of the foregoing, Force Majeure events shall not include the Vendor's inability to hire or provide personnel needed for the Vendor's performance under the Contract.

18.11. Insurance

18.11.1. The Vendor Insurance Requirement (See Contract Agreement Part 1-Form P-37 Section 14.)

18.11.2. The ACORD Insurance Certificate should note the Certificate Holder in the lower left hand block including State of New Hampshire, Department of Health & Human Services, 129 Pleasant St., Concord, NH 03301.

18.12. Exhibits

The Exhibits referred to, in and attached to the Contract are incorporated by reference as if fully included in the text.

18.13. Survival

The terms, conditions and warranties contained in the Contract that by their context are intended to survive the completion of the performance, cancellation or termination of the Contract shall so survive, including, but not limited to, the terms of the *Contract Agreement Exhibit D Section 3: Records Retention and Access Requirements*, *Contract Agreement Exhibit D Section 4: Accounting Requirements*, and Contract Agreement Part 2-Section 11: *Use of State's Information, Confidentiality* and Contract Agreement Part 1- Section 13: *Indemnification* which shall all survive the termination of the Contract.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS-PART 3
EXHIBIT A
CONTRACT DELIVERABLES

1. DELIVERABLES, MILESTONES AND ACTIVITIES

The Vendor shall provide the State with hosting services for Results Oriented Management (ROM), which will meet and perform in accordance with the specifications and deliverables that are in accordance with the time frames in the Work Plan.

Prior to the commencement of work on non-software and written deliverables, the Vendor shall provide to the State a template, table of contents, or agenda for review and prior approval by the State.

The deliverables are set forth in the schedule described below in Section 2. By unconditionally accepting a deliverable, the State reserves the right to request the Vendor revise and resubmit the deliverable, in whole or in part, through completion of all Acceptance Testing, including but not limited to, Software/System Acceptance Testing, and any extensions thereof.

Pricing for deliverables are set forth in Exhibit B: *Price and Payment Schedule*. Pricing will be effective for the term of this Contract, and any extensions thereof.

2. DELIVERABLES, MILESTONES, AND ACTIVITIES SCHEDULE

2.1 Implementation Schedule – Activities / Deliverables / Milestones

The Vendor will host the Results Oriented Management (ROM) reporting system using current data provided by the Division for Children, Youth and Families (DCYF). The following are the specific tasks and deliverables for the report system hosting operations being provided.

- Host Instances of the ROM Reports application necessary for internal reporting for DCYF operations, and for supporting public reporting as that is developed. This includes both production and test instances of all site reporting instances.
- Import Data Tables - Monitor and troubleshoot the regularly scheduled data upload process via SFTP into the SQL Server Production and Test databases on the ROM server. In the event of problems, the previous day's outcome tables shall be restored. Import the data tables into SQL Server Test database as needed in order to test any revisions made to the application.
- Run Data Preparation Routines - Schedule and execute the ROM Reports data preparation routines to populate reports on an agreed upon schedule, but no more often than weekly.
- Apply New Releases/Updates of ROM Reports and ROM Data Preparation – Apply new releases to DCYF test environments of ROM, and promote approved changes to production instances.
- Maintain Server Software and Hardware – Provide all required software and hardware for delivering ROM, and provide maintenance within defined maintenance windows.
- 24-7 System Secure Server Operations - The server that sits behind the Vendor's firewall meets HIPPA guidelines. These guidelines cover physical security, file level access, password security, and disposal of hard drives. This firewall requires each connection to be defined. The only available link to the outside world to this server is the https SSL port 443. This ensures the data is encrypted during transmissions. The Vendor's IT Services provides 24 hour system monitoring, physical plant

maintenance, connection circuit installation, hardware maintenance management services, operations support hardware/software replacement, security checks, hardware problem resolution, disaster recovery, and backup support.

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

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price

This is a Firm Fixed Price (FFP) Contract totaling $61,200 for the period between the Contract Effective Date through June 30, 2019. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:

Month	Year	Pricing/Payment
January	2015	$1,000
February	2015	$1,000
March	2015	$1,000
April	2015	$1,000
May	2015	$1,000
June	2015	$1,000
July	2015	$1,000
August	2015	$1,000
September	2015	$1,000
October	2015	$1,000
November	2015	$1,000
December	2015	$1,000
January	2016	$1,000
February	2016	$1,000
March	2016	$1,000
April	2016	$1,000
May	2016	$1,000
June	2016	$1,000
July	2016	$1,200

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

August	2016	$1,200
September	2016	$1,200
October	2016	$1,200
November	2016	$1,200
December	2016	$1,200
January	2017	$1,200
February	2017	$1,200
March	2017	$1,200
April	2017	$1,200
May	2017	$1,200
June	2017	$1,200
July	2017	$1,200
August	2017	$1,200
September	2017	$1,200
October	2017	$1,200
November	2017	$1,200
December	2017	$1,200
January	2018	$1,200
February	2018	$1,200
March	2018	$1,200
April	2018	$1,200
May	2018	$1,200
June	2018	$1,200
July	2018	$1,200
August	2018	$1,200
September	2018	$1,200

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

October	2018	$1,200
November	2018	$1,200
December	2018	$1,200
January	2019	$1,200
February	2019	$1,200
March	2019	$1,200
April	2019	$1,200
May	2019	$1,200
June	2019	$1,200

2. INVOICING

The Vendor shall submit correct invoices to the State for all amounts to be paid by the State. All invoices submitted shall be subject to the State's prior written approval, which shall not be unreasonably withheld. The Vendor shall only submit invoices for services or deliverables as permitted by the Contract. Invoices must be in a format as determined by the State and contain detailed information, including without limitation: itemization of each deliverable and identification of the deliverable for which payment is sought, and the acceptance date triggering such payment; date of delivery and/or installation; monthly maintenance charges; any other project costs or retention amounts if applicable.

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

Invoices shall be sent to:

Attn: Dague Clark, Financial Manager
Division for Children, Youth & Family
129 Pleasant Street
Concord, NH 03301

dbclark@dhhs.state.nh.us

3. PAYMENT ADDRESS

All payments shall be sent to the following address:

University of Kansas Center for Research, Inc.
Financial Services
2385 Irving Hill Road

Lawrence, KS 66045-7563
kucrcr@ku.edu

4. OVERPAYMENTS TO THE VENDOR

The Vendor shall promptly, but no later than fifteen (15) business days, return to the State the full amount of any overpayment or erroneous payment upon discovery or notice from the State.

5. CREDITS

The State may apply credits due to the State arising out of this Contract, against the Vendor's invoices with appropriate information attached.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

1. EXTENSION

This agreement has the option for a potential extension up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Executive Council.

2. OTHER GENERAL PROVISIONS

Vendor's Obligations: The Vendor covenants and agrees that all funds received by the Vendor under the Contract shall be used only as payment to the Vendor for services provided to eligible individuals and, in the furtherance of the aforesaid covenants, the Vendor hereby covenants and agrees as follows:

2.1. **Compliance with Federal and State Laws:** If the Contractor is permitted to determine the eligibility of individuals such eligibility determination shall be made in accordance with applicable federal and state laws, regulations, orders, guidelines, policies and procedures.

2.2. **Gratuities or Kickbacks:** The Contractor agrees that it is a breach of this Contract to accept or make a payment, gratuity or offer of employment on behalf of the Contractor, any Sub-Contractor or the State in order to influence the performance of the Scope of Work detailed in Exhibit A of this Contract. The State may terminate this Contract and any sub-contract or sub-agreement if it is determined that payments, gratuities or offers of employment of any kind were offered or received by any officials, officers, employees or agents of the Contractor or Sub-Contractor.

2.3. **Retroactive Payments:** Notwithstanding anything to the contrary contained in the Contract or in any other document, contract or understanding, it is expressly understood and agreed by the parties hereto, that no payments will be made hereunder to reimburse the Contractor for costs incurred for any purpose or for any services provided to any individual prior to the Effective Date of the Contract and no payments shall be made for expenses incurred by the Contractor for any services provided prior to the date on which the individual applies for services or (except as otherwise provided by the federal regulations) prior to a determination that the individual is eligible for such services.

2.4. **Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractors costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party funders for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party funders, the Department may elect to:

2.4.1. Renegotiate the rates for payment hereunder, in which event new rates shall be established;

2.4.2. Deduct from any future payment to the Contractor the amount of any prior reimbursement in excess of costs;

2.4.3. Demand repayment of the excess payment by the Contractor in which event failure to make such repayment shall constitute an Event of Default hereunder. When the Contractor is permitted to determine the eligibility of individuals for services, the Contractor agrees to reimburse the Department for all funds paid by the Department to the Contractor for services provided to any individual who is found by the Department to be ineligible for such services at any time during the period of retention of records established herein.

2.5. **Maintenance of Records:** In addition to the eligibility records specified above, the Contractor covenants and agrees to maintain the following records during the Contract Period:

2.5.1. **Fiscal Records:** books, records, documents and other data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor during the Contract Period in the performance of the Contract, said records to be maintained in accordance with OMB Circular A-133.8.3. Medical Records: Where appropriate and as prescribed by the Department regulations, the Contractor shall retain medical records on each patient/recipient of services.

2.6. **Audit:** Contractor shall submit an annual audit to the Department within 60 days after the close of the agency fiscal year. It is recommended that the report be prepared in accordance with the provision of Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non Profit Organizations" and the provisions of Standards for Audit of Governmental Organizations, Programs, Activities and Functions, issued by the US General Accounting Office (GAO standards) as they pertain to financial compliance audits.

2.6.1. **Audit and Review:** During the term of this Contract and the period for retention hereunder, the Department, the United States Department of Health and Human Services, and any of their designated representatives shall have access to all reports and records maintained pursuant to the Contract for purposes of audit, examination, excerpts and transcripts.

2.6.2. **Audit Liabilities:** In addition to and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department, all payments made under the Contract to which exception has been taken or which have been disallowed because of such an exception.

2.7. **Confidentiality of Records:** All information, reports, and records owned by the Department, and maintained hereunder or provided by Department to Contractor, including any reports created from the data provided by the Department, in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directly connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is

prohibited except on written consent of the recipient, his attorney or guardian. Should the Department request the production of a report that is intended for public display, prior to the production, release, or display of said report, the Department will identify for the Contractor what data or information is not considered confidential. The Contractor may then only release or display the information specifically identified by the Department in the requested report.

Notwithstanding anything to the contrary contained herein the covenants and conditions contained in the Paragraph shall survive the termination of the Contract for any reason whatsoever.

2.8. Reserved.

2.9. Credits: All documents, notices, press releases, research reports and other materials prepared during or resulting from the performance of the services of the Contract shall include the following statement:

2.9.1. The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, with funds provided in part by the State of New Hampshire and/or such other funding sources as were available or required, e.g., the United States Department of Health and Human Services.

2.10. Reserved.

2.11. Subcontractors: DHHS recognizes that the Contractor may choose to use subcontractors with greater expertise to perform certain health care services or functions for efficiency or convenience, but the Contractor shall retain the responsibility and accountability for the function(s). Prior to subcontracting, the Contractor shall evaluate the subcontractor's ability to perform the delegated function(s). This is accomplished through a written agreement that specifies activities and reporting responsibilities of the subcontractor and provides for revoking the delegation or imposing sanctions if the subcontractor's performance is not adequate. Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions. When the Contractor delegates a function to a subcontractor, the Contractor shall do the following:

2.11.1. Evaluate the prospective subcontractor's ability to perform the activities, before delegating the function

2.11.2. Have a written agreement with the subcontractor that specifies activities and reporting responsibilities and how sanctions/revocation will be managed if the subcontractor's performance is not adequate

2.11.3. Monitor the subcontractor's performance on an ongoing basis

2.11.4. Provide to DHHS an annual schedule identifying all subcontractors, delegated functions and responsibilities, and when the subcontractor's performance will be reviewed.

2.11.5. DHHS shall, at its discretion, review and approve all subcontracts. If the Contractor identifies deficiencies or areas for improvement are identified, the Contractor shall take corrective action.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

3. DEFINITIONS

As used in the Contract, the following terms shall have the following meanings:

COSTS: Shall mean those direct and indirect items of expense determined by the Department to be allowable and reimbursable in accordance with cost and accounting principles established in accordance with state and federal laws, regulations, rules and orders.

DEPARTMENT: NH Department of Health and Human Services.

FINANCIAL MANAGEMENT GUIDELINES: Shall mean that section of the Contractor Manual which is entitled "Financial Management Guidelines" and which contains the regulations governing the financial activities of contractor agencies which have contracted with the State of NH to receive funds.

PROPOSAL: If applicable, shall mean the document submitted by the Contractor on a form or forms required by the Department and containing a description of the Services to be provided to eligible individuals by the Contractor in accordance with the terms and conditions of the Contract and setting forth the total cost and sources of revenue for each service to be provided under the Contract.

UNIT: For each service that the Contractor is to provide to eligible individuals hereunder, shall mean that period of time or that specified activity determined by the Department and specified in Exhibit B of the Contract.

FEDERAL/STATE LAW: Wherever federal or state laws, regulations, rules, orders, and policies, etc. are referred to in the Contract, the said reference shall be deemed to mean all such laws, regulations, etc. as they may be amended or revised from the time to time.

CONTRACTOR MANUAL: Shall mean that document prepared by the NH Department of Administrative Services containing a compilation of all regulations promulgated pursuant to the New Hampshire Administrative Procedures Act. NH RSA Ch 541-A, for the purpose of implementing State of NH and federal regulations promulgated thereunder.

SUPPLANTING OTHER FEDERAL FUNDS: The Contractor guarantees that funds provided under this Contract will not supplant any existing federal funds available for these services.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

4. REVISIONS TO GENERAL PROVISIONS

4.1. SUBPARAGRAPH 2 of the General Provisions of this contract, Employment of Contractor/Services to be Performed, is replaced as follows:

2. EMPLOYMENT OF CONTRACTOR/SERVICES TO BE PERFORMED.

The State of New Hampshire, acting through the agency identified in block 1.1 ("State"), engages contractor identified in block 1.3 ("Contractor") to perform, and the Contractor shall perform, the research, development and hosting services identified and more particularly described in the attached EXHIBIT A which is incorporated herein by reference ("Services").

4.2. SUBPARAGRAPH 3 of the General Provisions of this contract, Effective Date/Completion of Services, is replaced as follows:

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, this Agreement, and all obligations of the parties hereunder, shall not become effective until the date the Governor and Executive Council approve this Agreement ("Effective Date").

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor shall use all reasonable efforts to complete all Services by the Completion Date specified in block 1.7.

4.3. SUBPARAGRAPH 4 of the General Provisions of this contract, Conditional Nature of Agreement, is replaced as follows:

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including without limitation, the continuance of payments, in whole or in part, under this Agreement are contingent upon continued appropriation or availability of funds, including any subsequent changes to the appropriation or availability of funds affected by any state or federal legislative or executive action that reduces, eliminates, or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope of Services provided in Exhibit A, Scope of Services, in whole or in part. In no event shall the State be liable for any payments hereunder in excess of appropriated or available funds. In the event of a reduction, termination or modification of appropriated or available funds, the State shall have the right to withhold payment until such funds become available, if ever. The State shall have the right to reduce, terminate or modify services under this Agreement immediately upon giving the Contractor notice of such reduction, termination or modification. The State shall not be required to transfer funds from any other source or account into the Account(s) identified in block 1.6 of the General Provisions, Account Number, or any other account, in the event funds are reduced or unavailable.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

4.4. SUBPARAGRAPH 7 of the General Provisions of this contract, Personnel, is replaced as follows:

7. PERSONNEL.

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor agrees that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this Agreement. This provision shall survive termination of this Agreement.

7.3 The Contracting Officer specified in block 1.9. or his or her successor, shall be the State's representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer's decision shall be final for the State.

4.5. SUBPARAGRAPH 8 of the General Provisions of this contract, Event of Default, is replaced as follows:

8. EVENT OF DEFAULT/REMEDIES.

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

8.1.1 failure to perform the Services on schedule;

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

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

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

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

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall be withheld from the Contractor;

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

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

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

4.6. SUBPARAGRAPH 9 of the General Provisions of this contract, Data/Access/Confidentiality/ Preservation, is replaced as follows:

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

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

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

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

4.7. SUBPARAGRAPH 10 of the General Provisions of this contract, Termination, is replaced as follows:

10. TERMINATION.

10.1 In the event of an early termination of this Agreement for any reason other than the completion of the Services, the Contractor shall deliver to the Contracting Officer, not later than fifteen (15) days after the date of termination, a report ("Termination Report" describing in detail all Services performed, and the contract price earned, to and including the date of termination. The form, subject matter, content and number of copies of the Termination Report shall be identical to those of any Final Report described in the attached EXHIBIT A. In the event of early termination, the Contractor shall be reimbursed for all noncancelable obligations incurred prior to the effective date of termination.

10.2 Either party may terminate the Agreement at any time for any reason, at its sole discretion, 30 days after giving the other party written notice that the it is exercising its option to terminate the Agreement.

10.3 In the event of early termination, the Contractor shall, within 15 days of notice of early termination, develop and submit to the State a Transition Plan for services under the Agreement, including but not limited to, identifying the present and future needs of clients receiving services under the Agreement and establishes a process to meet those needs.

10.4 The Contractor shall fully cooperate with the State and shall promptly provide detailed information to support the Transition Plan including, but not limited to, any information or data requested by the State related to the termination of the Agreement and Transition Plan and shall provide ongoing communication and revisions of the Transition Plan to the State as requested.

10.5 In the event that services under the Agreement, including but not limited to clients receiving services under the Agreement are transitioned to having services delivered by another entity including contracted providers or the State, the Contractor shall provide a process for uninterrupted delivery of services in the Transition Plan.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT C
SPECIAL PROVISIONS

10.6 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.

4.8. SUBPARAGRAPH 13 of the General Provisions, Indemnification, is replaced as follows:

13. INDEMNIFICATON.

Contractor agrees to accept the responsibility for injury or damage to any person or persons or property that arise solely out of the Contractor's negligent acts or omissions in connection with this project. Contractor further agrees that the State shall not be liable for damages arising solely from injuries or damages sustained by any person or persons or property resulting from the negligent performance or omission by the Contractor of this Agreement.

4.9. SUBPARAGRAPH 14 of the General Provisions, Insurance, is replaced as follows:

14. INSURANCE.

14.1 The Contractor agrees to maintain Comprehensive General Liability insurance including Person Injury Coverage and Contractual Liability, with the minimum combined single limit for Bodily Injury and Property Damage, in accordance with the Contractor's regular requirements and practices. All insurance policies, as required by this Agreement, must be issued by an insurance company licensed to do business in the United States.

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

14.2.1 comprehensive general liability in the amount of $1,000,000 for each occurrence; excess/umbrella liability in the amount of $5,000,000 for each occurrence; and Errors and Omissions coverage in the amount of $1,000,000.

4.10. SUBPARAGRAPH 15 of the General Provisions, Workers' Compensation, is replaced as follows:

15. WORKERS' COMPENSATION.

University of Kansas employees are covered by the Workers Compensation Act, K.S.A. 44-501, through the State of Kansas. The University is also covered by automobile liability insurance in accordance with the provisions of K.S.A. 74-4707. Claims arising from bodily injury or death occurring as a result of acts or omissions by University employees working on this project may be subject to the provisions of the Kansas Tort Claims Act, K.S.A. 75-6101 et seq. Contractor agrees that State shall not be liable for damages resulting from injuries or damages sustained by any person or persons or property resulting solely from the negligent performance or omission by Contractor or employee of this project.

4.11. SUBPARAGRAPH 19 OF THE General Provisions, Construction of Agreement and Terms is deleted.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT D
ADMINISTRATIVE SERVICES

1. STATE MEETINGS AND REPORTS

The State believes that effective communication and reporting are essential to project success.

The Vendor's Key Project Staff shall participate in meetings over the phone as requested by the State, in accordance with the requirements and terms of this Contract.

a. **Special Meetings:** Need may arise for a special meeting with State leaders or Project stakeholders to address specific issues.

b. **Exit Meeting:** Participants will include Project leaders from the Vendor and the State. Discussion will focus on lessons learned from the Project and on follow up options that the State may wish to consider.

The State expects the Vendor to prepare agendas and background for and minutes of meetings. Background for each status meeting must include an updated Work Plan. Drafting of formal presentations, such as a presentation for the kickoff meeting, will also be the Vendor's responsibility.

As reasonably requested by the State, the Vendor shall provide the State with information or reports regarding the Project. The Vendor shall prepare special reports and presentations relating to Project Management, and shall assist the State in preparing reports and presentations, as reasonably requested by the State, all at no additional cost to the State.

2. STATE-OWNED DOCUMENTS AND DATA

The Vendor shall provide the State access to all State-owned documents, State Data, State-owned materials, State-owned reports, and other State-owned work in progress relating to the Contract that State has provided to Vendor ("State Owned Documents"). Upon expiration or termination of the Contract with the State, the Vendor shall turn over all State-owned documents, material, reports, and work in progress relating to the Contract to the State at no additional cost to the State. State-owned Documents provided to the Vendor in electronic format must be returned to State in electronic format. State-owned Documents provided to the Vendor in paper format must be returned to State in paper format upon State's request.

3. RECORDS RETENTION AND ACCESS REQUIREMENTS

The Vendor shall agree to the conditions of all applicable State and federal laws and regulations, which are incorporated herein by reference, regarding retention and access requirements, including without limitation, retention policies consistent with the OMB circulars A-21, A-110, or A-133, as applicable.

The Vendor and its Subcontractors shall maintain books, records, documents, and other evidence of accounting procedures and practices, which properly and sufficiently reflect all direct and indirect costs invoiced in the performance of their respective obligations under the Contract. The Vendor and its Subcontractors shall retain all such records for three (3) years following termination of the Contract, including any extensions. Records relating to any litigation matters regarding the Contract shall be kept for one (1) year following the termination of all litigation, including the termination of all appeals or the expiration of the appeal period.

Upon prior notice and subject to reasonable time frames, all such records shall be subject to inspection, examination, audit and copying by personnel so authorized by the State and federal officials so authorized by law, rule, regulation or Contract, as applicable. Access to these items shall be provided within Merrimack County of the State of New Hampshire, unless otherwise agreed by the State. Delivery of and access to such records shall be at no cost to the State during the three (3) year period following termination of the Contract and one (1) year term following litigation relating to the Contract, including all appeals or the expiration of the appeal period. The Vendor shall include the record retention and review requirements of this section in any of its subcontracts.

The State agrees that books, records, documents, and other evidence of accounting procedures and practices related to the Vendor's cost structure and profit factors shall be excluded from the State's review unless the cost of any other Services or Deliverables provided under the Contract is calculated or derived from the cost structure or profit factors.

4. ACCOUNTING REQUIREMENTS

The Vendor shall maintain an accounting system in accordance with generally accepted accounting principles. The costs applicable to the Contract shall be ascertainable from the accounting system and the Vendor shall maintain records pertaining to the Services and all other costs and expenditures.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138 - PART 3
CONSOLIDATED EXHIBITS
EXHIBIT E-1
SECURITY AND INFRASTRUCTURE

1. SECURITY

The Vendor shall ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of the State's Information Technology resources, information, and services. The Vendor shall provide the State resources, information, and services during the term of the contract, with the appropriate infrastructure and security controls to ensure business continuity and to safeguard the confidentiality and integrity of State networks, systems and data.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS -PART 3
EXHIBIT F
TESTING SERVICES

The Vendor shall provide the following products and services, which include but are not limited to:

1. TESTING AND ACCEPTANCE

1.1 Security Review and Testing

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

All components of the Software shall be reviewed and tested to ensure they protect the State's data assets.

Tests shall focus on the technical, administrative and physical security controls that have been designed into the system architecture in order to provide the necessary confidentiality, integrity and availability. Tests shall, at a minimum, cover each of the service components. Test procedures may include Penetration Tests (pen test) or Code Analysis and Review.

Service Component	Defines the set of capabilities that:
Identification and Authentication	Supports obtaining information about those parties attempting to log onto a system or application for security purposes and the validation of users
Access Control	Supports the management of permissions for logging onto a computer or network
Encryption	Supports the encoding of data for security purposes
Intrusion Detection	Supports the detection of illegal entrance into a computer system
Verification	Supports the confirmation of authority to enter a computer system, application or network
Digital Signature	Guarantees the unaltered state of a file
User Management	Supports the administration of computer, application and network accounts within an organization.
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network
Audit Trail Capture and Analysis	Supports the identification and monitoring of activities within an application or system
Input Validation	Ensures the application is protected from buffer overflow, cross-site scripting, SQL injection, and unauthorized access of files and/or directories on the server.

The Vendor must acknowledge its responsibilities for security testing.

The Vendor may be required to provide 3rd party testing. All Software and hardware shall be free of malicious code (malware).

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT G
MAINTENANCE AND SUPPORT SERVICES

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT H
REQUIREMENT RESPONSES

Table C-2 General System Requirements

The hosting service provided by the University of Kansas must conform to the information technology Privacy, and security standards of the University of Kansas, which include but are not limited to:

University of Kansas Security Standards

The primary information can be found at:

KORA – Kansas Open Records Act
http://www.privacy.ku.edu/resources/hipaa.shtml

Information Access and Technology Policies
http://www.policy.ku.edu/infoaccess.shtml

Specific Documents:	
Information Access	**Privacy & Security**
Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff	Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff
Access to Libraries Services, Policies on	Access to Libraries Services, Policies on
Blackboard, Policies and Procedures Related to Use of, University of Kansas	Blackboard, Policies and Procedures Related to Use of, University of Kansas
Circulation Policies and Procedures, KU Libraries	Clinic Policies and Procedures Regarding Privacy & Security of Patient Information
Code of Conduct for Library Users, KU Libraries	Code of Conduct for Library Users, KU Libraries
Confidentiality Agreement for Use of Alumni Information System	Confidentiality of Proposals and Awards
Content Management System Policy	Credit Card Information
Data Classification and Handling Policy	Data Center and Server Room Policy
Data Classification and Handling Procedures Guide	Data Center and Server Room Standards
Guest Access to Wireless Network	Data Classification and Handling Policy
Index to Policies and Procedures, KU Libraries	Data Classification and Handling Procedures Guide
Information Access Control Policy	Education Credential Files: University Career Center
Internal Audit Charter	Electronic Data Disposal Policy
Investigative Contact by Law Enforcement, Policy and Procedures	Electronic Data Disposal Procedure
KLETC Open Records Request Policy	Gramm-Leach-Bliley Student Financial Information Security Program
KU Alumni Association E-mail Policy	Health Information Privacy Policy: Watkins Health Services
KU Card Center - Obtaining the KU Card	

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT H
REQUIREMENT RESPONSES

KU Card Center - Request for Release of Photo KU Card Center - Terms and Conditions of the KU Card KU Libraries: Access, Circulation, and Request Services - Requirements for KU Students, Faculty, Staff, and Affiliates on the Lawrence and Edwards Campuses KU Libraries: Access, Circulation, and Request Services for KU Faculty, Staff, and Affiliates KU Libraries: Access, Circulation, and Request Services for KU Graduate Students KU Libraries: Access, Circulation, and Request Services for KU Undergraduate and Law Students KU Libraries: Code of Conduct for Library Users Library Services for Other Users Maintenance of Alumni Records Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs Open Access Policy for University of Kansas Scholarship Records Retention Schedule Requests for Alumni Records Safety and Security of Funds Student Record Policy Primary Records Custodians Student Records Policy: Office of the University Registrar Systems Development Life Cycle (SDLC) Policy Systems Development Life Cycle (SDLC) Standard Undergraduate Admission Records Retention Policy: Office of Admissions and Scholarships Virtual Private Network (VPN) Remote Access Procedure Virtual Private Network (VPN) Service on the University of Kansas Data Network	Identity Theft Prevention Program Information Access Control Policy Information Technology Security Policy Instructions for a lost, stolen, or damaged KU Card KU Card Center - Disclosure Statement KU Card Center - Report KU Card Lost or Stolen KU Card Center - Request for Release of Photo KU Libraries: Code of Conduct for Library Users KU Libraries: Privacy and Confidentiality KUMC Computer Security Incident Response KUMC Computer Security Policy KUMC Gramm-Leach-Bliley Act KUMC Mobile Device Security KUMC Password Policy KUMC Payment Card Acceptance KUMC Secure Application Development KUMC Sensitive Information in Electronic and Paper-Based Systems KUMC Vulnerability Management KUMC Working with Vendor Systems Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs Password Policy Privacy Policy, General Privacy Policy: Counseling and Psychological Services Record Confidentiality Records Retention Schedule Roles and Responsibilities for Information Management Policy Safety and Security of Funds Security Policy Procedure: Risk and Vulnerability Guidelines Security Policy: Assessment for Local IT Environments and Outline for Risk and Vulnerability Assessments Student Record Policy Primary Records Custodians Student Records Policy: Office of the University Registrar Systems Development Life Cycle (SDLC) Policy

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT H
REQUIREMENT RESPONSES

	Systems Development Life Cycle (SDLC) Standard Unauthorized Peer-to-Peer File Sharing ..
Information Technology Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Acceptable Use of Electronic Information Resources Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Code of Conduct for Library Users, KU Libraries Content Management System Policy Data Center and Server Room Policy Data Center and Server Room Standards Electronic Mail Policy Internet-Based Credit Card Processing Policy KUMC Computer Equipment Disposal and Media Sanitization KUMC Copyright Policy and Guidelines KUMC Email Use KUMC Internet Use KUMC Ownership of Computing Hardware and Software KUMC Roles of Technical Support Associates KUMC Social Media KUMC Software Licensing KUMC Student Email Use KUMC Web Resource Accessibility KUMC Web Server Appropriate Use KUMC Working with Vendor Systems Mobile Communication & Information Devices Network Policy Server Registration & Centralization Telecommunications Physical Infrastructure Telecommunications Wiring Policy Unauthorized Peer-to-Peer File Sharing Visual Identity (Web Standards) Manual for the University of Kansas Wireless Local Area Network (LAN) Systems Policy	

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT H
REQUIREMENT RESPONSES

Specific Documents:

Data Classification and Handling Policy
https://documents.ku.edu/policies/IT/DataClassificationandHandlingPolicy.htm

Data Classification and Handling Guide
https://documents.ku.edu/policies/IT/DataClassificationandHandlingProceduresGuide.htm

Data Center and Server Room Policy
https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Policy.htm

Data Center and Server Room Standards
https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Standards.htm

Data Disposal Policy
https://documents.ku.edu/policies/IT/DataDisposalPolicy.htm

Data Disposal Procedure
https://documents.ku.edu/policies/IT/DataDisposalProcedure.htm

Information Access Control Policy
https://documents.ku.edu/policies/IT/InformationAccessControlPolicy.htm

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-26270CAC6B90

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT I
WORK PLAN

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT J
SOFTWARE LICENSE

1. RESTRICTIONS

Except as otherwise permitted under the Contract, the State agrees not to:

a. Remove or modify any program markings or any notice of the Vendor's proprietary rights;
b. Make the programs or materials available in any manner to any third party for use in the third party's business operations, except as permitted herein; or
c. Cause or permit reverse engineering, disassembly or recompilation of the programs.

2. TITLE

Title, right, and interest (including all ownership and intellectual property rights) in the software, and its associated documentation, shall remain with the Vendor..

3. VIRUSES

The Vendor shall host software that shall not contain any viruses, destructive programming, or mechanisms designed to disrupt the performance of the software in accordance with the specifications.

As a part of its internal development process, the Vendor will use reasonable efforts to test the software for viruses.

4. AUDIT

Upon forty-five (45) days written notice, the Vendor may audit the State's use of the programs at the Vendor's sole expense. The State agrees to cooperate with the Vendor's audit and provide reasonable assistance and access to information. The State agrees that the Vendor shall not be responsible for any of the State's reasonable costs incurred in cooperating with the audit. Notwithstanding the foregoing, the Vendor's audit rights are subject to applicable State and federal laws and regulations.

5. SOFTWARE NON-INFRINGEMENT

The Vendor agrees that it has good title to, or the right to allow the State to use all services, equipment, and software ("Material") provided under this Contract, and that such services, equipment, and software do not violate or infringe any patent, trademark, copyright, trade name or other intellectual property rights or misappropriate a trade secret of any third party.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDTED EXHIBITS - PART 3
EXHIBIT K
WARRANTY AND WARRANTY SERVICES

1. WARRANTIES

1.1. Services

The Vendor agrees that the system will operate to conform to the specifications, terms, and requirements of the Contract.

1.2. Non-Infringement

The Vendor agrees that it has good title to, or the right to allow the State to use, all services, equipment, and software ("Material") provided under this Contract, and that such services, equipment, and software do not violate or infringe any patent, trademark, copyright, trade name or other intellectual property rights or misappropriate a trade secret of any third party.

1.3. Viruses; Destructive Programming.

The Vendor warrants that the Hosted Environment shall not contain any viruses, destructive programming, or mechanisms designed to disrupt the performance of the software in accordance with the specifications.

1.4. Services

The Vendor agrees that the services provided to State under this Agreement will be reasonably accurate in accordance with scientifically accepted standards. THE VENDOR DISCLAIMS ALL WARRANTIES INCLUDING ALL IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

1.5. Personnel

The Vendor agrees that all personnel engaged in the Services shall be qualified to perform the services, and, if applicable, shall be properly licensed and otherwise authorized to do so under all applicable laws.

1.6. Breach of Data

The Vendor shall be solely liable for costs associated with any breach of State data housed at their location(s) including, but not limited to, notification and any damages assessed by the courts.

2. WARRANTY PERIOD

The Warranty Period shall remain in effect until the conclusion or termination of this Contract and any extensions, with the exception of the warranty for non-infringement, which shall survive the termination of this Contract.

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT L
TRAINING SERVICES

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT M
NH DIVISION FOR CHILDREN, YOUTH & FAMILY RFP

RESERVED

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT N
VENDOR QUOTES BY REFERENCE

The Vendor's Quotes to the Division for Children, Youth & Family is incorporated herein by reference, as follows:

- January 1, 2015 – June 30, 2016 - $18,000
- July 1, 2016 – June 30, 2019 - $43,200

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH & HUMAN SERVICES
RESULTS ORIENTED MANAGEMENT
CONTRACT 2014-138
CONSOLIDATED EXHIBITS - PART 3
EXHIBIT O
SPECIAL EXHIBITS, ATTACHMENTS, AND CERTIFICATES

Attached are:

A. Certificate of Good Standing

B. Vendor's Certificate of Vote/Authority

C. Vendor's Certificate of Insurance

D. Department of Health & Human Services Exhibits D through J

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.). The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), and require certification by grantees (and by inference, sub-grantees and sub-contractors), prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee (and by inference, sub-grantees and sub-contractors) that is a State may elect to make one certification to the Department in each federal fiscal year in lieu of certificates for each grant during the federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment. Contractors using this form should send it to:

Commissioner
NH Department of Health and Human Services
129 Pleasant Street,
Concord, NH 03301-6505

1. The grantee certifies that it will or will continue to provide a drug-free workplace by:
   1.1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
   1.2. Establishing an ongoing drug-free awareness program to inform employees about
      1.2.1. The dangers of drug abuse in the workplace;
      1.2.2. The grantee's policy of maintaining a drug-free workplace;
      1.2.3. Any available drug counseling, rehabilitation, and employee assistance programs; and
      1.2.4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
   1.3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
   1.4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
      1.4.1. Abide by the terms of the statement; and
      1.4.2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
   1.5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 1.4.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted

1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.

2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code) (list each location)

Check ☐ if there are workplaces on file that are not identified here.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A8BAB7B-448B-435F-971F-28270CAC6B90

CERTIFICATION REGARDING LOBBYING

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Section 319 of Public Law 101-121, Government wide Guidance for New Restrictions on Lobbying, and 31 U.S.C. 1352, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

Programs (indicate applicable program covered):
*Temporary Assistance to Needy Families under Title IV-A
*Child Support Enforcement Program under Title IV-D
*Social Services Block Grant Program under Title XX
*Medicaid Program under Title XIX
*Community Services Block Grant under Title VI
*Child Care Development Block Grant under Title IV

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor).

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor), the undersigned shall complete and submit Standard Form LLL, (Disclosure Form to Report Lobbying, in accordance with its instructions, attached and identified as Standard Exhibit E-I.)

3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Contractor Initials: KMB
Date 12/19/14

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB78-448B-435F-971F-28270CAC6B90

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Executive Office of the President, Executive Order 12549 and 45 CFR Part 76 regarding Debarment, Suspension, and Other Responsibility Matters, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal (contract), the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services' (DHHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when DHHS determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, DHHS may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the DHHS agency to whom this proposal (contract) is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549: 45 CFR Part 76. See the attached definitions.

6. The prospective primary participant agrees by submitting this proposal (contract) that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by DHHS.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by DHHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or involuntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, DHHS may terminate this transaction for cause or default.

PRIMARY COVERED TRANSACTIONS

11. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
    - 11.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
    - 11.2. have not within a three-year period preceding this proposal (contract) been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or a contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
    - 11.3. are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (l)(b) of this certification; and
    - 11.4. have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

12. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal (contract).

LOWER TIER COVERED TRANSACTIONS

13. By signing and submitting this lower tier proposal (contract), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:
    - 13.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
    - 13.2. where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal (contract).

14. The prospective lower tier participant further agrees by submitting this proposal (contract) that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

CERTIFICATION OF COMPLIANCE WITH REQUIREMENTS PERTAINING TO FEDERAL NONDISCRIMINATION, EQUAL TREATMENT OF FAITH-BASED ORGANIZATIONS AND WHISTLEBLOWER PROTECTIONS

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Contractor will comply, and will require any subgrantees or subcontractors to comply, with any applicable federal nondiscrimination requirements, which may include:

- the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Section 3789d) which prohibits recipients of federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act requires certain recipients to produce an Equal Employment Opportunity Plan;

- the Juvenile Justice Delinquency Prevention Act of 2002 (42 U.S.C. Section 5672(b)) which adopts by reference, the civil rights obligations of the Safe Streets Act. Recipients of federal funding under this statute are prohibited from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act includes Equal Employment Opportunity Plan requirements;

- the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin in any program or activity);

- the Rehabilitation Act of 1973 (29 U.S.C. Section 794), which prohibits recipients of Federal financial assistance from discriminating on the basis of disability, in regard to employment and the delivery of services or benefits, in any program or activity;

- the Americans with Disabilities Act of 1990 (42 U.S.C. Sections 12131-34), which prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities, and transportation;

- the Education Amendments of 1972 (20 U.S.C. Sections 1681, 1683, 1685-86), which prohibits discrimination on the basis of sex in federally assisted education programs;

- the Age Discrimination Act of 1975 (42 U.S.C. Sections 6106-07), which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. It does not include employment discrimination;

- 28 C.F.R. pt. 31 (U.S. Department of Justice Regulations – OJJDP Grant Programs); 28 C.F.R. pt. 42 (U.S. Department of Justice Regulations – Nondiscrimination; Equal Employment Opportunity; Policies and Procedures); Executive Order No. 13279 (equal protection of the laws for faith-based and community organizations); Executive Order No. 13559, which provide fundamental principles and policy-making criteria for partnerships with faith-based and neighborhood organizations;

- 28 C.F.R. pt. 38 (U.S. Department of Justice Regulations – Equal Treatment for Faith-Based Organizations); and Whistleblower protections 41 U.S.C. §4712 and The National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) the Pilot Program for Enhancement of Contract Employee Whistleblower Protections, which protects employees against reprisal for certain whistle blowing activities in connection with federal grants and contracts.

The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, to the applicable contracting agency or division within the Department of Health and Human Services, and to the Department of Health and Human Services Office of the Ombudsman.

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this proposal (contract) the Contractor agrees to comply with the provisions indicated above.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to $1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this contract, the Contractor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

HEALTH INSURANCE PORTABLITY ACT
BUSINESS ASSOCIATE AGREEMENT

The Contractor identified in Section 1.3 of the General Provisions of the Agreement agrees to comply with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 applicable to business associates. As defined herein, "Business Associate" shall mean the Contractor and subcontractors and agents of the Contractor that receive, use or have access to protected health information under this Agreement and "Covered Entity" shall mean the State of New Hampshire, Department of Health and Human Services.

(1) Definitions.

a. "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.

b. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.

c. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.

d. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.

e. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.

f. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.

g. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, TitleXIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.

h. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164 and amendments thereto.

i. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).

j. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.

k. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

l. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.103.

m. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.

n. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.

o. "Unsecured Protected Health Information" means protected health information that is not secured by a technology standard that renders protected health information unusable, unreadable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.

p. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH
Act.

(2) **Business Associate Use and Disclosure of Protected Health Information.**

a. Business Associate shall not use, disclose, maintain or transmit Protected Health Information (PHI) except as reasonably necessary to provide the services outlined under Exhibit A of the Agreement. Further, Business Associate, including but not limited to all its directors, officers, employees and agents, shall not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.

b. Business Associate may use or disclose PHI:
   I. For the proper management and administration of the Business Associate;
   II. As required by law, pursuant to the terms set forth in paragraph d. below; or
   III. For data aggregation purposes for the health care operations of Covered Entity.

c. To the extent Business Associate is permitted under the Agreement to disclose PHI to a third party, Business Associate must obtain, prior to making any such disclosure, (i) reasonable assurances from the third party that such PHI will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the third party; and (ii) an agreement from such third party to notify Business Associate, in accordance with the HIPAA Privacy, Security, and Breach Notification Rules of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.

d. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business

Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.

e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

(3) Obligations and Activities of Business Associate.

a. The Business Associate shall notify the Covered Entity's Privacy Officer immediately after the Business Associate becomes aware of any use or disclosure of protected health information not provided for by the Agreement including breaches of unsecured protected health information and/or any security incident that may have an impact on the protected health information of the Covered Entity.

b. The Business Associate shall immediately perform a risk assessment when it becomes aware of any of the above situations. The risk assessment shall include, but not be limited to:

- The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
- The unauthorized person used the protected health information or to whom the disclosure was made;
- Whether the protected health information was actually acquired or viewed
- The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment within 48 hours of the breach and immediately report the findings of the risk assessment in writing to the Covered Entity.

c. The Business Associate shall comply with all sections of the Privacy, Security, and Breach Notification Rule.

d. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.

e. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section 3 (l). The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI

pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard Paragraph #13 of the standard contract provisions (P-37) of this Agreement for the purpose of use and disclosure of protected health information.

f. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.

g. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.

h. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.

i. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.

j. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.

k. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.

l. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business

Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

(4) Obligations of Covered Entity

a. Covered Entity shall notify Business Associate of any changes or limitation(s) in its Notice of Privacy Practices provided to individuals in accordance with 45 CFR Section 164.520, to the extent that such change or limitation may affect Business Associate's use or disclosure of PHI.

b. Covered Entity shall promptly notify Business Associate of any changes in, or revocation of permission provided to Covered Entity by individuals whose PHI may be used or disclosed by Business Associate under this Agreement, pursuant to 45 CFR Section 164.506 or 45 CFR Section 164.508.

c. Covered entity shall promptly notify Business Associate of any restrictions on the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(5) Termination for Cause

In addition to Paragraph 10 of the standard terms and conditions (P-37) of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

(6) Miscellaneous

a. Definitions and Regulatory References. All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.

b. Amendment. Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.

c. Data Ownership. The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity.

d. Interpretation. The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule.

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A6BAB7B-448B-435F-971F-28270CAC6B90

e. Segregation. If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.

f. Survival. Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section (3) l, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

NHDHHS	University of Kansas Center for Research, Inc.
The State	Name of the Contractor
Signature of Authorized Representative	Kristi M. Billinger Signature of Authorized Representative
MARYANNE BERRY	Kristi Billinger
Name of Authorized Representative	Name of Authorized Representative
Associate Commissioner	Director, Research Administration
Title of Authorized Representative	Title of Authorized Representative
1/24/15	12/19/14
Date	Date

Contractor Initials KMB

Date 12/19/14

Docusign Envelope ID: CF4B50D6-DA58-45CA-8624-90ABD86E94E1

DocuSign Envelope ID: 3A5BAB7B-448B-435F-971F-28270CAC6B90

CERTIFICATION REGARDING THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA) COMPLIANCE

The Federal Funding Accountability and Transparency Act (FFATA) requires prime awardees of individual Federal grants equal to or greater than $25,000 and awarded on or after October 1, 2010, to report on data related to executive compensation and associated first-tier sub-grants of $25,000 or more. If the initial award is below $25,000 but subsequent grant modifications result in a total award equal to or over $25,000, the award is subject to the FFATA reporting requirements, as of the date of the award.
In accordance with 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), the Department of Health and Human Services (DHHS) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

1. Name of entity
2. Amount of award
3. Funding agency
4. NAICS code for contracts / CFDA program number for grants
5. Program source
6. Award title descriptive of the purpose of the funding action
7. Location of the entity
8. Principle place of performance
9. Unique identifier of the entity (DUNS #)
10. Total compensation and names of the top five executives if:
    - 10.1. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than $25M annually and
    - 10.2. Compensation information is not already available through reporting to the SEC.

Prime grant recipients must submit FFATA required data by the end of the month, plus 30 days, in which the award or award amendment is made.
The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:
The below named Contractor agrees to provide needed information as outlined above to the NH Department of Health and Human Services and to comply with all applicable provisions of the Federal Financial Accountability and Transparency Act.

Contractor Name: University of Kansas Center for Research, Inc.

12/19/14
Date

Kristi M. Billinger
Name: Kristi Billinger
Title: Director, Research Administration