



Nicholas A. Toumpas  
Commissioner

Mary Ann Cooney  
Associate Commissioner

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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

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
			<b>Total:</b>	<b>\$61,200</b>

### **EXPLANATION**

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

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

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

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

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

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

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

Her Excellency, Governor Margaret Wood Hassan

And the Honorable Council

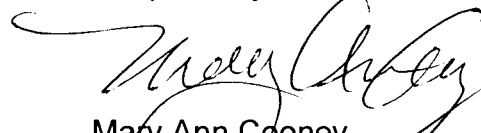
Page 3 of 3

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

Area Served: Statewide.

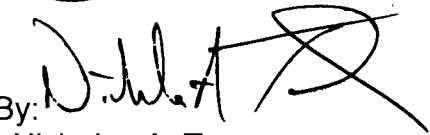
Source of Funds: 100% General Funds.

Respectfully submitted,



Mary Ann Cooney  
Associate Commissioner

Approved By:



Nicholas A. Toumpas  
Commissioner



**STATE OF NEW HAMPSHIRE**  
**DEPARTMENT OF INFORMATION TECHNOLOGY**

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

**Steven J. Kelleher**  
*Acting Commissioner*

February 4, 2014

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

Dear Commissioner Toumpas:

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

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

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

Sincerely,

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

Steven J. Kelleher

SJK/ltn  
Contract 2014-138

cc: Eric Borrin, DHHS  
Leslie Mason, DoIT

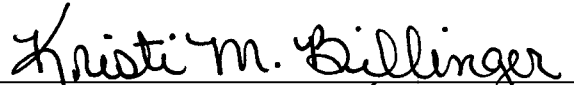

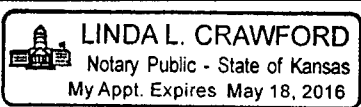
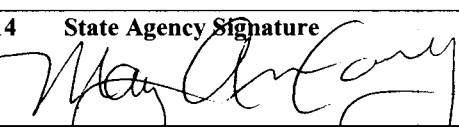
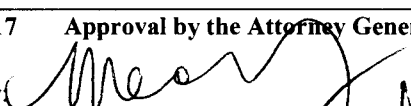
Subject: Results Oriented Management (ROM)

CONTRACT 2014-138  
AGREEMENT - PART 1

**AGREEMENT**

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

**GENERAL PROVISIONS****1. IDENTIFICATION.**

<b>1.1 State Agency Name</b> Department of Health & Human Services Division for Children, Youth & Families		<b>1.2 State Agency Address</b> 129 Pleasant St Concord, NH 03301	
<b>1.3 Contractor Name</b> University of Kansas Center for Research, Inc.		<b>1.4 Contractor Address</b> 2385 Irving Hill Road Lawrence, KS 66045	
<b>1.5 Contractor Phone Number</b> (785) 864-3441	<b>1.6 Account Number</b>	<b>1.7 Completion Date</b> June 30, 2019	<b>1.8 Price Limitation</b> \$61,200
<b>1.9 Contracting Officer for State Agency</b> Eric D. Borrin		<b>1.10 State Agency Telephone Number</b> (603) 271-9558	
<b>1.11 Contractor Signature</b> 		<b>1.12 Name and Title of Contractor Signatory</b> Kristi Billinger Director, Research Administration	
<b>1.13 Acknowledgement:</b> State of <u>KS</u> , County of <u>Douglas</u> On <u>12/19/2014</u> , before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.			
<b>1.13.1 Signature of Notary Public or Justice of the Peace</b>  [Seal]			
<b>1.13.2 Name and Title of Notary or Justice of the Peace</b>			
<b>1.14 State Agency Signature</b> 		<b>1.15 Name and Title of State Agency Signatory</b> Mary Ann Cooney Associate Commissioner	
<b>1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable)</b> By: _____ Director, On: _____			
<b>1.17 Approval by the Attorney General (Form, Substance and Execution)</b> By:  Megan A. York - Attorney On: <u>2/10/15</u>			
<b>1.18 Approval by the Governor and Executive Council</b> 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

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.

**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.

<b>Acceptance</b>	Notice from the State that a Deliverable has satisfied Acceptance Test or Review.
<b>Acceptance Letter</b>	An Acceptance Letter provides notice from the State that a Deliverable has satisfied Acceptance Tests or Review.
<b>Acceptance Test Plan</b>	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.
<b>Acceptance Test and Review</b>	Tests performed to determine that no Defects exist in the application Software or the System
<b>Access Control</b>	Supports the management of permissions for logging onto a computer or network
<b>Agreement</b>	A contract duly executed and legally binding.
<b>Appendix</b>	Supplementary material that is collected and appended at the back of a document
<b>Audit Trail Capture and Analysis</b>	Supports the identification and monitoring of activities within an application or system
<b>Best and Final Offer (BAFO)</b>	For negotiated procurements, a Vendor's final offer following the conclusion of discussions.
<b>CCP</b>	Change Control Procedures
<b>CR</b>	Change Request
<b>COTS</b>	Commercial Off-The-Shelf Software
<b>CM</b>	Configuration Management
<b>Certification</b>	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.
<b>Change Control</b>	Formal process for initiating changes to the proposed solution or process once development has begun.
<b>Change Order</b>	Formal documentation prepared for a proposed change in the Specifications.
<b>Completion Date</b>	End date for the Contract
<b>Confidential Information</b>	Information required to be kept Confidential from unauthorized disclosure <i>under the Contract</i>
<b>Contract</b>	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.
<b>Contract Conclusion</b>	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.
<b>Contract Documents</b>	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**

<b>Contract Managers</b>	The persons identified by the State and the Vendor who shall be responsible for all contractual authorization and administration of the Contract. These responsibilities shall include but not be limited to processing Contract Documentation, obtaining executive approvals, tracking costs and payments, and representing the parties in all Contract administrative activities. (See Section 4: <i>Contract Management</i> )
<b>Contracted Vendor/Vendor</b>	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.
<b>Conversion Test</b>	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.
<b>COTS</b>	Commercial off the Shelf
<b>Cure Period</b>	The thirty (30) day period following written notification of a default within which a contracted vendor must cure the default identified.
<b>Custom Code</b>	Code developed by the Vendor specifically for this project for the State of New Hampshire
<b>Custom Software</b>	Software developed by the Vendor specifically for this project for the State of New Hampshire
<b>Data</b>	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
<b>DBA</b>	Database Administrator
<b>Deficiencies/Defects</b>	<p>A failure, deficiency or defect in a Deliverable resulting in a Deliverable, the Software, or the System, not conforming to its Specifications.</p> <p><b>Class A Deficiency</b> – <i>Software</i> - Critical, does not allow System to operate, no work around, demands immediate action; <i>Written Documentation</i> - missing significant portions of information or unintelligible to State; <i>Non Software</i> - Services were inadequate and require re-performance of the Service.</p> <p><b>Class B Deficiency</b> – <i>Software</i> - important, does not stop operation and/or there is a work around and user can perform tasks; <i>Written Documentation</i> - portions of information are missing but not enough to make the document unintelligible; <i>Non Software</i> - Services were deficient, require reworking, but do not require re-performance of the Service.</p> <p><b>Class C Deficiency</b> – <i>Software</i> - minimal, cosmetic in nature, minimal effect on System, low priority and/or user can use System; <i>Written Documentation</i> - minimal changes required and of minor editing nature; <i>Non Software</i> - Services require only minor reworking and do not require re-performance of the Service.</p>
<b>Deliverable</b>	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.
<b>Department</b>	An agency of the State
<b>Department of Information Technology (DoIT)</b>	The Department of Information Technology established under RSA 21-R by the Legislature effective September 5, 2008.
<b>Documentation</b>	All information that describes the installation, operation, and use of the Software, either in printed or electronic format.
<b>Digital Signature</b>	Guarantees the unaltered state of a file
<b>Effective Date</b>	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
<b>Encryption</b>	Supports the encoding of data for security purposes
<b>Enhancements</b>	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
<b>Firm Fixed Price Contract</b>	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
<b>Fully Loaded</b>	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
<b>GAAP</b>	Generally Accepted Accounting Principles
<b>Governor and Executive Council</b>	The New Hampshire Governor and Executive Council.
<b>Harvest</b>	Software to archive and/or control versions of software
<b>Identification and Authentication</b>	Supports obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users
<b>Implementation</b>	The process for making the System fully operational for processing the Data.
<b>Implementation Plan</b>	Sets forth the transition from development of the System to full operation, and includes without limitation, training, business and technical procedures.
<b>Information Technology (IT)</b>	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.
<b>Input Validation</b>	Ensure the application is protected from buffer overflow, cross-site scripting, SQL injection, and canonicalization
<b>Intrusion Detection</b>	Supports the detection of illegal entrance into a computer system
<b>Invoking Party</b>	In a dispute, the party believing itself aggrieved
<b>Key Project Staff</b>	Personnel identified by the State and by the contracted Vendor as essential to work on the Project.

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<b>Licensee</b>	The State of New Hampshire
<b>Non Exclusive Contract</b>	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.
<b>Non-Software Deliverables</b>	Deliverables that are not Software Deliverables or Written Deliverables, e.g., meetings, help support, services, other
<b>Normal Business Hours</b>	Normal Business Hours – 8:00 a.m. to 5:00 p.m. EST, Monday through Friday excluding State of New Hampshire holidays. State holidays are: New Year's Day, Martin Luther King Day, President's Day, Memorial Day, July 4 <sup>th</sup> , Labor Day, Veterans Day, Thanksgiving Day, the day after Thanksgiving Day, and Christmas Day. Specific dates will be provided
<b>Notice to Proceed (NTP)</b>	The State Contract Manager's written direction to the Vendor to begin work on the Contract on a given date and time
<b>Open Data Formats</b>	A data format based on an underlying Open Standard.
<b>Open Source Software</b>	Software that guarantees the user unrestricted use of the Software as defined in RSA 21-R:10 and RSA 21-R:11.
<b>Open Standards</b>	Specifications for the encoding and transfer of computer data that is defined in RSA 21-R:10 and RSA 21-R:13.
<b>Operating System</b>	System is fully functional, all Data has been loaded into the System, is available for use by the State in its daily operations.
<b>Operational</b>	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.
<b>Order of Precedence</b>	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
<b>Project</b>	The planned undertaking regarding the entire subject matter of an RFP and Contract and the activities of the parties related hereto.
<b>Project Team</b>	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
<b>Project Management Plan</b>	A document that describes the processes and methodology to be employed by the Vendor to ensure a successful Project.
<b>Project Managers</b>	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)
<b>Project Staff</b>	State personnel assigned to work with the Vendor on the Project
<b>Proposal</b>	The submission from a Vendor in response to the Request for a Proposal or Statement of Work
<b>Regression Test Plan</b>	A plan integrated into the Work Plan used to ascertain whether

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	fixes to Defects have caused errors elsewhere in the application/process.
<b>Review</b>	The process of reviewing Deliverables for Acceptance
<b>Review Period</b>	The period set for review of a Deliverable. If none is specified then the Review Period is five (5) business days.
<b>RFP (Request for Proposal)</b>	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
<b>Role/Privilege Management</b>	Supports the granting of abilities to users or groups of users of a computer, application or network
<b>SaaS- Software as a Service</b>	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.
<b>Schedule</b>	The dates described in the Work Plan for deadlines for performance of Services and other Project events and activities under the Contract
<b>Service Level Agreement (SLA)</b>	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.
<b>Services</b>	The work or labor to be performed by the Vendor on the Project as described in the Contract.
<b>Software</b>	All custom Software and COTS Software provided by the Vendor under the Contract
<b>Software Deliverables</b>	COTS Software and Enhancements
<b>Software License</b>	Licenses provided to the State under this Contract
<b>Solution</b>	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.
<b>Specifications</b>	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.
<b>State</b>	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
<b>Statement of Work (SOW)</b>	A Statement of Work clearly defines the basic requirements and objectives of a Project. The Statement of Work also defines a high level view of the architecture, performance and design requirements, the roles and responsibilities of the State and the

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	Vendor. The Contract Agreement SOW defines the results that the Vendor remains responsible and accountable for achieving.
<b>State's Confidential Records</b>	State's information regardless of its form that is not subject to public disclosure under applicable state and federal laws and regulations, including but not limited to <u>RSA Chapter 91-A</u>
<b>State Data</b>	Any information contained within State systems in electronic or paper format.
<b>State Fiscal Year (SFY)</b>	The New Hampshire State Fiscal Year extends from July 1 <sup>st</sup> through June 30 <sup>th</sup> of the following calendar year
<b>State Project Leader</b>	State's representative with regard to Project oversight
<b>State's Project Manager (PM)</b>	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).
<b>Subcontractor</b>	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
<b>System</b>	All Software, specified hardware, and interfaces and extensions, integrated and functioning together in accordance with the Specifications.
<b>TBD</b>	To Be Determined
<b>Technical Authorization</b>	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
<b>Test Plan</b>	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.
<b>Term</b>	Period of the Contract from the Effective Date through termination.
<b>Transition Services</b>	Services and support provided when the contracted vendor is supporting System changes.
<b>UAT</b>	User Acceptance Test
<b>Unit Test</b>	Developers create their own test data and test scenarios to verify the code they have created or changed functions properly as defined.
<b>User Acceptance Testing</b>	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.
<b>User Management</b>	Supports the administration of computer, application and network accounts within an organization
<b>Vendor/ Contracted Vendor</b>	The Vendor whose proposal or quote was awarded the Contract with

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	the State and who is responsible for the Services and Deliverables of the Contract.
<b>Verification</b>	Supports the confirmation of authority to enter a computer system, application or network
<b>Walk Through</b>	A step-by-step review of a Specification, usability features or design before it is handed off to the technical team for development
<b>Warranty Period</b>	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.
<b>Warranty Releases</b>	Code releases that are done during the Warranty Period.
<b>Warranty Services</b>	The Services to be provided by the Vendor during the Warranty Period.
<b>Work Hours</b>	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.
<b>Work Plan</b>	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.
<b>Written Deliverables</b>	Non-Software written deliverable Documentation (letter, report, manual, book, other) provided by the Vendor either in paper or electronic format.

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**INTRODUCTION**

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

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

**RECITALS**

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

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

The parties therefore agree as follows:

**1. CONTRACT DOCUMENTS**

**1.1. CONTRACT DOCUMENTS**

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

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

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Exhibit O- Certificates and Attachments

**1.2. ORDER OF PRECEDENCE**

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

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

**1.3. CONTRACT TERM**

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

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

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

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

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

**2. COMPENSATION**

**2.1. CONTRACT PRICE**

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

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

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

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

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

### **3. CONTRACT MANAGEMENT**

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

#### **3.1. THE VENDOR'S CONTRACT MANAGER**

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

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

#### **3.2. THE VENDOR'S PROJECT MANAGER**

**3.2.2 Contract Project Manager**

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

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

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

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

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

- 3.2.5** The Contract Project Manager is:

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

**3.3. THE CONTRACTED VENDOR KEY PROJECT STAFF**

- 3.3.1** The Vendor shall assign Key Project Staff who meet the requirements of the Contract, and can implement the Software Solution meeting the requirements set forth in RFP Appendix C: *System Requirements and Deliverables*, Table C.1: *System Requirements and Deliverables-Vendor Response Checklist*. The State may conduct reference and background checks on the Vendor Key Project Staff. The State reserves the right to request removal or reassignment of the Vendor's Key Project Staff who are found unacceptable to the State. Any background checks shall be performed in accordance with the Contract Agreement Section 4.10: *Background Checks*.
- 3.3.2** The Vendor shall notify the State of a change in any the Vendor Key Project Staff commitments and provide the State written justification and of the change. State approvals for replacement of the Vendor Key Project Staff will not be unreasonably withheld. The replacement the Vendor Key Project Staff shall have comparable or greater skills than the Vendor Key Project Staff being replaced; meet the requirements of the Contract, including but not limited to the requirements set forth in RFP Appendix C: *System Requirements and Deliverables* and be subject to reference and background checks described in Contract Agreement-Part 2, Section 3.6: *Reference and Background Checks*,
- 3.3.3** Notwithstanding any other provision of the Contract to the contrary, the State shall have the option to terminate the Contract, declare the Vendor in default and to pursue its remedies at law and in equity, if the Vendor fails to assign Key Project Staff meeting the requirements and terms of the Contract or if it is dissatisfied with the Vendor's replacement Project staff.

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

**The Contracted Vendor's Key Project Staff:**

**Key Member(s)**

**Title**

Terry Moore

Director of Results  
Oriented Management

**3.4. STATE CONTRACT MANAGER**

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

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

**3.5. STATE PROJECT MANAGER**

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

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

The State Project Manager is:

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

**3.6. REFERENCE AND BACKGROUND CHECKS**

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

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#### **4. DELIVERABLES**

##### **4.1 Vendor Responsibilities**

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

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

##### **4.2 Deliverables and Services**

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

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

##### **4.3 Non-Software and Written Deliverables Review and Acceptance**

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

##### **4.4 System/Software Testing and Acceptance**

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

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**4.5 Security**

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

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

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

**5. SOFTWARE**

**RESERVED**

**6. WARRANTY**

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

**7. SERVICES**

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

**7.1 Administrative Services**

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

**7.2 Implementation Services**

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

**7.3 Testing Services**

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

**8. CHANGE ORDERS**

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

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

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

## **9. INTELLECTUAL PROPERTY**

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

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

### **10.1 State's Data**

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

### **10.2 Vendor's Materials**

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

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

### **10.3 State Website Copyright**

**WWW Copyright and Intellectual Property Rights**

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

**10.4 Survival**

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

**10. USE OF STATE'S INFORMATION, CONFIDENTIALITY**

**11.1 Use of State's Information**

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

**11.2 State Confidential Information**

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

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

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

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

**11.3 Vendor Confidential Information**

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

**11.4 Survival**

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

**12. LIMITATION OF LIABILITY**

**12.1. STATE**

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

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

**12.2. THE VENDOR**

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

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

**12.3. STATE'S IMMUNITY**

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

**12.4. SURVIVAL**

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

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**13. TERMINATION**

This Section 13 shall survive the termination or Contract Conclusion.

**13.1. TERMINATION FOR DEFAULT**

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

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

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

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

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

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

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

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

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

**13.5. TERMINATION FOR CONVENIENCE**

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

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

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

**13.6. TERMINATION FOR CONFLICT OF INTEREST**

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

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

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

**13.7. TERMINATION PROCEDURE**

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

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

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

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

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

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

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

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

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

**14. CHANGE OF OWNERSHIP**

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

**15. ASSIGNMENT, DELEGATION AND SUBCONTRACTS**

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

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

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

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

**16. DISPUTE RESOLUTION**

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

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

**16.1. Dispute Resolution Responsibility and Schedule Table**

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

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

**17. CODE**

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

**18. GENERAL PROVISIONS**

**18.1. Travel Expenses**

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

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

**18.2. Shipping and Delivery Fee Exemption**

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

**18.3. Project Workspace and Office Equipment**

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

**18.4. Access/Cooperation**

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

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

**18.5. Required Work Procedures**

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

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**18.6. Computer Use**

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

- 18.6.1.** Every Authorized User has the responsibility to assure the protection of information from unauthorized access, misuse, theft, damage, destruction, modification, or disclosure.
- 18.6.2.** That information shall be used solely for conducting official State business, and all other use or access is strictly forbidden including, but not limited to, personal, or other private and non-State use and that at no time shall the Contracted Vendor access or attempt to access any information without having the express authority to do so.
- 18.6.3.** That at no time shall the Vendor access or attempt to access any information in a manner inconsistent with the approved policies, procedures, and /or agreements relating to system entry/access.
- 18.6.4.** That all software licensed, developed, or being evaluated by the State cannot be copied, shared, distributed, sub-licensed, modified, reverse engineered, rented, or sold, and that at all times the Contracted Vendor must use utmost care to protect and keep such software strictly confidential in accordance with the license or any other Agreement executed by the State. Only equipment or software owned, licensed, or being evaluated by the State, can be used by the Contracted Vendor. Personal software (including but not limited to palmtop sync software) shall not be installed on any equipment.
- 18.6.5.** That if the Vendor is found to be in violation of any of the above-stated rules, the User may face removal from the State Contract, and/or criminal or civil prosecution, if the act constitutes a violation of law.

**18.7. Email Use**

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

**18.8. Internet/Intranet Use**

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

**18.9. Regulatory Government Approvals**

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

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**18.10. Force Majeure**

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

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

**18.11. Insurance**

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

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

**18.12. Exhibits**

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

**18.13. Survival**

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

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**1. DELIVERABLES, MILESTONES AND ACTIVITIES**

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

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

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

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

**2. DELIVERABLES, MILESTONES, AND ACTIVITIES SCHEDULE**

**2.1 Implementation Schedule – Activities / Deliverables / Milestones**

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

- Host Instances of the ROM Reports application necessary for internal reporting for DCYF operations, and for supporting public reporting as that is developed. This includes both production and test instances of all site reporting instances.
- Import Data Tables - Monitor and troubleshoot the regularly scheduled data upload process via SFTP into the SQL Server Production and Test databases on the ROM server. In the event of problems, the previous day's outcome tables shall be restored. Import the data tables into SQL Server Test database as needed in order to test any revisions made to the application.
- Run Data Preparation Routines - Schedule and execute the ROM Reports data preparation routines to populate reports on an agreed upon schedule, but no more often than weekly.
- Apply New Releases/Updates of ROM Reports and ROM Data Preparation – Apply new releases to DCYF test environments of ROM, and promote approved changes to production instances.
- Maintain Server Software and Hardware – Provide all required software and hardware for delivering ROM, and provide maintenance within defined maintenance windows.
- 24-7 System Secure Server Operations - The server that sits behind the Vendor's firewall meets HIPPA guidelines. These guidelines cover physical security, file level access, password security, and disposal of hard drives. This firewall requires each connection to be defined. The only available link to the outside world to this server is the https SSL port 443. This ensures the data is encrypted during transmissions. The Vendor's IT Services provides 24 hour system monitoring, physical plant

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maintenance, connection circuit installation, hardware maintenance management services, operations support hardware/software replacement, security checks, hardware problem resolution, disaster recovery, and backup support.

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PRICE & PAYMENT SCHEDULE**

**1. DELIVERABLE PAYMENT SCHEDULE**

**1.1. Firm Fixed Price**

This is a Firm Fixed Price (FFP) Contract totaling \$61,200 for the period between the Contract Effective Date through June 30, 2019. The Vendor shall be responsible for performing its obligations in accordance with the Contract. This Contract will allow the Vendor to invoice the State on a monthly basis at fixed pricing/rates appearing in the price and payment tables below:

Month	Year	Pricing/Payment
January	2015	\$1,000
February	2015	\$1,000
March	2015	\$1,000
April	2015	\$1,000
May	2015	\$1,000
June	2015	\$1,000
July	2015	\$1,000
August	2015	\$1,000
September	2015	\$1,000
October	2015	\$1,000
November	2015	\$1,000
December	2015	\$1,000
January	2016	\$1,000
February	2016	\$1,000
March	2016	\$1,000
April	2016	\$1,000
May	2016	\$1,000
June	2016	\$1,000
July	2016	\$1,200

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August	2016	\$1,200
September	2016	\$1,200
October	2016	\$1,200
November	2016	\$1,200
December	2016	\$1,200
January	2017	\$1,200
February	2017	\$1,200
March	2017	\$1,200
April	2017	\$1,200
May	2017	\$1,200
June	2017	\$1,200
July	2017	\$1,200
August	2017	\$1,200
September	2017	\$1,200
October	2017	\$1,200
November	2017	\$1,200
December	2017	\$1,200
January	2018	\$1,200
February	2018	\$1,200
March	2018	\$1,200
April	2018	\$1,200
May	2018	\$1,200
June	2018	\$1,200
July	2018	\$1,200
August	2018	\$1,200
September	2018	\$1,200

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October	2018	\$1,200
November	2018	\$1,200
December	2018	\$1,200
January	2019	\$1,200
February	2019	\$1,200
March	2019	\$1,200
April	2019	\$1,200
May	2019	\$1,200
June	2019	\$1,200

## **2. INVOICING**

The Vendor shall submit correct invoices to the State for all amounts to be paid by the State. All invoices submitted shall be subject to the State's prior written approval, which shall not be unreasonably withheld. The Vendor shall only submit invoices for services or deliverables as permitted by the Contract. Invoices must be in a format as determined by the State and contain detailed information, including without limitation: itemization of each deliverable and identification of the deliverable for which payment is sought, and the acceptance date triggering such payment; date of delivery and/or installation; monthly maintenance charges; any other project costs or retention amounts if applicable.

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

Invoices shall be sent to:

Attn: Dague Clark, Financial Manager  
Division for Children, Youth & Family  
129 Pleasant Street  
Concord, NH 03301

dbclark@dhhs.state.nh.us

## **3. PAYMENT ADDRESS**

All payments shall be sent to the following address:

University of Kansas Center for Research, Inc.  
Financial Services  
2385 Irving Hill Road

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Consolidated Exhibits – Part 3

Vendor's Initials hmb

Exhibit A

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Lawrence, KS 66045-7563  
kucr@ku.edu

**4. OVERPAYMENTS TO THE VENDOR**

The Vendor shall promptly, but no later than fifteen (15) business days, return to the State the full amount of any overpayment or erroneous payment upon discovery or notice from the State.

**5. CREDITS**

The State may apply credits due to the State arising out of this Contract, against the Vendor's invoices with appropriate information attached.

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**1. EXTENSION**

This agreement has the option for a potential extension up to seven (7) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Executive Council.

**2. OTHER GENERAL PROVISIONS**

Vendor's Obligations: The Vendor covenants and agrees that all funds received by the Vendor under the Contract shall be used only as payment to the Vendor for services provided to eligible individuals and, in the furtherance of the aforesaid covenants, the Vendor hereby covenants and agrees as follows:

- 2.1. Compliance with Federal and State Laws:** If the Contractor is permitted to determine the eligibility of individuals such eligibility determination shall be made in accordance with applicable federal and state laws, regulations, orders, guidelines, policies and procedures.
- 2.2. Gratuities or Kickbacks:** The Contractor agrees that it is a breach of this Contract to accept or make a payment, gratuity or offer of employment on behalf of the Contractor, any Sub-Contractor or the State in order to influence the performance of the Scope of Work detailed in Exhibit A of this Contract. The State may terminate this Contract and any sub-contract or sub-agreement if it is determined that payments, gratuities or offers of employment of any kind were offered or received by any officials, officers, employees or agents of the Contractor or Sub-Contractor.
- 2.3. Retroactive Payments:** Notwithstanding anything to the contrary contained in the Contract or in any other document, contract or understanding, it is expressly understood and agreed by the parties hereto, that no payments will be made hereunder to reimburse the Contractor for costs incurred for any purpose or for any services provided to any individual prior to the Effective Date of the Contract and no payments shall be made for expenses incurred by the Contractor for any services provided prior to the date on which the individual applies for services or (except as otherwise provided by the federal regulations) prior to a determination that the individual is eligible for such services.
- 2.4. Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractors costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party funders for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party funders, the Department may elect to:
  - 2.4.1. Renegotiate the rates for payment hereunder, in which event new rates shall be established;

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- 2.4.2. Deduct from any future payment to the Contractor the amount of any prior reimbursement in excess of costs;
- 2.4.3. Demand repayment of the excess payment by the Contractor in which event failure to make such repayment shall constitute an Event of Default hereunder. When the Contractor is permitted to determine the eligibility of individuals for services, the Contractor agrees to reimburse the Department for all funds paid by the Department to the Contractor for services provided to any individual who is found by the Department to be ineligible for such services at any time during the period of retention of records established herein.
- 2.5. Maintenance of Records:** In addition to the eligibility records specified above, the Contractor covenants and agrees to maintain the following records during the Contract Period:
- 2.5.1. **Fiscal Records:** books, records, documents and other data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor during the Contract Period in the performance of the Contract, said records to be maintained in accordance with OMB Circular A-133.8.3. Medical Records: Where appropriate and as prescribed by the Department regulations, the Contractor shall retain medical records on each patient/recipient of services.
- 2.6. Audit:** Contractor shall submit an annual audit to the Department within 60 days after the close of the agency fiscal year. It is recommended that the report be prepared in accordance with the provision of Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non Profit Organizations" and the provisions of Standards for Audit of Governmental Organizations, Programs, Activities and Functions, issued by the US General Accounting Office (GAO standards) as they pertain to financial compliance audits.
- 2.6.1. **Audit and Review:** During the term of this Contract and the period for retention hereunder, the Department, the United States Department of Health and Human Services, and any of their designated representatives shall have access to all reports and records maintained pursuant to the Contract for purposes of audit, examination, excerpts and transcripts.
- 2.6.2. **Audit Liabilities:** In addition to and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department, all payments made under the Contract to which exception has been taken or which have been disallowed because of such an exception.
- 2.7. Confidentiality of Records:** All information, reports, and records owned by the Department, and maintained hereunder or provided by Department to Contractor, including any reports created from the data provided by the Department, in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directly connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is

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prohibited except on written consent of the recipient, his attorney or guardian. Should the Department request the production of a report that is intended for public display, prior to the production, release, or display of said report, the Department will identify for the Contractor what data or information is not considered confidential. The Contractor may then only release or display the information specifically identified by the Department in the requested report.

Notwithstanding anything to the contrary contained herein the covenants and conditions contained in the Paragraph shall survive the termination of the Contract for any reason whatsoever.

**2.8. Reserved.**

**2.9. Credits:** All documents, notices, press releases, research reports and other materials prepared during or resulting from the performance of the services of the Contract shall include the following statement:

2.9.1. The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, with funds provided in part by the State of New Hampshire and/or such other funding sources as were available or required, e.g., the United States Department of Health and Human Services.

**2.10. Reserved.**

**2.11. Subcontractors:** DHHS recognizes that the Contractor may choose to use subcontractors with greater expertise to perform certain health care services or functions for efficiency or convenience, but the Contractor shall retain the responsibility and accountability for the function(s). Prior to subcontracting, the Contractor shall evaluate the subcontractor's ability to perform the delegated function(s). This is accomplished through a written agreement that specifies activities and reporting responsibilities of the subcontractor and provides for revoking the delegation or imposing sanctions if the subcontractor's performance is not adequate. Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions. When the Contractor delegates a function to a subcontractor, the Contractor shall do the following:

- 2.11.1. Evaluate the prospective subcontractor's ability to perform the activities, before delegating the function
- 2.11.2. Have a written agreement with the subcontractor that specifies activities and reporting responsibilities and how sanctions/revocation will be managed if the subcontractor's performance is not adequate
- 2.11.3. Monitor the subcontractor's performance on an ongoing basis
- 2.11.4. Provide to DHHS an annual schedule identifying all subcontractors, delegated functions and responsibilities, and when the subcontractor's performance will be reviewed
- 2.11.5. DHHS shall, at its discretion, review and approve all subcontracts. If the Contractor identifies deficiencies or areas for improvement are identified, the Contractor shall take corrective action.

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**3. DEFINITIONS**

As used in the Contract, the following terms shall have the following meanings:

**COSTS:** Shall mean those direct and indirect items of expense determined by the Department to be allowable and reimbursable in accordance with cost and accounting principles established in accordance with state and federal laws, regulations, rules and orders.

**DEPARTMENT:** NH Department of Health and Human Services.

**FINANCIAL MANAGEMENT GUIDELINES:** Shall mean that section of the Contractor Manual which is entitled "Financial Management Guidelines" and which contains the regulations governing the financial activities of contractor agencies which have contracted with the State of NH to receive funds.

**PROPOSAL:** If applicable, shall mean the document submitted by the Contractor on a form or forms required by the Department and containing a description of the Services to be provided to eligible individuals by the Contractor in accordance with the terms and conditions of the Contract and setting forth the total cost and sources of revenue for each service to be provided under the Contract.

**UNIT:** For each service that the Contractor is to provide to eligible individuals hereunder, shall mean that period of time or that specified activity determined by the Department and specified in Exhibit B of the Contract.

**FEDERAL/STATE LAW:** Wherever federal or state laws, regulations, rules, orders, and policies, etc. are referred to in the Contract, the said reference shall be deemed to mean all such laws, regulations, etc. as they may be amended or revised from the time to time.

**CONTRACTOR MANUAL:** Shall mean that document prepared by the NH Department of Administrative Services containing a compilation of all regulations promulgated pursuant to the New Hampshire Administrative Procedures Act. NH RSA Ch 541-A, for the purpose of implementing State of NH and federal regulations promulgated thereunder.

**SUPPLANTING OTHER FEDERAL FUNDS:** The Contractor guarantees that funds provided under this Contract will not supplant any existing federal funds available for these services.

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**4. REVISIONS TO GENERAL PROVISIONS**

- 4.1. SUBPARAGRAPH 2 of the General Provisions of this contract, Employment of Contractor/Services to be Performed, is replaced as follows:

2. EMPLOYMENT OF CONTRACTOR/SERVICES TO BE PERFORMED.

The State of New Hampshire, acting through the agency identified in block 1.1 ("Stat"), engages contractor identified in block 1.3 ("Contractor") to perform, and the Contractor shall perform, the research, development and hosting services identified and more particularly described in the attached EXHIBIT A which is incorporated herein by reference ("Services").

- 4.2. SUBPARAGRAPH 3 of the General Provisions of this contract, Effective Date/Completion of Services, is replaced as follows:

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, this Agreement, and all obligations of the parties hereunder, shall not become effective until the date the Governor and Executive Council approve this Agreement ("Effective Date").

3.2 If the Contractor commences the Services prior to the Effective Date, all Services performed by the Contractor prior to the Effective Date shall be performed at the sole risk of the Contractor, and in the event that this Agreement does not become effective, the State shall have no liability to the Contractor, including without limitation, any obligation to pay the Contractor for any costs incurred or Services performed. Contractor shall use all reasonable efforts to complete all Services by the Completion Date specified in block 1.7.

- 4.3. SUBPARAGRAPH 4 of the General Provisions of this contract, Conditional Nature of Agreement, is replaced as follows:

4. CONDITIONAL NATURE OF AGREEMENT.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including without limitation, the continuance of payments, in whole or in part, under this Agreement are contingent upon continued appropriation or availability of funds, including any subsequent changes to the appropriation or availability of funds affected by any state or federal legislative or executive action that reduces, eliminates, or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope of Services provided in Exhibit A, Scope of Services, in whole or in part. In no event shall the State be liable for any payments hereunder in excess of appropriated or available funds. In the event of a reduction, termination or modification of appropriated or available funds, the State shall have the right to withhold payment until such funds become available, if ever. The State shall have the right to reduce, terminate or modify services under this Agreement immediately upon giving the Contractor notice of such reduction, termination or modification. The State shall not be required to transfer funds from any other source or account into the Account(s) identified in block 1.6 of the General Provisions, Account Number, or any other account, in the event funds are reduced or unavailable.

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**4.4. SUBPARAGRAPH 7 of the General Provisions of this contract, Personnel, is replaced as follows:**

**7. PERSONNEL.**

7.1 The Contractor shall at its own expense provide all personnel necessary to perform the Services. The Contractor agrees that all personnel engaged in the Services shall be qualified to perform the Services, and shall be properly licensed and otherwise authorized to do so under all applicable laws.

7.2 Unless otherwise authorized in writing, during the term of this Agreement, and for a period of six (6) months after the Completion Date in block 1.7, the Contractor shall not hire and shall not permit any subcontractor or other person, firm or corporation with whom it is engaged in a combined effort to perform the Services to hire, any person who is a State employee or official, who is materially involved in the procurement, administration or performance of this Agreement. This provision shall survive termination of this Agreement.

7.3 The Contracting Officer specified in block 1.9, or his or her successor, shall be the State's representative. In the event of any dispute concerning the interpretation of this Agreement, the Contracting Officer's decision shall be final for the State.

**4.5. SUBPARAGRAPH 8 of the General Provisions of this contract, Event of Default, is replaced as follows:**

**8. EVENT OF DEFAULT/REMEDIES.**

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

8.1.1 failure to perform the Services on schedule;

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

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

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

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

8.2.2 give the Contractor a written notice specifying the Event of Default and suspending all payments to be made under this Agreement and ordering that the portion of the contract price which would otherwise accrue to the Contractor during the period from the date of such notice until such time as the State determines that the Contractor has cured the Event of Default shall be withheld from the Contractor;

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

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

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- 4.6.** SUBPARAGRAPH 9 of the General Provisions of this contract, Data/Access/Confidentiality/Preservation, is replaced as follows:

**9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.**

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

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

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

- 4.7.** SUBPARAGRAPH 10 of the General Provisions of this contract, Termination, is replaced as follows:

**10. TERMINATION.**

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

10.2 Either party may terminate the Agreement at any time for any reason, at its sole discretion, 30 days after giving the other party written notice that 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.

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10.6 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.

**4.8. SUBPARAGRAPH 13 of the General Provisions, Indemnification, is replaced as follows:**

**13. INDEMNIFICATION.**

Contractor agrees to accept the responsibility for injury or damage to any person or persons or property that arise solely out of the Contractor's negligent acts or omissions in connection with this project. Contractor further agrees that the State shall not be liable for damages arising solely from injuries or damages sustained by any person or persons or property resulting from the negligent performance or omission by the Contractor of this Agreement.

**4.9. SUBPARAGRAPH 14 of the General Provisions, Insurance, is replaced as follows:**

**14. INSURANCE.**

14.1 The Contractor agrees to maintain Comprehensive General Liability insurance including Person Injury Coverage and Contractual Liability, with the minimum combined single limit for Bodily Injury and Property Damage, in accordance with the Contractor's regular requirements and practices. All insurance policies, as required by this Agreement, must be issued by an insurance company licensed to do business in the United States.

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

14.2.1 comprehensive general liability in the amount of \$1,000,000 for each occurrence; excess/umbrella liability in the amount of \$5,000,000 for each occurrence; and Errors and Omissions coverage in the amount of \$1,000,000.

**4.10. SUBPARAGRAPH 15 of the General Provisions, Workers' Compensation, is replaced as follows:**

**15. WORKERS' COMPENSATION.**

University of Kansas employees are covered by the Workers Compensation Act, K.S.A. 44-501, through the State of Kansas. The University is also covered by automobile liability insurance in accordance with the provisions of K.S.A. 74-4707. Claims arising from bodily injury or death occurring as a result of acts or omissions by University employees working on this project may be subject to the provisions of the Kansas Tort Claims Act, K.S.A. 75-6101 et seq. Contractor agrees that State shall not be liable for damages resulting from injuries or damages sustained by any person or persons or property resulting solely from the negligent performance or omission by Contractor or employee of this project.

**4.11. SUBPARAGRAPH 19 OF THE General Provisions, Construction of Agreement and Terms is deleted.**

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ADMINISTRATIVE SERVICES

**1. STATE MEETINGS AND REPORTS**

The State believes that effective communication and reporting are essential to project success.

The Vendor's Key Project Staff shall participate in meetings over the phone as requested by the State, in accordance with the requirements and terms of this Contract.

- a. **Special Meetings:** Need may arise for a special meeting with State leaders or Project stakeholders to address specific issues.
- b. **Exit Meeting:** Participants will include Project leaders from the Vendor and the State. Discussion will focus on lessons learned from the Project and on follow up options that the State may wish to consider.

The State expects the Vendor to prepare agendas and background for and minutes of meetings. Background for each status meeting must include an updated Work Plan. Drafting of formal presentations, such as a presentation for the kickoff meeting, will also be the Vendor's responsibility.

As reasonably requested by the State, the Vendor shall provide the State with information or reports regarding the Project. The Vendor shall prepare special reports and presentations relating to Project Management, and shall assist the State in preparing reports and presentations, as reasonably requested by the State, all at no additional cost to the State.

**2. STATE-OWNED DOCUMENTS AND DATA**

The Vendor shall provide the State access to all State-owned documents, State Data, State-owned materials, State-owned reports, and other State-owned work in progress relating to the Contract that State has provided to Vendor ("State Owned Documents"). Upon expiration or termination of the Contract with the State, the Vendor shall turn over all State-owned documents, material, reports, and work in progress relating to the Contract to the State at no additional cost to the State. State-owned Documents provided to the Vendor in electronic format must be returned to State in electronic format. State-owned Documents provided to the Vendor in paper format must be returned to State in paper format upon State's request.

**3. RECORDS RETENTION AND ACCESS REQUIREMENTS**

The Vendor shall agree to the conditions of all applicable State and federal laws and regulations, which are incorporated herein by reference, regarding retention and access requirements, including without limitation, retention policies consistent with the OMB circulars A-21, A-110, or A-133, as applicable.

The Vendor and its Subcontractors shall maintain books, records, documents, and other evidence of accounting procedures and practices, which properly and sufficiently reflect all direct and indirect costs invoiced in the performance of their respective obligations under the Contract. The Vendor and its Subcontractors shall retain all such records for three (3) years following termination of the Contract, including any extensions. Records relating to any litigation matters regarding the Contract shall be kept for one (1) year following the termination of all litigation, including the termination of all appeals or the expiration of the appeal period.

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Upon prior notice and subject to reasonable time frames, all such records shall be subject to inspection, examination, audit and copying by personnel so authorized by the State and federal officials so authorized by law, rule, regulation or Contract, as applicable. Access to these items shall be provided within Merrimack County of the State of New Hampshire, unless otherwise agreed by the State. Delivery of and access to such records shall be at no cost to the State during the three (3) year period following termination of the Contract and one (1) year term following litigation relating to the Contract, including all appeals or the expiration of the appeal period. The Vendor shall include the record retention and review requirements of this section in any of its subcontracts.

The State agrees that books, records, documents, and other evidence of accounting procedures and practices related to the Vendor's cost structure and profit factors shall be excluded from the State's review unless the cost of any other Services or Deliverables provided under the Contract is calculated or derived from the cost structure or profit factors.

**4. ACCOUNTING REQUIREMENTS**

The Vendor shall maintain an accounting system in accordance with generally accepted accounting principles. The costs applicable to the Contract shall be ascertainable from the accounting system and the Vendor shall maintain records pertaining to the Services and all other costs and expenditures.

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IMPLEMENTATION SERVICES

**RESERVED**

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SECURITY AND INFRASTRUCTURE**

**1. SECURITY**

The Vendor shall ensure that appropriate levels of security are implemented and maintained in order to protect the integrity and reliability of the State's Information Technology resources, information, and services. The Vendor shall provide the State resources, information, and services during the term of the contract, with the appropriate infrastructure and security controls to ensure business continuity and to safeguard the confidentiality and integrity of State networks, systems and data.

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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.

<b>Service Component</b>	<b>Defines the set of capabilities that:</b>
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 3<sup>rd</sup> party testing. All Software and hardware shall be free of malicious code (malware).

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MAINTENANCE AND SUPPORT SERVICES

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REQUIREMENT RESPONSES

**Table C-2 General System Requirements**

The hosting service provided by the University of Kansas must conform to the information technology Privacy, and security standards of the University of Kansas, which include but are not limited to:

University of Kansas Security Standards

The primary information can be found at:

KORA – Kansas Open Records Act  
<http://www.privacy.ku.edu/resources/hipaa.shtml>

Information Access and Technology Policies  
<http://www.policy.ku.edu/infoaccess.shtml>

Specific Documents:	
<p><b>Information Access</b> Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Circulation Policies and Procedures, KU Libraries Code of Conduct for Library Users, KU Libraries Confidentiality Agreement for Use of Alumni Information System Content Management System Policy Data Classification and Handling Policy Data Classification and Handling Procedures Guide Guest Access to Wireless Network Index to Policies and Procedures, KU Libraries Information Access Control Policy Internal Audit Charter Investigative Contact by Law Enforcement, Policy and Procedures KLETC Open Records Request Policy KU Alumni Association E-mail Policy KU Card Center - Obtaining the KU Card</p>	<p><b>Privacy &amp; Security</b> Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Clinic Policies and Procedures Regarding Privacy &amp; Security of Patient Information Code of Conduct for Library Users, KU Libraries Confidentiality of Proposals and Awards Credit Card Information Data Center and Server Room Policy Data Center and Server Room Standards Data Classification and Handling Policy Data Classification and Handling Procedures Guide Education Credential Files: University Career Center Electronic Data Disposal Policy Electronic Data Disposal Procedure Gramm-Leach-Bliley Student Financial Information Security Program Health Information Privacy Policy: Watkins Health Services</p>

**STATE OF NEW HAMPSHIRE  
DEPARTMENT OF HEALTH & HUMAN SERVICES  
RESULTS ORIENTED MANAGEMENT  
CONTRACT 2014-138  
CONSOLIDATED EXHIBITS - PART 3  
EXHIBIT H  
REQUIREMENT RESPONSES**

<p>KU Card Center - Request for Release of Photo          KU Card Center - Terms and Conditions of the KU Card          KU Libraries: Access, Circulation, and Request Services - Requirements for KU Students, Faculty, Staff, and Affiliates on the Lawrence and Edwards Campuses          KU Libraries: Access, Circulation, and Request Services for KU Faculty, Staff, and Affiliates          KU Libraries: Access, Circulation, and Request Services for KU Graduate Students          KU Libraries: Access, Circulation, and Request Services for KU Undergraduate and Law Students          KU Libraries: Code of Conduct for Library Users          Library Services for Other Users          Maintenance of Alumni Records          Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs          Open Access Policy for University of Kansas Scholarship          Records Retention Schedule          Requests for Alumni Records          Safety and Security of Funds          Student Record Policy Primary Records Custodians          Student Records Policy: Office of the University Registrar          Systems Development Life Cycle (SDLC) Policy          Systems Development Life Cycle (SDLC) Standard          Undergraduate Admission Records Retention Policy: Office of Admissions and Scholarships          Virtual Private Network (VPN) Remote Access Procedure          Virtual Private Network (VPN) Service on the University of Kansas Data Network</p>	<p>Identity Theft Prevention Program          Information Access Control Policy          Information Technology Security Policy          Instructions for a lost, stolen, or damaged KU Card          KU Card Center - Disclosure Statement          KU Card Center - Report KU Card Lost or Stolen          KU Card Center - Request for Release of Photo          KU Libraries: Code of Conduct for Library Users          KU Libraries: Privacy and Confidentiality          KUMC Computer Security Incident Response          KUMC Computer Security Policy          KUMC Gramm-Leach-Bliley Act          KUMC Mobile Device Security          KUMC Password Policy          KUMC Payment Card Acceptance          KUMC Secure Application Development          KUMC Sensitive Information in Electronic and Paper-Based Systems          KUMC Vulnerability Management          KUMC Working with Vendor Systems          Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs          Password Policy          Privacy Policy, General          Privacy Policy: Counseling and Psychological Services          Record Confidentiality          Records Retention Schedule          Roles and Responsibilities for Information Management Policy          Safety and Security of Funds          Security Policy Procedure: Risk and Vulnerability Guidelines          Security Policy: Assessment for Local IT Environments and Outline for Risk and Vulnerability Assessments          Student Record Policy Primary Records Custodians          Student Records Policy: Office of the University Registrar          Systems Development Life Cycle (SDLC) Policy</p>
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STATE OF NEW HAMPSHIRE  
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 ..
<b>Information Technology</b> 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](https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Policy.htm)

Data Center and Server Room Standards

[https://documents.ku.edu/policies/IT/DataCenterandServerRoom\\_Standards.htm](https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Standards.htm)

Data Disposal Policy

<https://documents.ku.edu/policies/IT/DataDisposalPolicy.htm>

Data Disposal Procedure

<https://documents.ku.edu/policies/IT/DataDisposalProcedure.htm>

Information Access Control Policy

<https://documents.ku.edu/policies/IT/InformationAccessControlPolicy.htm>

STATE OF NEW HAMPSHIRE  
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  
CONSOLIDATED 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



**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

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New Hampshire Department of Health and Human Services  
Exhibit D



- has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- 1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted
    - 1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - 1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - 1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.
2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code) (list each location)

Check ☐ if there are workplaces on file that are not identified here.

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

12/19/14  
Date

Kristi M. Billinger  
Name: Kristi Billinger  
Title: Director, Research Administration

Contractor Initials KMB  
Date 12/19/14



**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



**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

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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 (I)(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

*KMB*

Date 12/19/14



**CERTIFICATION OF COMPLIANCE WITH REQUIREMENTS PERTAINING TO  
FEDERAL NONDISCRIMINATION, EQUAL TREATMENT OF FAITH-BASED ORGANIZATIONS AND  
WHISTLEBLOWER PROTECTIONS**

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

Contractor will comply, and will require any subgrantees or subcontractors to comply, with any applicable federal nondiscrimination requirements, which may include:

- the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Section 3789d) which prohibits recipients of federal funding under this statute from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act requires certain recipients to produce an Equal Employment Opportunity Plan;
- the Juvenile Justice Delinquency Prevention Act of 2002 (42 U.S.C. Section 5672(b)) which adopts by reference, the civil rights obligations of the Safe Streets Act. Recipients of federal funding under this statute are prohibited from discriminating, either in employment practices or in the delivery of services or benefits, on the basis of race, color, religion, national origin, and sex. The Act includes Equal Employment Opportunity Plan requirements;
- the Civil Rights Act of 1964 (42 U.S.C. Section 2000d, which prohibits recipients of federal financial assistance from discriminating on the basis of race, color, or national origin in any program or activity);
- the Rehabilitation Act of 1973 (29 U.S.C. Section 794), which prohibits recipients of Federal financial assistance from discriminating on the basis of disability, in regard to employment and the delivery of services or benefits, in any program or activity;
- the Americans with Disabilities Act of 1990 (42 U.S.C. Sections 12131-34), which prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities, and transportation;
- the Education Amendments of 1972 (20 U.S.C. Sections 1681, 1683, 1685-86), which prohibits discrimination on the basis of sex in federally assisted education programs;
- the Age Discrimination Act of 1975 (42 U.S.C. Sections 6106-07), which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance. It does not include employment discrimination;
- 28 C.F.R. pt. 31 (U.S. Department of Justice Regulations – OJJDP Grant Programs); 28 C.F.R. pt. 42 (U.S. Department of Justice Regulations – Nondiscrimination; Equal Employment Opportunity; Policies and Procedures); Executive Order No. 13279 (equal protection of the laws for faith-based and community organizations); Executive Order No. 13559, which provide fundamental principles and policy-making criteria for partnerships with faith-based and neighborhood organizations;
- 28 C.F.R. pt. 38 (U.S. Department of Justice Regulations – Equal Treatment for Faith-Based Organizations); and Whistleblower protections 41 U.S.C. §4712 and The National Defense Authorization Act (NDAA) for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013) the Pilot Program for Enhancement of Contract Employee Whistleblower Protections, which protects employees against reprisal for certain whistle blowing activities in connection with federal grants and contracts.

The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment.

Exhibit G

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations and Whistleblower protections

Contractor Initials

KMB

Date

12/19/14

New Hampshire Department of Health and Human Services  
Exhibit G



In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, to the applicable contracting agency or division within the Department of Health and Human Services, and to the Department of Health and Human Services Office of the Ombudsman.

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this proposal (contract) the Contractor agrees to comply with the provisions indicated above.

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

12/19/14  
Date

Kristi M. Billinger  
Name: Kristi Billinger  
Title: Director, Research Administration

Exhibit G

Certification of Compliance with requirements pertaining to Federal Nondiscrimination, Equal Treatment of Faith-Based Organizations and Whistleblower protections

Contractor Initials

KMB

Date 12/19/14



**CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this contract, the Contractor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

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

12/19/14  
Date

Kristi M. Billinger  
Name: Kristi Billinger

Title: Director, Research Administration

Contractor Initials KMB  
Date 12/19/14



Exhibit I

**HEALTH INSURANCE PORTABILITY ACT**  
**BUSINESS ASSOCIATE AGREEMENT**

The Contractor identified in Section 1.3 of the General Provisions of the Agreement agrees to comply with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 applicable to business associates. As defined herein, "Business Associate" shall mean the Contractor and subcontractors and agents of the Contractor that receive, use or have access to protected health information under this Agreement and "Covered Entity" shall mean the State of New Hampshire, Department of Health and Human Services.

**(1) Definitions.**

- a. "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations.
- b. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- c. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
- e. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
- f. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
- g. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
- h. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164 and amendments thereto.
- i. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
- j. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
- k. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

*YMYB*

*12/19/14*



Exhibit I

- 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



Exhibit I

Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.

- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

**(3) Obligations and Activities of Business Associate.**

- a. The Business Associate shall notify the Covered Entity's Privacy Officer immediately after the Business Associate becomes aware of any use or disclosure of protected health information not provided for by the Agreement including breaches of unsecured protected health information and/or any security incident that may have an impact on the protected health information of the Covered Entity.
- b. The Business Associate shall immediately perform a risk assessment when it becomes aware of any of the above situations. The risk assessment shall include, but not be limited to:
  - o The nature and extent of the protected health information involved, including the types of identifiers and the likelihood of re-identification;
  - o The unauthorized person used the protected health information or to whom the disclosure was made;
  - o Whether the protected health information was actually acquired or viewed
  - o The extent to which the risk to the protected health information has been mitigated.

The Business Associate shall complete the risk assessment within 48 hours of the breach and immediately report the findings of the risk assessment in writing to the Covered Entity.

- c. The Business Associate shall comply with all sections of the Privacy, Security, and Breach Notification Rule.
- d. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
- e. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section 3 (I). 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

KMB

12/19/14



Exhibit I

pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard Paragraph #13 of the standard contract provisions (P-37) of this Agreement for the purpose of use and disclosure of protected health information.

- f. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.
- g. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
- h. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.
- i. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.
- j. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.
- k. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.
- l. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business



Exhibit I

Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

**(4) Obligations of Covered Entity**

- a. Covered Entity shall notify Business Associate of any changes or limitation(s) in its Notice of Privacy Practices provided to individuals in accordance with 45 CFR Section 164.520, to the extent that such change or limitation may affect Business Associate's use or disclosure of PHI.
- b. Covered Entity shall promptly notify Business Associate of any changes in, or revocation of permission provided to Covered Entity by individuals whose PHI may be used or disclosed by Business Associate under this Agreement, pursuant to 45 CFR Section 164.506 or 45 CFR Section 164.508.
- c. Covered entity shall promptly notify Business Associate of any restrictions on the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

**(5) Termination for Cause**

In addition to Paragraph 10 of the standard terms and conditions (P-37) of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

**(6) Miscellaneous**

- a. Definitions and Regulatory References. All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.
- b. Amendment. Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.
- c. Data Ownership. The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity.
- d. Interpretation. The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule.

3/2014

Contractor Initials KMB

Date 12/19/14



Exhibit I

- e. Segregation. If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.
- f. Survival. Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section (3) I, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

N.H.D.H.S.  
The State  
MaryAnn Cheney  
Signature of Authorized Representative  
MARYANN CHENEY  
Name of Authorized Representative  
Associate Commissioner  
Title of Authorized Representative  
1/24/10  
Date

University of Kansas Center for Research, Inc.  
Name of the Contractor  
Kristi M. Billinger  
Signature of Authorized Representative  
Kristi Billinger  
Name of Authorized Representative  
Director, Research Administration  
Title of Authorized Representative  
12/19/14  
Date



**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

As the Contractor identified in Section 1.3 of the General Provisions, I certify that the responses to the below listed questions are true and accurate.

1. The DUNS number for your entity is: 076248616
2. In your business or organization's preceding completed fiscal year, did your business or organization receive (1) 80 percent or more of your annual gross revenue in U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

X NO YES

**If the answer to #2 above is NO, stop here**

**If the answer to #2 above is YES, please answer the following:**

3. Does the public have access to information about the compensation of the executives in your business or organization through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

           NO            YES

**If the answer to #3 above is YES, stop here**

**If the answer to #3 above is NO, please answer the following:**

4. The names and compensation of the five most highly compensated officers in your business or organization are as follows:

Name: \_\_\_\_\_ Amount: \_\_\_\_\_

Name: \_\_\_\_\_ Amount: \_\_\_\_\_

Name: \_\_\_\_\_ Amount: \_\_\_\_\_

Name: \_\_\_\_\_ Amount: \_\_\_\_\_

Name: \_\_\_\_\_ Amount: \_\_\_\_\_



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/ltn  
Contract 2014-138

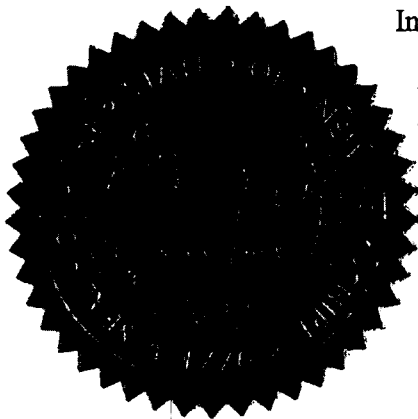
cc: Eric Borrin, DHHS  
Leslie Mason, DoIT

# State of New Hampshire

## Department of State

### CERTIFICATE

I, William M. Gardner, Secretary of State of the State of New Hampshire, do hereby certify that University of Kansas Center for Research, Inc., a(n) Kansas nonprofit corporation, registered to do business in New Hampshire on October 20, 2014. I further certify that it is in good standing as far as this office is concerned, having paid the fees required by law.



In TESTIMONY WHEREOF, I hereto  
set my hand and cause to be affixed  
the Seal of the State of New Hampshire,  
this 21<sup>st</sup> day of October, A.D. 2014

A handwritten signature in black ink, appearing to read "Wm Gardner", written in a cursive style.

William M. Gardner  
Secretary of State

# CERTIFICATE OF VOTE

I, Mary Lee Hummert, do hereby certify that:

(Name of the elected Officer of the Agency; cannot be contract signatory)

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

(Agency Name)

2. The following is a true copy of the resolution duly adopted at a meeting of the Board of Directors of

the Agency duly held on January 12<sup>th</sup>, 2015:

(Date)

**RESOLVED:** That the Director of Research Administration

(Title of Contract Signatory)

was authorized as of December 19<sup>th</sup>, 2014, and remains authorized, on behalf of this Agency to enter into the said contract with the State and to execute any and all documents, agreements and other instruments, and any amendments, revisions, or modifications thereto, as he/she may deem necessary, desirable or appropriate.

3. The forgoing resolutions have not been amended or revoked, and remain in full force and effect as of

the 23rd day of January 2015.

(Date Contract Signed)

4. Kristi Billinger is the duly elected Director of Research Administration

(Name of Contract Signatory)

(Title of Contract Signatory)

of the Agency.

Mary Lee Hummert  
(Signature of the Elected Officer)

STATE OF KANSAS

County of Douglas

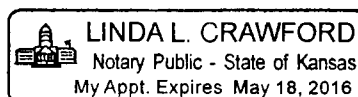
The forgoing instrument was acknowledged before me this 23rd day of January, 2015.

By MARY LEE HUMMERT  
(Name of Elected Officer of the Agency)

Linda L Crawford  
(Notary Public/Justice of the Peace)

(NOTARY SEAL)

Commission Expires: 5-18-2016



# State of New Hampshire

## Department of State

CERTIFICATE OF REGISTRATION OF  
UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
A FOREIGN NONPROFIT CORPORATION

The undersigned, as Secretary of State of the State of New Hampshire, hereby certifies that an Application of UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC. for a Certificate of Registration to transact business in this State, duly signed pursuant to the provisions of Voluntary Corporations and of the New Hampshire Business Corporation Act, has been received in this office.

ACCORDINGLY the undersigned, as such Secretary of State, and by virtue of the authority vested in him by law, hereby issues this Certificate of Registration to UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC. to transact business in this State under the name of UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC. and attaches hereto a copy of the Application for such Certificate.

Business ID#: 716395



IN TESTIMONY WHEREOF, I hereto  
set my hand and cause to be affixed  
the Seal of the State of New Hampshire,  
this 20th day of October, 2014 A.D.

A handwritten signature in cursive script, appearing to read "William M. Gardner".

William M. Gardner  
Secretary of State



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
10/9/2014

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 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).

<b>PRODUCER</b> Calvin Eddy Kappelman Insurance 1011 Westdale Rd.  Lawrence KS 66049-2638		<b>CONTACT NAME:</b> Amanda Lutz <b>PHONE (A/C, No, Ext):</b> (785) 843-2772 <b>FAX (A/C, No):</b> (785) 843-1583 <b>E-MAIL ADDRESS:</b> alutz@cekinsurance.com																						
<b>INSURED</b> University of Kansas Center for Research Inc 2385 Irving Hill Road  Lawrence KS 66044-7552		<table border="1"><tr><th colspan="2">INSURER(S) AFFORDING COVERAGE</th><th>NAIC #</th></tr><tr><td>INSURER A</td><td>Atain Spec. Ins. Co.</td><td></td></tr><tr><td>INSURER B</td><td>State Auto Insurance Companies</td><td>25127</td></tr><tr><td>INSURER C</td><td>Associated International Insur</td><td></td></tr><tr><td>INSURER D</td><td>Houston Casualty Company</td><td></td></tr><tr><td>INSURER E</td><td></td><td></td></tr><tr><td>INSURER F</td><td></td><td></td></tr></table>		INSURER(S) AFFORDING COVERAGE		NAIC #	INSURER A	Atain Spec. Ins. Co.		INSURER B	State Auto Insurance Companies	25127	INSURER C	Associated International Insur		INSURER D	Houston Casualty Company		INSURER E			INSURER F		
INSURER(S) AFFORDING COVERAGE		NAIC #																						
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INSURER C	Associated International Insur																							
INSURER D	Houston Casualty Company																							
INSURER E																								
INSURER F																								

**COVERAGES****CERTIFICATE NUMBER:** 14-15**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 INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<b>GENERAL LIABILITY</b> <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC	<input checked="" type="checkbox"/>		CIP164451	6/30/2014	6/30/2015	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 100,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ Excluded GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000
B	<b>AUTOMOBILE LIABILITY</b> <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> NON-OWNED AUTOS	<input checked="" type="checkbox"/>		BAP2150267	6/30/2014	6/30/2015	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ PIP-Basic \$ 10,000
C	<b>UMBRELLA LIAB</b> <input checked="" type="checkbox"/> OCCUR <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input checked="" type="checkbox"/> RETENTION \$ 10,000	<input checked="" type="checkbox"/>		CUBW5270314	6/30/2014	6/30/2015	EACH OCCURRENCE \$ 5,000,000 AGGREGATE \$ 5,000,000
D	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) <input type="checkbox"/> Y/N If yes, describe under DESCRIPTION OF OPERATIONS below	N/A					WC STATUTORY LIMITS <input type="checkbox"/> OTH-ER <input type="checkbox"/> E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$
D	Errors & Omissions			H714102858	2/10/2014	6/30/2015	Limit \$1,000,000

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

**CERTIFICATE HOLDER**State of New Hampshire  
Dept of Health and Human Services  
Attn: Jonathan V Gallo, Esq  
129 Pleasant St  
Concord, NH 03301-3857**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

AL HACK/LUTZ

## MISSION STATEMENT

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

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

**FINANCIAL STATEMENTS  
TOGETHER WITH INDEPENDENT AUDITOR'S REPORT**

**FOR THE FISCAL YEARS ENDED  
JUNE 30, 2014 and 2013**

**University of Kansas Center for Research, Inc.**

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**CHV****& Co****COCHRAN HEAD VICK & CO., P.A.*****Certified Public Accountants***

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**INDEPENDENT AUDITOR'S REPORT**

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

**Report on the Financial Statements**

We have audited the accompanying financial statements of the University of Kansas Center for Research, Inc. (the Center), a component unit of the University of Kansas (the University), which comprise the statements of financial position as of June 30, 2014 and 2013, and the related statements of activities, and cash flows for the years then ended, and the related notes to the financial statements.

***Management's Responsibility for the Financial Statements***

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

***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

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

***Opinion***

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Center as of June 30, 2014 and 2013, 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.

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### **Other Information**

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards, as required by Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, 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 additional 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.

### **Other Reporting Required by Government Auditing Standards**

In accordance with *Government Auditing Standards*, we have also issued our report dated September 30, 2014, on our consideration of the Center's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control over financial reporting and compliance.

Kansas City, Kansas  
September 30, 2014

*Cochran Head Vick & Co., P.A.*

**University of Kansas Center for Research, Inc.**  
**Statements of Financial Position**  
**June 30, 2014 and 2013**

	<u>2014</u>	<u>2013</u>
<b>Assets</b>		
Current assets:		
Cash and cash equivalents	\$ 9,937,673	\$ 14,205,861
Current investments	36,055,260	28,443,265
Interest receivable	86,258	89,696
Accounts receivable, net:		
Federal	25,276,694	20,174,867
State	1,163,820	1,803,293
Other	9,206,791	5,201,768
Total accounts receivable	<u>35,647,305</u>	<u>27,179,928</u>
Note receivable - current	47,766	45,818
Prepaid expenses	<u>236,635</u>	<u>150,710</u>
Total current assets	<u>82,010,897</u>	<u>70,115,278</u>
Property and equipment, net	22,933,752	24,479,874
Buildings and equipment in progress	<u>948,294</u>	<u>882,668</u>
Total property and equipment	<u>23,882,046</u>	<u>25,362,542</u>
Long-term investments	<u>6,714,103</u>	<u>7,351,304</u>
Other assets		
Bond issuance costs and other	544,635	603,726
Notes receivable	<u>887,160</u>	<u>934,925</u>
Total other assets	<u>1,431,795</u>	<u>1,538,651</u>
Total assets	<u><u>\$ 114,038,841</u></u>	<u><u>\$ 104,367,775</u></u>
<b>Liabilities and Net Assets</b>		
Current liabilities:		
Accounts payable and accrued expenses	\$ 21,940,546	\$ 15,676,140
Current portion of long-term debt	3,332,349	3,054,287
Assets held for others	6,939,183	-
Deferred revenues - sponsored research		
Federal	2,388,230	4,406,008
State	2,065,419	3,336,249
Other	<u>5,779,463</u>	<u>5,332,622</u>
Total deferred revenues	<u>10,233,112</u>	<u>13,074,879</u>
Total current liabilities	<u>42,445,190</u>	<u>31,805,306</u>
Bonds payable, net	<u>37,437,071</u>	<u>40,753,703</u>
Total liabilities	<u>79,882,261</u>	<u>72,559,009</u>
<b>Net Assets</b>		
Unrestricted	27,011,379	25,523,953
Temporarily restricted	1,274,195	533,807
Permanently restricted	<u>5,871,006</u>	<u>5,751,006</u>
Total net assets	<u>34,156,580</u>	<u>31,808,766</u>
Total liabilities and net assets	<u><u>\$ 114,038,841</u></u>	<u><u>\$ 104,367,775</u></u>

See notes to the financial statements

**University of Kansas Center for Research, Inc.**  
**Statement of Activities**  
**For the year ended June 30, 2014**

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
<b>Revenues, Gains, and Other Support</b>				
Direct research income	\$ 126,291,625	\$ -	\$ -	\$ 126,291,625
Facilities & administrative (F&A) revenue	24,677,737	-	-	24,677,737
	<u>150,969,362</u>	<u>-</u>	<u>-</u>	<u>150,969,362</u>
Service centers	4,708,714	-	-	4,708,714
Royalties	5,163,677	-	-	5,163,677
Investment income	1,035,334	990,529	-	2,025,863
Contributions	-	-	120,000	120,000
Other income	640,538	-	-	640,538
	<u>11,548,263</u>	<u>990,529</u>	<u>120,000</u>	<u>12,658,792</u>
Net assets released from restriction:				
Satisfaction of program restrictions	250,141	(250,141)	-	-
	<u>162,767,766</u>	<u>740,388</u>	<u>120,000</u>	<u>163,628,154</u>
<b>Expenses</b>				
Direct research expenses	126,291,625	-	-	126,291,625
Capitalized expenses for property and equipment	(5,176,695)	-	-	(5,176,695)
	<u>121,114,930</u>	<u>-</u>	<u>-</u>	<u>121,114,930</u>
Corporation F&A expenses:				
University support	2,547,977	-	-	2,547,977
Research admin., unit support, startup	13,784,314	-	-	13,784,314
Matching costs	1,465,206	-	-	1,465,206
Interest expense-bonds	1,601,566	-	-	1,601,566
Research unit/school expenses	3,791,486	-	-	3,791,486
Service centers	3,457,834	-	-	3,457,834
Other programs services	3,404,669	-	-	3,404,669
Depreciation	5,160,103	-	-	5,160,103
Loss on disposal of assets	278,081	-	-	278,081
Loss on partial bond refunding	910,088	-	-	910,088
Total expenses	<u>157,516,254</u>	<u>-</u>	<u>-</u>	<u>157,516,254</u>
<b>Change in net assets before transfers</b>	<b>5,251,512</b>	<b>740,388</b>	<b>120,000</b>	<b>6,111,900</b>
<b>Transfers to University</b>	<b>(3,764,086)</b>	<b>-</b>	<b>-</b>	<b>(3,764,086)</b>
<b>Change in net assets</b>	<b>1,487,426</b>	<b>740,388</b>	<b>120,000</b>	<b>2,347,814</b>
<b>Net assets, beginning of year</b>	<b>25,523,953</b>	<b>533,807</b>	<b>5,751,006</b>	<b>31,808,766</b>
<b>Net assets, end of year</b>	<b>\$ 27,011,379</b>	<b>\$ 1,274,195</b>	<b>\$ 5,871,006</b>	<b>\$ 34,156,580</b>

See notes to the financial statements

**University of Kansas Center for Research, Inc.**  
**Statement of Activities**  
**For the year ended June 30, 2013**

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
<b>Revenues, Gains, and Other Support</b>				
Direct research income	\$ 134,468,296	\$ -	\$ -	\$ 134,468,296
Facilities & administrative (F&A) revenue	25,731,884	-	-	25,731,884
	<u>160,200,180</u>	<u>-</u>	<u>-</u>	<u>160,200,180</u>
Service centers	4,620,228	-	-	4,620,228
Royalties	5,224,372	-	-	5,224,372
Donations of equipment - non project funds	37,341	-	-	37,341
Investment income	346,197	565,047	-	911,244
Contributions	-	-	120,000	120,000
Other income	994,067	-	-	994,067
	<u>11,222,205</u>	<u>565,047</u>	<u>120,000</u>	<u>11,907,252</u>
Net assets released from restriction:				
Satisfaction of program restrictions	249,848	(249,848)	-	-
	<u>171,672,233</u>	<u>315,199</u>	<u>120,000</u>	<u>172,107,432</u>
<b>Expenses</b>				
Direct research expenses	134,468,296	-	-	134,468,296
Capitalized expenses for property and equipment	(5,047,026)	-	-	(5,047,026)
	<u>129,421,270</u>	<u>-</u>	<u>-</u>	<u>129,421,270</u>
Corporation F&A expenses:				
University support	579,295	-	-	579,295
Research admin., unit support, startup	11,264,886	-	-	11,264,886
Matching costs	1,058,455	-	-	1,058,455
Interest expense-bonds	1,353,228	-	-	1,353,228
Research unit/school expenses	9,979,035	-	-	9,979,035
Service centers	3,985,604	-	-	3,985,604
Other programs services	5,710,690	-	-	5,710,690
Depreciation	5,341,289	-	-	5,341,289
Loss on disposal of assets	242,908	-	-	242,908
Total expenses	<u>168,936,660</u>	<u>-</u>	<u>-</u>	<u>168,936,660</u>
<b>Change in net assets before transfers</b>	2,735,573	315,199	120,000	3,170,772
<b>Transfers to University</b>	<u>(3,575,460)</u>	<u>-</u>	<u>-</u>	<u>(3,575,460)</u>
<b>Change in net assets</b>	(839,887)	315,199	120,000	(404,688)
<b>Net assets, beginning of year</b>	<u>26,363,840</u>	<u>218,608</u>	<u>5,631,006</u>	<u>32,213,454</u>
<b>Net assets, end of year</b>	<u>\$ 25,523,953</u>	<u>\$ 533,807</u>	<u>\$ 5,751,006</u>	<u>\$ 31,808,766</u>

See notes to the financial statements

**University of Kansas Center for Research, Inc.**  
**Statements of Cash Flows**  
For the years ended June 30, 2014 and 2013

	2014	2013
<b>Operating Activities</b>		
Cash received for research contracts, grants and service accounts and unit support	\$ 154,329,660	\$ 174,468,994
Royalties received	2,580,956	2,285,319
Interest received	736,481	565,841
Payments to suppliers and employees	(148,654,574)	(166,818,181)
Interest paid	(2,840,780)	(1,611,228)
Other operating receipts	5,540,227	6,399,212
Net cash provided by operating activities	<u>11,691,970</u>	<u>15,289,957</u>
<b>Investing Activities</b>		
Purchase of property and equipment	(7,721,774)	(9,629,472)
Purchase of investments	(23,627,850)	(26,223,473)
Proceeds from sales and maturities of investments	17,945,876	26,625,434
Collection of notes receivable	45,817	43,951
Net cash used in investing activities	<u>(13,357,931)</u>	<u>(9,183,560)</u>
<b>Financing Activities</b>		
Proceeds from issuance of bonds payable	10,580,000	-
Bond premium, issuance costs, and other, net	62,773	-
Principal payments of long-term debt	(13,365,000)	(2,845,000)
Permanently restricted contributions	120,000	120,000
Net cash used in financing activities	<u>(2,602,227)</u>	<u>(2,725,000)</u>
<b>Increase (Decrease) in Cash and Cash Equivalents</b>	(4,268,188)	3,381,397
<b>Cash and Cash Equivalents, Beginning of Year</b>	14,205,861	10,824,464
<b>Cash and Cash Equivalents, End of Year</b>	<u>\$ 9,937,673</u>	<u>\$ 14,205,861</u>
<b>Reconciliation of Change in Net Assets to Net Cash Provided by Operating Activities</b>		
Change in net assets	\$ 2,347,814	\$ (404,688)
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	5,160,103	5,341,289
Amortization	(1,167,340)	(186,126)
Donations of equipment - non project funds	-	(37,341)
Loss on disposal of property and equipment	278,081	242,908
Loss on extinguishment of bonds	910,088	-
Realized and unrealized (gains) losses on investments	(1,292,820)	(376,441)
Transfer of assets to University of Kansas	3,764,086	3,575,460
Permanently restricted contributions	(120,000)	(120,000)
Changes in:		
Accounts receivable - research	(3,128,864)	3,760,292
Interest receivable	3,438	31,038
Prepaid expenses	(85,925)	(98,571)
Accounts payable and accrued expenses	925,893	546,265
Assets Held for Others	6,939,183	-
Deferred revenues - research	(2,841,767)	3,015,872
Net cash provided by operating activities	<u>\$ 11,691,970</u>	<u>\$ 15,289,957</u>
<b>Supplemental Cash Flow Information</b>		
Noncash investing activities:		
Donations of equipment - non project funds	<u>\$ -</u>	<u>\$ 37,341</u>

See notes to the financial statements

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

**Nature of Operations and 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 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, 2014 and 2013, cash equivalents consisted primarily of an interest bearing checking account that is fully collateralized by FDIC insurance and US Bank.

**Investments and Investment Return**

Investments consist of equity mutual funds, exchange traded funds, fixed income debt securities, U.S Treasury and agency obligations and corporate obligations rated A- or better (see note 2). 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.

**Bond Issuance Costs**

Bond issuance costs incurred on the revenue bond issues have been deferred and are being amortized over the life of the bonds using the straight-line method.

**Net Assets**

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

Permanently Restricted – Net assets donated 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.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

Temporarily Restricted – Net assets 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.

Unrestricted – Net assets that are free of donor-imposed restrictions and resources used in support of the Center's general operations.

**Revenue Recognition**

Support funded by grants is recognized as the Center performs the contracted services or incurs outlays eligible for reimbursement under the grant agreements. 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.

Research project revenues are received in connection with exchange transactions wherein the Center is obligated to provide certain goods and/or services. Revenues received for research projects are received either in advance of costs incurred or on a cost-reimbursement basis. Any revenues received in advance are deferred. 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. Facilities and administrative (F&A) reimbursement revenues are earned as a percentage of direct costs charged to sponsored projects. The percentage is based on the rate negotiated with the U.S. Department of Health and Human Services and is included in each award budget.

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

The composition of accounts receivable at June 30, 2014 and 2013 are as follows:

<u>June 30, 2014</u>	Receivables	Allowance	Net
Accounts receivable - federal	\$ 25,276,694	\$ -	\$ 25,276,694
Accounts receivable - state	1,163,820	-	1,163,820
Accounts receivable - other	9,275,963	(69,172)	9,206,791
	<u>\$ 35,716,477</u>	<u>\$ (69,172)</u>	<u>\$ 35,647,305</u>

<u>June 30, 2013</u>	Receivables	Allowance	Net
Accounts receivable - federal	\$ 20,174,867	\$ -	\$ 20,174,867
Accounts receivable - state	1,803,293	-	1,803,293
Accounts receivable - other	5,201,768	-	5,201,768
	<u>\$ 27,179,928</u>	<u>\$ -</u>	<u>\$ 27,179,928</u>

**Contributions**

Gifts of cash and other assets received without donor stipulations are reported as unrestricted revenue and net assets. Gifts received with a donor stipulation that limits their use are reported as temporarily or permanently restricted revenue and net assets. When a donor stipulated time restriction ends or purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions. Gifts and investment income that are originally restricted by the donor and for which the restriction is met in the same time period are recorded as temporarily restricted and then released from restriction.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

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's accounting policy is to provide liabilities for uncertain tax positions when a liability is probable and estimable. Management is not aware of any violation of its tax status as an organization exempt from income taxes. The Center is no longer subject to U.S. federal and state income tax examinations by tax authorities for years through 2010.

Reclassification – Certain amounts reported in the prior year have been reclassified to conform to the current year's presentation.

**2) Investments and Investment Return**

The Executive Committee as well as the Finance and Audit Committee of the Center oversee the Center's investments. In accordance with the Center's investment policy, investments are limited to money market funds, U.S. Treasury obligations (Bills, Notes, Bonds), U.S. Government Agency obligations, corporate obligations rated 'A-' or better, equity mutual funds, exchange traded funds, stocks sold on major international exchanges such as NYSE, ASE, and NASDAQ, and fully collateralized repurchase agreements. Asset allocation targets are reviewed semi-annually by the Finance and Audit Committee.

Investments Held by Kansas University Endowment Association

Investments in pooled funds held by Kansas University Endowment Association (KU Endowment) are valued at 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.

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.

Fair Value Measurements

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Center determines fair values based on the fair value hierarchy which requires an entity to maximize the use of observable inputs and minimize the use of unobservable inputs when measuring fair value. The following are the three levels of inputs that may be used to measure fair value: Level 1 inputs consist of quoted prices in active markets for identical assets or liabilities that the Center can access at the measurement date, Level 2 consists of inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, and Level 3 are unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the assets or liabilities.

The determination of where an asset or a liability falls in the hierarchy requires significant judgment. The Center evaluates its hierarchy disclosures for each reporting period; based on various factors; it is possible that an asset or a liability may be classified differently from one reporting period to another. However, the Center expects that changes in classifications between different levels will be rare. The Center uses appropriate valuation techniques based on the available inputs to measure the fair value of its investments. When available, the Center measures fair value using Level 1 inputs because they generally provide the most reliable evidence of fair value.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

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

**Fair Value Measurements at  
Reporting Date Using:**

	Fair Value	Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)
<b>June 30, 2014</b>			
U.S. treasury obligations	\$ 8,278,526	\$ -	\$ 8,278,526
U.S. agency obligations	14,336,061	-	14,336,061
Exchange traded Funds	2,953,780	2,953,780	-
Equity mutual funds	3,406,504	3,406,504	-
Other fixed Income	2,876,051	-	2,876,051
Money market mutual funds	2,914,863	-	2,914,863
Funds held in trust for debt service	843,097	843,097	-
Investments held by KU Endowment	7,160,481	-	7,160,481
	<u>\$ 42,769,363</u>	<u>\$ 7,203,381</u>	<u>\$ 35,565,982</u>
Amounts reported on the statement of financial position			
Current investments	\$ 36,055,260		
Long-term investments	6,714,103		
	<u>\$ 42,769,363</u>		
<b>June 30, 2013</b>			
U.S. treasury obligations	\$ 3,122,492	\$ -	\$ 3,122,492
U.S. agency obligations	18,573,588	-	18,573,588
Exchange traded Funds	982,243	982,243	-
Equity mutual funds	1,190,441	1,190,441	-
Other fixed Income	2,744,023	-	2,744,023
Money market mutual funds	1,274,946	-	1,274,946
Funds held in trust for debt service	1,600,298	1,600,298	-
Investments held by KU Endowment	6,306,538	-	6,306,538
	<u>\$ 35,794,569</u>	<u>\$ 3,772,982</u>	<u>\$ 32,021,587</u>
Amounts reported on the statement of financial position			
Current investments	\$ 28,443,265		
Long-term investments	7,351,304		
	<u>\$ 35,794,569</u>		

Total investment return is comprised of the following:

	2014	2013
Interest and dividend income	\$ 733,043	\$ 534,803
Net realized and unrealized gain/(loss) on investments reported at fair value	<u>1,292,820</u>	<u>376,441</u>
	<u>\$ 2,025,863</u>	<u>\$ 911,244</u>

Investment expense, included in investment income, was \$21,835 and \$20,794 for the years ended June 30, 2014 and 2013, respectively.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

**3) Property and Equipment**

Property and equipment at June 30, 2014 consists of:

	Beginning Balances	Increases	Decreases	Ending Balances
Land	\$ 630,208	\$ 178,600	\$ -	\$ 808,808
Building	1,163,710	291,400	-	1,455,110
Office equipment	439,248	28,513	-	467,761
Scientific equipment	61,645,869	3,341,072	1,322,611	63,664,330
	<u>63,879,035</u>	<u>3,839,585</u>	<u>1,322,611</u>	<u>66,396,009</u>
Less accumulated depreciation:				
Building	72,732	91,406	-	164,138
Office equipment	170,937	51,991	-	222,928
Scientific equipment	39,155,492	5,016,706	1,097,007	43,075,191
	<u>39,399,161</u>	<u>5,160,103</u>	<u>1,097,007</u>	<u>43,462,257</u>
	<u>24,479,874</u>	<u>(1,320,518)</u>	<u>225,604</u>	<u>22,933,752</u>
Buildings and equipment in progress	<u>882,668</u>	<u>607,866</u>	<u>542,240</u>	<u>948,294</u>
Total, net	<u>\$ 25,362,542</u>	<u>\$ (712,652)</u>	<u>\$ 767,844</u>	<u>\$ 23,882,046</u>

The statements of financial position of the Center include only those property and equipment purchases or donations that remain the Center's property. Accordingly, the historical cost of property and equipment purchased by the Center and transferred to the University are reflected within the University's financial statements.

Transfers to the University for 2014 and 2013 were:

	2014	2013
Property, equipment, and other	<u>\$ 3,764,086</u>	<u>\$ 3,575,460</u>

**4) Notes Receivable**

In fiscal year 2010, the Center loaned the Lawrence-Douglas County Biosciences Authority \$1,000,000 to assist in the financing of the construction of the Bioscience and Technology Business Center (BTBC). The note matures on June 21, 2020 requiring a final principal payment of \$651,692 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 2018) and by an assignment of rent from all tenants of the facility.

An additional \$100,000 was loaned to the Lawrence-Douglas County Biosciences Authority on December 15, 2010 under the same terms as the initial note. The second note matures on December 21, 2015 requiring a final principal payment of \$67,522 on the maturity date.

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

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

A summary of changes in notes receivable is as follows:

	June 30, 2013	Additions	Repayments	June 30, 2014	Current Portion
BTBC notes	\$ 980,743	\$ -	\$ 45,817	\$ 934,926	\$ 47,766

Future repayment activity for the notes is as follows:

Year Ending June 30,	Principal	Interest	Total
2015	\$ 47,766	\$ 39,734	\$ 87,500
2016	104,818	37,704	142,522
2017	41,750	33,250	75,000
2018	43,525	31,475	75,000
2019	45,375	29,625	75,000
2020	651,692	27,697	679,389
	<u>\$ 934,926</u>	<u>\$ 199,485</u>	<u>\$ 1,134,411</u>

**5) 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, 2014 and 2013 was as follows:

	<u>2014</u>	<u>2013</u>
<u>University Activity (Unaudited)</u>		
University Research Expenditures	\$ 1,417,715	\$ 4,699,673
University Indirect Cost	91,138	21,371
Total University Activity (Unaudited)	<u>1,508,853</u>	<u>4,721,044</u>
<u>Center for Research Activity</u>		
Center for Research Expenditures non-ARRA	123,938,665	128,264,006
Center for Research Expenditures ARRA	<u>2,352,960</u>	<u>6,204,290</u>
Total Center Research Expenditures	<u>126,291,625</u>	<u>134,468,296</u>
Center Indirect Cost non-ARRA	24,502,726	25,394,716
Center Indirect Cost ARRA	<u>175,011</u>	<u>337,168</u>
Total Center Indirect Cost	<u>24,677,737</u>	<u>25,731,884</u>
Total Sponsored Activity	<u>\$ 152,478,215</u>	<u>\$ 164,921,224</u>

Research expenditures and indirect costs relating to the American Recovery and Reinvestment Act (ARRA) of 2009 are incremental, one-time awards.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

**6) Long-Term Debt**

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

	June 30, 2013	Additions	Retirements	June 30, 2014	Current Portion
Revenue bonds:					
Series 2006G	\$ 13,895,000		\$ 11,175,000	\$ 2,720,000	\$ 640,000
Series 2012E	27,420,000	-	2,190,000	25,230,000	2,230,000
Series 2014E	-	10,580,000	-	10,580,000	200,000
	<u>41,315,000</u>	<u>10,580,000</u>	<u>13,365,000</u>	<u>38,530,000</u>	<u>3,070,000</u>
Bond premium 2006G	364,259	-	306,032	58,227	16,636
Bond premium 2012E	2,128,731	-	221,796	1,906,935	221,796
Bond premium 2014E	-	275,044	786	274,258	23,917
	<u>2,492,990</u>	<u>275,044</u>	<u>528,614</u>	<u>2,239,420</u>	<u>262,349</u>
<b>Total</b>	<b>\$ 43,807,990</b>	<b>\$ 10,855,044</b>	<b>\$ 13,893,614</b>	<b>\$ 40,769,420</b>	<b>\$ 3,332,349</b>

Long-term debt at June 30, 2014, is comprised of the following:

Revenue Bonds	Balance at June 30, 2014
<p>\$17,085,000 - Series 2006G Kansas Development Finance Authority Revenue Bonds (\$15,830,000 tax-exempt and \$1,255,000 taxable). In 2014, \$10,560,000 of the 2006G bonds were advanced refunded with the issuance of the 2104E bonds described below. Remaining annual installments of \$640,000 to \$720,000 with final maturity on 2/1/18. Interest at 4.00% payable semi-annually. A rating of A was assigned by Standard &amp; Poor's and a rating of A1 was assigned by Moody's Investor Services. A debt service reserve fund was established in accordance with the covenants of the bond. At June 30, 2014 the balance in this reserve fund was \$767,033.</p>	\$ 2,720,000
<p>\$29,675,000 - Series 2012E Kansas Development Finance Authority Revenue Refunding Bonds (\$14,075,000 tax-exempt and \$15,600,000 taxable). Due in annual installments of \$2,190,000 to \$2,950,000. Issued 03/15/12 with final maturity on 2/1/24. The first principal payment was due 2/1/13. Interest ranging from 2.00% to 5.00% payable semi-annually. A rating of AA Stable was assigned by Standard &amp; Poor's and a rating of Aa1 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments.</p>	25,230,000
<p>\$10,580,000 - Series 2014E Kansas Development Finance Authority Revenue Bonds (tax-exempt). Due in annual installments of \$90,000 to \$4,045,000. Issued 06/19/14 with final maturity on 02/01/25. The first principal payment is due 02/01/15. Interest ranging from 2.00% to 3.00% payable semi-annually. A rating of AA was assigned by Standard &amp; Poor's and a rating of Aa2 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University's revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds for the 2014E bonds were used to advance refund \$10,560,00 of the 2006G Kansas Development Finance Authority Tax-Exempt Revenue Bonds described above, which were originally used to finance the construction of the Structural Biology Center Phase III building.</p>	<u>10,580,000</u> \$ 38,530,000

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

Proceeds from the 2012E bonds were used to extinguish the Series 2005B Kansas Development Finance Authority Taxable Revenue Bonds, which were originally used to finance the construction of Multidisciplinary Research building.

Proceeds for the 2014E bonds were used to partially advance refund the series 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.

In accordance with University policy, the capitalized costs of the Multidisciplinary Research building and Structural Biology Center Phase III building have been previously transferred to and are reported on University's financial statements. At June 30, 2014 and 2013, the net book value of these facilities was \$40.5 million and \$42.8 million, respectively.

Future revenue bond debt service requirements at June 30, 2014 are as follows:

Year Ending June 30,	2006G		2012E		2014E		Total	
	Principal	Interest	Principal	Interest	Principal	Interest	Principal	Interest
2015	\$ 640,000	\$ 108,800	\$ 2,230,000	\$ 840,050	\$ 200,000	\$ 177,785	\$ 3,070,000	\$ 1,126,635
2016	665,000	83,200	2,275,000	795,450	95,000	284,300	3,035,000	1,162,950
2017	695,000	56,600	2,320,000	749,950	90,000	282,400	3,105,000	1,088,950
2018	720,000	28,800	2,370,000	703,550	845,000	280,600	3,935,000	1,012,950
2019	-	-	2,415,000	656,150	830,000	263,700	3,245,000	919,850
2020-2024	-	-	13,620,000	1,727,050	4,475,000	1,008,650	18,095,000	2,735,700
2025	-	-	-	-	4,045,000	121,350	4,045,000	121,350
	<u>\$ 2,720,000</u>	<u>\$ 277,400</u>	<u>\$ 25,230,000</u>	<u>\$ 5,472,200</u>	<u>\$ 10,580,000</u>	<u>\$ 2,418,785</u>	<u>\$ 38,530,000</u>	<u>\$ 8,168,385</u>

On June 19, 2014, the Center issued \$10,580,000 in tax-exempt bonds with an average interest rate of 2.9% to advance refund \$10,560,000 of outstanding Series 2006G Kansas Development Finance Authority Revenue Bonds (2006G bonds) with an average interest rate of 4.8%. The net proceeds of \$10,518,835 (after payment of \$212,271 in underwriting fees, legal and other issuance costs) plus an additional \$867,093 of 2006G debt service reserve fund monies were deposited into a trust account to partially refund a portion of the 2006G bonds and pay certain expenses incurred with issuance of the series 2014E bonds. As a result, a portion of the 2006G tax-exempt bonds are considered to be legally defeased and the liability for these bonds has been removed from the Center's statement of financial position. A balance of \$2,720,000 of the 2006G tax-exempt bonds remains on the Center's statement of financial position and have final maturity on 02/01/18. The Center refunded a portion of the 2006G tax-exempt bonds to reduce its total debt service payments over the next 12 years by almost \$2,651,000 and to obtain an economic gain (difference between the present values of the debt service payments on the old and new debt) of approximately \$794,000.

**7) Net Assets**

**Temporarily Restricted Net Assets**

Temporarily restricted net assets available at June 30 are restricted for the following purposes:

	2014	2013
Dole Institute	\$ 1,037,379	\$ 421,289
Humanities	236,816	112,518
	<u>\$ 1,274,195</u>	<u>\$ 533,807</u>

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

Permanently Restricted Net Assets

Permanently restricted net assets by purpose at June 30 are as follows:

	2014	2013
Dole Institute	\$ 5,049,881	\$ 5,049,881
Humanities	821,125	701,125
	<u>\$ 5,871,006</u>	<u>\$ 5,751,006</u>

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

Net assets released from restrictions

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

	2014	2013
Dole Institute	\$ 245,513	\$ 246,124
Humanities	4,628	3,724
	<u>\$ 250,141</u>	<u>\$ 249,848</u>

**8) Endowments**

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

The Center's governing body has interpreted the State of Kansas Prudent Management of Institutional Funds Act (SPMIFA) as requiring preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Center classifies as permanently restricted net assets (a) 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 temporarily restricted net assets 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

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

The composition of donor-restricted endowment funds by net asset restriction and the changes in donor-restricted endowment net assets for the years ended June 30, 2014 and 2013 were:

	Restricted	Restricted
Endowment net assets, July 1, 2013	\$ 533,807	\$ 5,751,006
Contributions	-	120,000
Investment income	289,089	-
Unrealized gains(losses) on investments	701,440	-
Amounts appropriated for expenditure	(250,141)	-
Endowment net assets, June 30, 2014	<u>\$ 1,274,195</u>	<u>\$ 5,871,006</u>
Endowment net assets, July 1, 2012	\$ 218,608	\$ 5,631,006
Contributions	-	120,000
Investment income	279,599	-
Unrealized gains(losses) on investments	285,448	-
Amounts appropriated for expenditure	(249,848)	-
Endowment net assets, June 30, 2013	<u>\$ 533,807</u>	<u>\$ 5,751,006</u>

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

KU Endowment has investment policies that attempt to provide a predictable stream of funding to programs supported by operations, as well as endowment donations. Assets are invested in a manner that is intended to produce results that exceed the respective benchmark while assuming a moderate level of investment risk. KU Endowment expects its endowment funds, over time, to provide an average rate of return of approximately 8% annually. Actual returns in any given year may vary from this amount.

**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 policy in which earnings are allocated monthly for spending based on 5.5% of the 12 quarterly average market value of the endowment fund investment pool as of September 30. 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.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

**9) Related Party Transactions**

During the years ended June 30, 2014 and 2013, amounts paid by the University (and reimbursed by the Center) for salaries, benefits, scholarships, fellowships, tuition, and other operating expenses amounted to approximately \$93,998,131 and \$95,633,000 respectively. Of these amounts, approximately \$17,463,015 and \$10,881,000 are included in accounts payable and accrued expenses at June 30, 2014 and 2013, 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, 2014 and 2013:

	2014	2013
Salaries and benefits	\$ 1,887,335	\$ 2,094,353
Start-up	500,000	-
Other Investments	1,068,059	770,552
Utilities	68,229	62,613
Maintenance	27,629	22,725
Custodial	36,556	38,938
	<u>\$ 3,587,808</u>	<u>\$ 2,989,181</u>

Effective July 1, 2009, the University established a central pool for the payout of vacation leave when faculty or staff resign or terminate employment. The current effective rate is 0.3225% of eligible payroll.

The Center provided support to KU Endowment for departmental benefit in funding research, graduate studies, distinguished professorships, scholarships and fellowships. Support of \$2,447,136 and \$4,666,020 was provided to KU Endowment during the fiscal years 2014 and 2013 and is included in other program services on the statement of activities.

The Center and the University of Kansas Medical Center Research Institute, Inc. jointly fund the operations of KU Center for Technology Commercialization (KUCTC). Support of \$1,187,375 and \$1,187,375 was provided to KUCTC during each of the fiscal years 2014 and 2013.

**10) Operating Leases**

Non-cancellable operating leases for facilities used in research projects expire in various years through 2025. These leases generally contain renewal options for periods ranging from one to five years.

Future minimum lease payments at June 30, 2014 were:

2015	\$ 493,701
2016	492,040
2017	453,832
2018	380,904
2019	334,928
Thereafter	<u>1,898,098</u>
	<u>\$ 4,053,503</u>

Rent expense for all operating leases was \$506,126 and \$478,233 for the years ended June 30, 2014 and 2013, respectively.

**UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.**  
**Notes to the Financial Statements**  
**June 30, 2014 and 2013**

**11) 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 \$54,736 and \$42,339 for 2014 and 2013, respectively.

**12) Significant Estimates and Concentrations**

Accounting principles generally accepted in the United States of America require disclosure of certain significant estimates and current vulnerabilities due to certain concentrations. Those matters include the following:

***Grant Revenue***

Approximately 58% of all grant revenues was received from three grantors (federal agencies) in 2014.

**13) Commitments and Contingencies**

The Center has agreed to provide funding to the Bioscience & Technology Business Center, Inc. totaling \$2 million to expand the Bioscience & Technology Business Center. Outstanding amounts under this commitment were \$600,000 as of June 30, 2014.

**14) Assets Held for Others**

In 2000 and 2004, the Center received certain federal grant funds to establish the State of Kansas' Alternative Financing Program and Telework Program (the program). As required by the grant funding agreements, the Center contracted with a community based organization to administer the program. In 2014, the Center terminated the contractual agreements with the community based organization that administered the program. In connection with the termination agreement, the financial assets of the program are to be returned to the Center. During the year ended June 30, 2014, the Center received approximately \$6.9 million. At June 30, 2014, management has estimated that the Center will receive an additional \$1 million upon the finalization and closeout of the program.

The Center has entered into an agreement with another community based organization to administer the 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. According, the amounts of financial assets administered by the Center under the program are also reported as assets held for others. At June 30, 2014, these amounts totaled \$6,939,183.

**15) Subsequent Events**

The Center has evaluated subsequent events through September 30, 2014 the date the financial statements were available to be issued.

**CHV****& Co****COCHRAN HEAD VICK & CO., P.A.*****Certified Public Accountants***

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**Independent Auditor's Report on Internal Control Over Financial Reporting and on Compliance  
and Other Matters Based on an Audit of Financial Statements Performed in Accordance with  
Government Auditing Standards**

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

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, 2014, and the related statements of activities, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated September 30, 2014.

**Internal Control Over Financial Reporting**

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

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the 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.

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### 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 determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control 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.

Kansas City, Kansas  
September 30, 2014

*Cochran Heath Vick & Co., P.A.*

**CHV****COCHRAN HEAD VICK & CO., P.A.****& Co*****Certified Public Accountants***

**Independent Auditor's Report on Compliance for Each Major Program and on  
Internal Control Over Compliance Required by OMB Circular A-133**

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

**Report on Compliance for Each Major Federal Program**

We have audited the University of Kansas Center for Research, Inc.'s (the Center), a component unit of the University of Kansas, compliance with the types of compliance requirements described in the *OMB Circular A-133 Compliance Supplement* that could have a direct and material effect on each of Center's major federal programs for the year ended June 30, 2014. The Center's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

***Management's Responsibility***

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

***Auditor's Responsibility***

Our responsibility is to express an opinion on compliance for each of the Center's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Center's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

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

***Opinion on Each Major Federal Program***

In our opinion, the Center complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2014.

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## Report on Internal Control Over Compliance

Management of the Center is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Center's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Center's internal control over compliance.

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

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

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of OMB Circular A-133. Accordingly, this report is not suitable for any other purpose.

Kansas City, Kansas  
September 30, 2014

*Cochran Hard Vick & Co. P.A.*

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>RESEARCH AND DEVELOPMENT CLUSTER</b>			
<b><u>U.S. Department of Education</u></b>			
<b><u>Direct Award</u></b>			
Fulbright-Hays Doctoral Dissertation Research Abroad Program	84.022A	P022A130019	\$ 33,847
Funds for the Improvement of Postsecondary Education	84.116	P116Z990008	5,000,000
Accommodations and ADA for Post Secondary Students with Disabilities	84.133	H133G090222-11	98,508
Weight Loss by Individuals with Physical Disabilities	84.133	H133G090230-11	(1,495)
The Nexus of Employment, Health and Disability: A Study of Health Status and Quality of Life Among Medicaid Buy-In Participants	84.133	H133G100082 - 12	113,623
Rehabilitation Research and Training Center on Community Living	84.133	H133B110006 - 13	665,865
Assessing Family Employment Awareness Training (FEAT)	84.133	H133G130261	104,799
I-CONNECT PLUS: Enhancing Community Participation for Adolescents and Adults with ASD using Online Instruction, Coaching, and Accessible Self-Management Technologies	84.133	H133A130032	97,704
Rehabilitation Research and Training Center (RRTC) on Measurement and Interdependence in Community Living	84.133	H133B060018-10	151,540
Development and Validation of Online Adaptive Reading Motivation Measures	84.305	R305A110148-14	340,907
Improving Adults Reading Outcomes with Strategic Tutoring and Content Enhancement Routines	84.305	R305B070129	11
A Secondary Analysis of the National Longitudinal Transition Study 2: Examining the Relationships between Expectations, Access and Postsecondary Life Engagement	84.324	R324A100275	31,228
Topic 7-Goal 2: Professional Development that is Systemic, focused on Teacher growth, Incorporates Coaching, Collaboration, cohorts, & increased Knowledge to create Student Success	84.324	R324A090283	32,419
Top 1; Goal 2 - Expanding the Reach of Evidence-Based Interventions for Improving Social-Emotional Outcomes for Infants in Child Care	84.324	R324A100041	248,248
Top 1; Goal 2 - Building Foundations for Self-Determination in Young Children with Disabilities: Developing a Curriculum for Families	84.324	R324A090267	39,735
A Multi-Site Efficacy Trial of the Class-wide Function-related Intervention Teams "CW-FIT": A Research to Practice Agency for Students with and At Risk for EBD	84.324	R324A120344 - 14	729,452
The effects of online decision making support for home visitors using an RTI approach to promoting the language development of at-risk infants and toddlers	84.324	R324A120365 - 14	613,360
Topic 5; Goal 5; Assessing Self-Determination in the Era of Evidence-Based Practices: The Development and Validation of Student and Adult Measures of Self-Determination	84.324	R324A130065	195,876
Exploring the Predictors and Outcomes of Self-Determination for Secondary Students with Disabilities by Analyzing NLTS2 Data	84.324	R324A120411	21,094
Class-wide Function-Based Intervention Teams: A Research to Practice Agenda for Functional Behavior Assessment (CW:FIT)	84.324	R324A070181	22
Early Identification of children with reading disabilities within an RTI framework	84.324	R324A080118	141,151
Top. 1, G2: Children's School Success Curriculum - Plus (CSS+): Supporting All Children's Progress in the General Curriculum	84.324	R324A100239	356,702
CTOP2: Center for Response to Intervention in Early Childhood (CRTIEC)	84.324	R324C080011	1,255,685
Peer Networks Project: Improving Social Communication, Literacy and Adaptive Behaviors for Young Children with ASD	84.324	R324A090091	134,549
High Qualified Unified Early Childhood Educators (HUE) Personnel Preparation, Focus Area A: Serving Infants, Toddlers, and Preschool Age Children with Disabilities	84.325	H325K070102	11,318
The Strategic Writing Model: Secondary Writing Instruction through a Three-Tiered RTI Model	84.326	H326M090003 -12	196,736
The Schoolwide Integrated Framework For Transformation Center (SWIFT)	84.326	H326Y120005 - 13	5,015,792
Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities Model Demonstration	84.326	H326M070005-10	127,956
Kansas State Deaf-Blind Project	84.326	H326C080046-12	45,995
I-Content: Web-based Solutions to Self-management and Support Connections for High School Students with Learning or Emotional/Behavioral Disorders	84.327	H327A100082-11	72,468
Phase II Animated Visual Supports for Social Skills (AVISS): An Interactive Virtual Experience for Social Skill Development	84.327	H327A110062	131,322
Improving outcomes for young children with hearing impairment and other disabilities: Technology for audiometric assessment	84.327	H327A110049 - 12	113,145
Phase 2: Effectiveness of Mobile EBASS-Classroom	84.327	H327A110052 - 13	321,287

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
Development of a Distance Mentorship Program to Improve Services for Children with Deaf-Blindness	84.327	H327A110059-12	117,984
Interactive Field Investigation Guide (iFIG): An Accessible Platform to Provide STEM for All	84.327	H327A110086-2	44,490
Stepping Up: Sustainable Implementation of Innovations for Student Achievement (SIISA)	84.327	H327S120019 - 13	463,371
<b>Pass through Abt Associates, Inc.</b>			
Kansas Project LAUNCH Special Evaluation Study	84.234	Agreement	1,995
Kansas Project LAUNCH Special Evaluation Study-Option Year 3	84.234	40429-2	16,480
<b>Pass through Georgia Institute of Technology</b>			
An adaptive Testing System for Diagnosing Sources of Mathematics Difficulties	84.305	RA614-G1	106,517
<b>Pass through Indiana University</b>			
Joint Attention Mediated Learning Intervention for Toddlers with Autism Spectrum Disorders and their Families	84.324	BL-4240321-UK	183,529
<b>Pass through KS Board of Regents</b>			
KBOR Analysis Tables	84.372	Agreement	3,809
Foresight 2020	84.372	Agreement	3,786
<b>Pass through KS Dept. of Education</b>			
Kansas School Readiness Research Project	84.027	652-11-1713	916
Kansas State Deaf-Blind Project - Professional Development Opportunities for Intervener Training Partnership	84.027	652-13-1778	9,900
Kansas State Personnel Development Grant (SPDG) Program	84.323	652-11-1704	(2,941)
Kansas SPDG Evaluation 2012-17	84.323	652-13-1784	126,121
Kansas SPDG Evaluation 2012-17	84.323	652-14-1800	68,516
Accessibility of Technology-Enhanced Assessments	84.368	652-12-1772	844,397
Career Technology Education Assessment	84.369	652-12-1751	(26,333)
<b>Pass through KS State University, SPA</b>			
<b>Pass through Lehigh University</b>			
Center for Secondary Intervention	84.324	541821-78005	91,287
<b>Pass through Ohio State University</b>			
Language Bases of Skilled Reading Comprehension	84.305	60023887	667,611
<b>Pass through Queens College of CUNY</b>			
Development and Validation of the Supports Intensity Scale for Children	84.324	46374-A	69,992
<b>Pass through Research Triangle Institute</b>			
KU GEAR UP Data Utilization Project	84.334	6-312-0213158	113,319
<b>Pass through SRI International</b>			
Model Demonstration Coordination Center	84.326	51-001287	11,940
<b>Pass through University of Florida</b>			
The Center to Support the Development of Effective Educators to Serve Students with Disabilities	84.325	UF12317	98,465
<b>Pass through University of IL - Urbana-Champaign</b>			
Exploring the Predictors and Outcomes of Self-Determination for Secondary Students with Disabilities Using NLTS2	84.324	2010-07357-01	235
<b>Pass through University of Missouri - Kansas City</b>			
Determining the Efficacy of the Self-Determined Career: Development Model to Improve Employment Outcomes for Adults with Developmental Disabilities	84.133	0043841/00037975	55,817
Determining the Efficacy of the Self-Determined Career Development Model to Improve Employment Outcomes for Adults with Developmental Disabilities	84.133	0053094/00043839	2,609
<b>Pass through University of Montana</b>			
RRTC on the Ecology of Rural Disability	84.133	PG14-25866-03	3,849
<b>Pass through University of Nebraska - Lincoln</b>			
<b>Pass through University of New Hampshire</b>			
Health Disparities Among People with Disabilities	84.133	13-040	2,062
<b>Pass through University of Oregon</b>			
OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports	84.326	223561D	101,929
National Technical Assistance Center on Positive Behavioral Interventions and Supports IV	84.326	224440C	38,937
<b>Pass through University of South Florida</b>			
Technical Assistance Center for Evidence-based Practices to Improve the Social-Emotional Development of Young Children with or at Risk of Disabilities	84.326	5830-1251-00-C Mod 6	23,195
<b>Pass through University of Utah</b>			
Project ASPIRE: Achieving Success in Prompting Readiness for Education and Employment	84.418	10033712	45,392

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through USD 500, Kansas City</b>			
Project STArts: Skillful Thinking in the Arts	84.351	Agreement	110,840
<b><u>U.S. Department of Homeland Security</u></b>			
<b><u>Direct Award</u></b>			
Increasing use of evidence-supported practices for detecting and treating juvenile fire-setting in established mental health agencies	97.044	EMW-2010-FP-01734	99
Increasing use of evidence-supported practices for detecting and treating juvenile fire-setting in established mental health agencies	97.044	EMW-2011-FP-01327	254,781
<b><u>U.S. Department of Commerce</u></b>			
<b><u>Direct Award</u></b>			
Drizzle and Cloudiness Transitions in Southeast Pacific Marine Stratocumulus	11.431	NA10OAR4310160	58,001
Collaborative Research: Representing Calving and Iceberg Dynamics in Global Climate	11.431	NA13OAR4310099	262
<b><u>U.S. Department of Defense</u></b>			
<b><u>Direct Award</u></b>			
Full Wavefield Seismic Imaging Technologies: Active Seismic Imaging (ASI) System	12.000	W912HZ-12-C-0022	822,354
Burst-Mode Synchronization for SOQPSK (SYNC)	12.300	W900KK-11-C-0032	143,237
Improving mesoscale prediction of shallow convection and cloud regime transitions in NRL COAMPS	12.300	N00014-11-1-0518	53,989
Equipment to Support Research on the Impending Spectrum Crisis	12.300	N00014-13-1-0855	440,370
Design and Development of an Ultra-Wideband Microwave Radar for Airborne	12.300	N00173-13-C-2032	348,969
Establishing Optimal Training Intervals for the Marine Corps Martial Arts Program (MCMAP) For Improvement in Physical Performance and Warrior Mindset	12.300	N00014-14-1-0202	43,034
Cooperative Routing for Dynamic Aerial Layer Networks	12.300	FA8750-14-1-0077	25,763
Armored Software	12.300	H98230-13-C-0264	235,815
The Human Geography of Resilience and Change: Land Rights and Political Stability in Latin American Indigenous Societies	12.431	W911NF-13-1-0281	549,908
Optimal Control of Stochastic Systems Driven by Fractional Brownian Motions	12.431	W911NF-10-1-0248	39,355
University of Kansas Research and Educational Support for U.S. Army Programs and Initiatives at Fort Leavenworth, Kansas	12.431	W911NF-10-1-0232	5,654
FY10 Funding for University of Kansas Research and Educational Support for U.S. Army Programs and Initiatives at Fort Leavenworth, Kansas	12.431	W911NF-11-1-0035	732,852
Ground, Environment, and Atmospheric Effects on Long-Range Acoustic Propagation	12.431	W911NF-11-2-0087	62,602
Fundamental Physics of Carbon-based Nanostructures for Infrared and Ultraviolet Detection	12.431	W911NF-12-1-0412	64,824
Stochastic Evolution Equations Driven by Fractional Noises	12.431	W911NF-13-1-0306	52,609
Archaeological Curation Agreement with Tulsa District COE	12.431	W912BV-13-P-0078	3,045
11.1 STIR (3.2 Probability and Statistics) Statistical Inference on Memory Structure of Processes and Its Applications to Information Theory	12.431	W911NF-14-1-0147	9,766
Fabrication and analysis of hybrid nanodevices for biodefense applications	12.431	W911NF-08-1-0303	(969)
A New Mathematical and Computational Framework for BVPs and IVPs in Solids, Fluids, Gases and their Interactions	12.431	W911NF-11-1-0471	78,862
Optimal and Adaptive Control of Stochastic Systems	12.800	FA9550-12-1-0384	90,540
Multidimensional Signal Processing for Sensing & Communications	12.800	FA9550-12-1-0220	155,108
Robotics Challenge: Cognitive Robot for General Missions	12.800	FA8750-12-1-0302	326,897
Radar Networking	12.800	N00173-12-P-0998	21,233
The Development of High-Order Methods for Real World Applications	12.800	FA9550-12-1-0286	165,196
Radar Networking	12.800	N00173-13-P-3930	11,865
Problems in Algebraic and Geometric Combinatorics	12.901	H98230-12-1-0274	9,950
<b>Pass through Ayuda Management Corporation</b>			
Kansas Biological Survey Response to Beale Air Force Base, California Environmental Compliance Support	12.615	KUCR-001	246
<b>Pass through Booz, Allen, Hamilton, Inc.</b>			
Master Agreement with BAH	12.800	99736XSB95	92,915
<b>Pass through Brigham Young University</b>			
Preamble Assisted Equalization for Aeronautical Telemetry (PAQ)	12.910	13-0360	77,894
<b>Pass through Colorado State University</b>			
Governing Processes and Solutions for Large Dilute Plumes	12.300	G-7228-1	8,620

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UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through Institute for International Ed</b>			
Project GO Center:Critical Language Skill and Regional Expertise for 21st Century Officers	12.357	2012-GO-UKS	87,025
Project GO Center:Critical Language Skill and Regional Expertise for 21st Century Officers	12.357	2013-GO-KU	111,460
<b>Pass through Institute for the Study of Learning &amp; Ex</b>			
Autonomous Discovery of Object Properties: Robots That Create Simple Machines	12.300	13431	53,268
<b>Pass through Iowa State University</b>			
Scalable High-order Methods for Nonhydrostatic Mesoscale Atmospheric Modeling Using Adaptive Unstructured Meshes	12.300	421-20-49	36,042
<b>Pass through Oak Ridge National Laboratory</b>			
Toward Computer-Aided Design of Synthetic CWA Receptors (Topic P)	12.351	4000101360	214,141
<b>Pass through Pinnacle Technology Inc.</b>			
Applications and Methods for Continuous Monitoring of Physiological Chemist	12.910	Pin 2013-164KU	311
<b>Pass through Quasonix, LLC</b>			
Miniaturized, Power Efficient C-band Telemetry	12.002	14931	40,451
<b>Pass through Science Applications Int'l Corp</b>			
Upgrading the Operational Submarine Mental Health Screening Test (SUBSCREEN) to	12.800	P010125355	(3,973)
<b>Pass through State University of New York</b>			
Dynamic Spectrum Access in the Low Signal-to-Noise (SNR) Regime	12.800	64040	19,566
<b>Pass through The National Academies</b>			
Applications and Methods for Continuous Monitoring of Physiological Chemist	12.910	Pin 2012-162KU	(3,140)
<b>Pass through USD 207 - Fort Leavenworth</b>			
Cyber T.E.A.M.S.	12.556	none	37,101
<b>U.S. Department of Energy</b>			
<b>Direct Award</b>			
Assessing regional scale variability in extreme value statistics under altered climate scenarios	81.049	DE-SC0005359	124,803
Collaborative Research: Cloudiness Transitions within Shallow Marine Clouds Near the Azores	81.049	DE-SC0006736	95,146
Solvation Dynamics in Nanoconfined and Interfacial Liquids	81.049	DE-FG02-05ER15708	(2,241)
Hunt for New Physics at the Large Hadron Collider	81.049	DE-SC0007863	53,277
Research in Theoretical Particle Physics	81.049	DE-SC0010382	67,496
Targeting DOE-Relevant Ions with Supramolecular Strategies	81.049	DE-SC0010555	62,908
Collaborative Research: Polymeric Multiferroics	81.049	DE-SC0010385	11,273
Atomic and Molecular Physics in Strong Fields	81.049	DE-FG02-04ER15504	99,625
Research in Heavy-Ion Nuclear Physics at CMS	81.049	DE-FG02-96ER40981	312,565
Understanding Nanoscale Confinement Effects in Solvent-Driven Chemical Reactions	81.049	DE-FG02-05ER15708	100,861
Studies of HED Plasmas with Self-Generated Magnetic Fields (f.k.a. Properties and Nonlinear Dynamics of Weibel Turbulence)	81.049	DE-FG02-07ER54940	71,508
"Feedstock to Tailpipe Initiative": Kansas Biofuels Production, Testing and Certification Laboratory	81.087	DE-EE0000408	4,881
Prototype and testing a new volumetric curvature tool	81.089	DE-FE0004566	200,251
Small Scale Field Test Demonstrating CO2 Sequestration in Arbuckle Saline Aquifer and by CO2-EOR at Wellington Field, Sumner County, Kansas	81.089	DE-FE0006821	97,629
ARRA: Modeling CO2 Sequestration in Saline Aquifer and Depleted Oil Reservoir to Evaluate Regional CO2 Sequestration Potential of Ozark Plateau Aquifer System, South-Central Kansas	81.134	DE-FE0002056	1,105,725
<b>Pass through Adventium Labs</b>			
Vetting Commodity IT Software and Firmware (VET)	12.910	1023-KU	27,972
<b>Pass through Arizona Geological Survey</b>			
ARRA: Geothermal Technologies Program: Geothermal Data Development, Collection and Maintenance	81.128	KS-EE002850	18,799
<b>Pass through California State University</b>			
ARRA: Verification of Geothermal Tracer Methods in Highly Constrained Field Experiments	81.132	SC07363910	(106)
<b>Pass through Fermi National Accelerator Lab</b>			
US CMS Group at University of Kansas for Maintenance and Operations Activities Related to the US CMS RP Common Operations Subsystems for FY 2009	81.121	573686	8,640
<b>Pass through National Renewable Energy Laboratory</b>			
IChaRGE - Interdisciplinary Challenge for Recharging Using Green Energy	81.087	AFC-3-23003-06	19,535
<b>Pass through Pacific Northwest National Laboratories</b>			
Design, construction, and implementation of novel biofuel production capabilities in filamentous fungi	81.087	207062	243,691

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through Rsch Partnership to Secure Energy for Am</b>			
Field Demonstration of Chemical Flooding of the Trembley Oilfield, Reno County, Kansas	81.089	11123-28	296,135
Characterization of Potential Sites for Near Miscible CO2 Applications to Improve Oil Recovery in Arbuckle Reservoirs	81.11	09123-18	383,469
<b>Pass through TVN Systems Inc.</b>			
Hydrogen-Bromine Electrical Energy Storage System	81.135	14492	15,206
HBr-based flow battery electrocatalyst synthesis and shunt current protection	81.135	15356	116,085
<b>Pass through University of Calif. Los Angeles</b>			
Molecularly Assembled Material Architectures for Solar Energy Production, Storage and Carbon Capture	81.049	0190 G MA563	177,082
<b>Pass through University of Maryland-College Park</b>			
Electric-Light-Matter-Spin Interaction of Self-Assembled Molecular Spintron	81.049	Z711201	51,079
Manganese-Based Permanent Magnets with 40MGOe3 at 200C	81.135	Z713204	43,813
<b>Pass through University of Tennessee, Knoxville</b>			
Collective Motions in Soft Materials and Biomolecules	81.049	A09-0361-S003-A01	27,915
<b>Pass through University of Texas-Austin</b>			
Novel Coupled thermochronometric and geochemical investigation of blind geothermal resources in fault-controlled dilational corners, Dixie Valley, NV	81.087	UTA12-000336	56,096
ARRA: Detachment Faulting and Geothermal Resources - An Innovative Integrated Geological and Geophysical Investigation of Pearl Hot Spring, NV	81.087	UTA13-000661	63,333
<b>Pass through URS Corporation</b>			
Enhancement of National Carbon Sequestration Database and Geographic Information System (NatCarb)	81.089	RES1201829 / 003	22,474
Enhancement of National Carbon Sequestration Database and Geographic Information System (NatCarb)	81.089	RES1402852	28,881
<b>Pass through Vista Clara, Inc.</b>			
Integrated use of surface and subsurface NMR for measuring and mapping saturated hydraulic conductivity in three dimensions	81.049	Phase 2 DOE	109,540
<b>U.S. Department of Interior</b>			
<b>Direct Award</b>			
• Asian Carp eDNA in the Osage River Basin	15.608	F12AP01204	6,385
Geophysical Methods Development for Subsurface Characterization for Various Near-surface Settings	15.808	G12AC20017	341,729
Serving Biodiversity Data for U.S. Institutions	15.808	G08AC00001	1,557
Geologic and Geomorphic Mapping in the Middle Kansas River Valley	15.810	G12AC20162	(1,071)
Geologic Mapping in Kansas for FY12	15.810	G12AC20279	37,521
Mapping Late Pleistocene and Holocene Geology and Geomorphology of the Kansas River Valley 4): An Undergraduate EDMAP Experience	15.810	G13AC00104	29,558
Geologic Mapping in Kansas for FY13	15.810	G13AC00168	89,764
Kansas Biological Survey FY 2012 PAD-US State Grants	15.811	G12AC20447	5,966
Kansas Oil and Gas Well Geologic Data and Records Preservation	15.814	G12AP20144	15,448
Kansas Oil and Gas Well Geologic Data, Records, and Samples Preservation, FY2013	15.814	G13AP00079	30,410
<b>Pass through AmericaView Inc.</b>			
StateView Program Development and Operations for the State of Kansas	15.808	AV08-KS01	13,663
State View Program Development and Operations for the State of Kansas	15.815	AV13-KS01	10,539
<b>Pass through KS Dept. of Health &amp; Environment</b>			
Floristic Quality Assessment of Sites in Southeast Kansas	15.658	Agreement	20,513
<b>Pass through KS Dept. of Wildlife Parks &amp; Tourism</b>			
Supporting Kansas Department of Wildlife & Parks Natural Resource Management Objectives Using Geographic Information Systems (GIS) & Remote Sensing Technologies	15.611	Agreement	4,204
Natural Resource Mapping Technology	15.611	Agreement	2,254
Supporting Kansas Department of Wildlife & Parks Natural Resource Management Objectives Using Geographic Information Systems (GIS) & Remote Sensing Technologies	15.611	Agreement	81,697
Environmental DNA (eDNA) sampling as a non-invasive monitoring tool for threatened and endangered species: Experimental studies using Topeka Shiners (Notropis topeka)	15.615	Agreement	14,476
Habitat Associations and Ecological Niche Modeling in Eastern Forest Species	15.634	T-30-R-1	50,245
Management Of Protected And Sensitive Species Data For Environmental Review And State Wildlife Conservation Planning	15.634	Agreement	57,836
Recovery plan for the redbelly and smooth earth snakes	15.634	Agreement	37,899
Natural Resource Mapping Technology	15.634	Agreement	31,654

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SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through KS State University, SPA</b>			
Aquifer Storage and Recovery in Near-Surface Aquifers: Development of a New Recharge Approach Using Small-Diameter, Low-Cost Wells	15.805	S12113.01	81,346
Investigation of Recharge to the High Plains Aquifer, Northwestern Kansas	15.805	S12262.01	14,716
Getting the information modelers need: Extracting hydrostratigraphic information from drillers' logs	15.805	S12263.02	13,531
An Assessment of the Lithostratigraphy of Holocene Valley Fills in the Valleys of Streams in the Watersheds of Banner Creek Lake, Centralia Lake, and Atchison County Lake	15.805	S12202	(25)
<b>Pass through KS Water Resources Institute</b>			
Assessing Natural Variability in Groundwater/Surface Water Interactions	15.805	S14204	738
<b><u>U.S. Department of Justice</u></b>			
<b><u>Direct Award</u></b>			
DNA forensics using single molecule technology: from DNA recovery and extraction to genotyping degraded and trace evidence without PCR	16.560	2011-DN-BX-K542	180,413
Exiting the Commercial Sex Trade: An Exploratory Study	16.562	2013-IJ-CX-0014	22,662
<b><u>Environmental Protection Agency</u></b>			
<b><u>Direct Award</u></b>			
Biostabilization of Rammed Earth for Reduction of Waste and CO2 Emissions	66.516	83549701	5,738
<b>Pass through Blue Earth, LLC</b>			
Wetland Research in the Neosho River Basin	66.461	Agreement	619
<b>Pass through KS Dept. of Health &amp; Environment</b>			
2013-2014 National River and Streams Assessment (NRSA)	66.436	2013-NRSA1	27,294
<b>Pass through KS Water Office</b>			
Post-Bank Stabilization Fish Monitoring on Neosho River	66.458	13-131	19,307
Pre- and Post-bank stabilization monitoring on the Cottonwood River - a fish survey	66.458	14-111	6,486
<b>Pass through Tetra Tech Inc.</b>			
Work Order 03 - Training for assessment of wetland sites	66.462	8Work Order No.03	373
<b>Pass through Water Research Foundation</b>			
Evaluation of Lead Service Line Lining and Coating Technologies	66.509	04351	101,121
<b><u>U.S. Department of Health and Human Services</u></b>			
<b><u>Direct Award</u></b>			
CFD Research Support for NIOSH-ESTCP Interagency Agreement on Military Aircraft Painting Ventilation	93.283	200-2013-M-56348	18,154
Innate Immune Receptors and Adjuvant Discovery	93.000	HHSN272200900033C	1,808,347
Translating Effective Maltreatment Intervention into the Community	93.061	R18CE001705	6,570
Im/Miscible Adhesive/Dentin Interface:Structure/Mechanic	93.121	5R01DE014392-10Rev	(158)
Integrative colloidal gels for cranial defect repair	93.121	5R01DE022472-03	364,211
Proton Sponge Adhesives, Interfacial Milieu: Molecular Structure-Mechanics	93.121	5R01DE022054-04	450,438
Morphosyntactic Abilities of SLI Probands	93.173	5R01DC001803-19	587,693
Twins and Singletons with Specific Language Impairments	93.173	5R01DC005226-13	395,370
Interactive book reading to accelerate word learning by children with SLI	93.173	1R01DC012824-02	280,884
Peer-Mediated AAC Intervention for Children with Autism: Effects on Communication	93.173	5R01DC0125630-02	226,153
Biobehavioral Sciences of Communication Disorders	93.173	2P30DC005803-13	83,000
Investigating output modality for a brain-computer interface for communication	93.173	5R03DC011304-03	131,918
Biobehavioral Sciences of Communication Disorders	93.173	5P30DC005803-12	158,848
Sensorimotor Control of the Human Orafacial System	93.173	5R01DC003311-10	133,408
Twins and Singletons with Specific Language Impairment	93.173	5 R01 DC005226-11	12,347
Biobehavioral Sciences of Communication Disorders	93.173	5P30DC005803-10	(10,493)
Word Learning in Children: Normal Development and Language Impairment	93.173	5R01DC008095-05 REV	4,776
ARRA: Communication Success and AAC: A Model of Symbol Acquisition	93.173	5 R01 DC007684-05	(3,227)
Timing and neural bases of complex word recognition: electrophysiological studies	93.173	5R03DC009494-03 REV	23,579
Mechanisms of 5HT2A Receptor Desensitization	93.242	R01MH068612-10	146,922
Testing Determinants of Resilienc: Mental Health, Child Maltreatment and Adaptive Behavior Outcomes	93.242	5R01MH079252-05	277,946
Investigation of neoclerodanes as Novel Opioid Ligands	93.279	5R01DA018151-09	351,968
Peptidic Ligands for Kappa Opioid Receptors	93.279	5R01DA018832-08	255,062
Development of novel opioid peptides for cocaine abuse	93.279	5R01DA032928-03	763,856
Carbamathione, A Novel Disulfiram Metabolite for Cocaine Dependence	93.279	5R21DA021727-02 REV	(1,968)
Peptidic Kappa Opioid Receptor Ligands as Potential Treatments for Drug Addiction	93.279	5 R01 DA023924-05	80,884

See accompanying notes to schedule.

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Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
Laser-enhanced particle-free HIFU heating	93.286	5R03EB015077-02	56,597
MRI-Based Modeling to Evaluate Surgical Efficacy for Reduced OA Risk	93.286	5R01EB008709-04	174,310
Implementing the Health for All Model with the Latino Community of Kansas City	93.307	5R24MD002780-05 Rev	502,010
Pilot Scale Libraries Inspired by Natural Products	93.310	5P41GM089164-03	2,324
Development and Evaluation of Purine and Coumarin Based Hsp90 Inhibitors	93.310	5U01CA120458-08	349,554
University of Kansas Specialized Chemistry Center	93.310	5U54HG005031-06	1,432,048
A resource for the genetic analysis of complex traits	93.351	8R01OD010974-05	497,437
Protein Structure and Function	93.389	8P20GM103420-10	159,158
Probing Diversity Space with Novel Pilot Scale Libraries	93.390	5P41GM076302-06 REVI	5,893
Synthetic Cell Surface Receptors for Anticancer Drug Delivery	93.395	5R01CA083831-12	58,197
Hsp90 Inhibitors	93.395	5U01CA109265-08	206,924
ARRA: Tumor-targeted silencing of Bcl-2/Bcl-xL by the self-assembled siRNA nanovectors	93.395	7R01CA121830-06	56,505
Development of Hsp90 inhibitors for the treatment of cancer	93.395	5R01CA167079-02	349,049
Biomaterials for treatment of head and neck cancer	93.395	1R01CA173292-02	191,227
Project Engage: Building Parents' Capacity to Improve Child Language Outcomes	93.615	6 R62MC24946-02-01	295,122
Kansas Intensive Permanency Project (KIPP)	93.648	90CT0152-04-02	3,158,555
Kansas Partnership for Educating Kids in Care	93.652	90CO1069-01-01	8,951
ARRA: Development and Evaluation of Purine and Coumarin Based Hsp90 Inhibitors			
	93.701	5U01CA120458-5	(64,665)
ARRA: KU Bioinformatics Computing Facility Core Renovation and Improvement	93.701	1G20RR031125-01 REV	15,808
Mining the Aspergillus nidulans Secondary Metabolome	93.701	5P01GM084077-06	208,259
A Randomized Trial of Recommendations for Exercise to Prevent Weight Regain	93.837	5R01HL111842-03	540,916
Dynamic Lumbar-Pelvic Coordination in the Low Back During Lifting	93.846	5R03AR061597-03	59,193
Peptide Enabled Self Assembled Reconfigurable Implant Coatings	93.846	R21AR062249-03	18,921
Gradient-based strategy for osteochondral regeneration	93.846	5R01AR056347-05	292,782
Fibromyalgia and Sleep Treatments	93.846	5R03AR053266-03R	9,863
Inflammation, PXR Modification and Drug Disposition	93.847	5R01DK090558-04	332,248
Chaperones in Diabetic Peripheral Neuropathy	93.847	1R01DK095911-02	233,333
Resistance Training Energy Balance and Weight Management	93.847	5R01DK080832-04	278,028
Mechanism of Hypoxia Inducible Factor 1 in Cerebral Ischemia	93.853	5R01NS058807-06	128,936
Using RNAseq to identify Hox transcriptional targets in neuronal migration	93.853	5R21NS070417-02	57,696
Cytoskeletal Signaling and Axon Guidance	93.853	5R01NS040945-12	192,781
Modulating the BBB to Improve Drug Delivery to the Brain	93.853	5R01NS075374-04	280,637
Chaperone Therapeutics for the Treatment of DPN	93.853	5R01NS075311-03	298,356
Microdialysis Studies of Seizure-Induced Oxidative Stress	93.853	5R01NS066466-05	343,425
Methods for Measuring Sub-second Neurotransmitter Interactions	93.853	5R21NS077485-02	101,530
Role of LRG-47 (Irgm1) in EAE	93.853	5R01NS065482-05	414,897
Analytical Methods for Investigating Peptide Transport	93.853	5R01NS042929-09	145,020
Caveolin-1 and Altered Neuregulinism in Diabetic Neuropathy	93.853	5R01NS054847-05 REV	162,913
Regulation of Virulence Gene Expression in Chlamydia	93.855	5R01AI079083-05	323,718
Structure-function analyses of siderophore biosynthetic enzymes	93.855	5K02AI093675-04	75,480
Characterization of PTMs on Env to support HIV vaccine development	93.855	5R01AI094797-02	409,599
Targeted nanoscale antigen arrays for treating autoimmune diseases	93.855	y5R56AI091996-01A1	267,558
Biomechanical and Computational Molecular Design of Microbicide Delivery Systems	93.855	5R33AI082697-05	458,241
Development and Validation of Conditional Gene Expression Systems in Chlamydia	93.855	1R21 AI03711-01	194,807
NMR studies of bacterial needle and tip proteins	93.855	2R01AI074856-06	72,513
The Regulation of Autolysis in Enterococcus Faecalis	93.855	5R01AI077782-06	51,337
Viral and host responses to HSV infection	93.855	5R01AI072357-04Rev	(1,146)
NMR studies of bacterial needle and tip proteins	93.855	5R01AI074856-05	105,339
Preclinical development of DS-96, a novel alkylpolyamine endotoxin sequestrant	93.855	U01AI077947-05	111,407
Salicylate production in siderophore biosynthesis	93.855	5R01AI077725-04	142,927
Center for Excellence in Chemical Methodologies and Library Development	93.859	5P50GM069663-10	1,070,422
Integrated Resource for Protein Recognition Studies	93.859	5R01GM074255-08R	49,328
Genome packaging of DNA viruses	93.859	5R01GM090010-05	269,465
Reactive Metabolites in Drug Toxicity	93.859	5R01GM021784-34	10,876
Mechanisms and Energetics of Transmembrane-induced Signaling of Cytokine	93.859	5R01GM092950-05	339,569
A Genomic Analysis of Sexual Trait Various Within and Between Species	93.859	5R01 GM085260-04	251,987
Structural Basis of Cytochrome P450 Activity	93.859	5R01GM076343-09	291,985
Identifying inhibitors of protein interactions using pocket optimization	93.859	5R01GM099959-03	277,485
Molecular Analysis of Disease Pathways	93.859	5P20GM103638-02	2,233,571
Structural and Functional Properties of cylophilin D and Abeta interaction	93.859	5R01GM095355-05	376,633
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	5K12GM063651-12	360,156

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The Role of Glycosylation in Regulating Immune Responses	93.859	5R01GM090080-05	332,601
Human Cytochrome P450 4F Enzymes and Drug Interactions	93.859	7R01GM089994-03	282,721
Structure and Function of Cytochrome P450 17A1	93.859	5R01GM102505-03	307,629
Integrated Resource for Protein Recognition Studies	93.859	2R01GM074255-09A1	103,212
Application of solution NMR to (human) membrane cytochrome P450 17A1	93.859	1F32GM103069-02	50,891
Development of a rapid glycosylation profiling system using mass spectrometry data	93.859	8R01GM103547-04	270,677
Center for Cancer Experimental Therapeutics	93.859	5P30GM103495-04	1,301,884
Fiber Laser Excitation CARS Microscopy with Auto-Synchronized Chirped Femtosecond Pulses	93.859	5R21GM103478-03	125,179
Development of a rapid glycosylation profiling system using mass spectrometry data	93.859	R01GM103547	4,207
A Genomic Analysis of Complex Trait Variation in Mimulus	93.859	5R01GM073990-07	379,277
Methods for Bioactive Compound Synthesis	93.859	5R01GM077309-06	254,934
Mechanism and inhibition of collagen prolyl-4 hydroxylases	93.859	5 R01 GM079446-05	106
Regulation and function of PIASy mediated mitotic SUMOylation in vertebrates	93.859	5R01GM080278-05	665
A Web-Based Professional Development Program for Child Care Providers	93.865	5R21HD062874-02	44,476
A Randomized Trial of a School-based Mentoring Program for Aggressive Children	93.865	5F32HD066833-03	9,394
Kansas Intellectual and Developmental Disabilities Research Center (KIDDRC)	93.865	5P30HD002528-47	1,427,267
Demographic and Educational Effects on Long-Term Earnings	93.865	1R03HD073464-01A1	35,253
Interactions of MAO A with vulnerability factors for aggression	93.865	7R21HD070611-03	147,995
Visual Attention, Joint Attention and Emergent Language in Infants	93.865	5K99HD075886-01	108,007
Molecular determinants of retinoid metabolism in embryonic tissues	93.865	1R01HD077260-01A1	18,197
The CCS: A Treatment Outcome Measure for Individuals with Severe ID	93.865	1R01HD076903-01	221,549
Communication of People with Mental Retardation	93.865	5P01HD018955-25R	25,523
A Randomized Exercise Trial for Wheelchair Users	93.865	5R01HD048628-05Rev	(1,549)
Recombinative Generalization of Within-syllable Units in MR	93.865	5 R01HD048528-05	3,027
Early Prevention of Aberrant Behavior in Neurodevelopmental Disorders in Peru	93.865	5R21HD060500-02	522
Economic Explanations for Gender Differences in Biomedical Careers	93.866	5R01AG036820-04	209,605
Abeta degrading enzyme and mitochondrial function	93.866	5R21AG040011-02	216,728
Cellular Cofactors, Neuronal Stress & Rescue, Aging & Alzheimer Disease	93.866	7P01AG017490-11	158,455
Role of Cyclophilin D in Abeta-Induced Synaptic Injury	93.866	5R37AG037319-05S1	467,936
Race/Ethnic and Sex Differences in Health Behavior Patterns in the United States	93.866	7R03AG033331-03	28,759
Novel Hsp90 Inhibitors to Reduce Misfolded Proteins in Alzheimer's Disease	93.866	5U1AG031106-04	1,105
Reactive Oxygen Species and Aging	93.866	5P01AG012993-15	579,679
Epidemiology and Development of Alzheimer's Disease (EDAD)	93.989	1R21TW009665-02	114,080
<b>Pass through Association of University Centers on Disability</b>			
Prevalence of Development Disabilities Among Children with Epilepsy in Rural Populations	93.184	432	43,626
<b>Pass through Battelle Memorial Institute</b>			
Studying Community Programs to Reduce Childhood Obesity	93.000	236802	(5,841)
Studying Community Programs to Reduce Childhood Obesity	93.000	236802	228,505
<b>Pass through Boston University</b>			
Modification of cardiovascular proteins by metabolic disease	93.000	4500001386	79,964
<b>Pass through Brigham &amp; Women's Hospital Research Administration</b>			
Biochemical and in vivo determinants of tau neurotoxicity	93.853	108506	259,406
<b>Pass through Chapel Hill Training Outreach Project Inc</b>			
PFS Spanish Validation Study	93.004	14050	7,073
<b>Pass through ELLENSON INTEGRATION ENTERPRISES INC.</b>			
Development of a new approach to screening for language impairments	93.173	15854	44,918
<b>Pass through Georgia Regents University Augusta</b>			
Coupling Pharmacogenetics and RNA-Seq to Identify Hsp70-dependent Gene Networks	93.847	25034-42	38,385
<b>Pass through Greeley County Health Services</b>			
Evaluation of the Western Kansas Frontier Information Network	93.912	13072	4,676
<b>Pass through Indiana University -Purdue Univ. Indianapolis</b>			
A Pilot Test of CommonGround Based Shared Decision-Making	93.242	IN4694750UK	70,341
<b>Pass through Inframart Corporation</b>			
SBIR/STTR Phase I	93.853	Agreement	(12,636)
<b>Pass through Iowa, State of</b>			
Iowa Judicial Branch Regional Partnership Grant	93.087	14758	13,180
<b>Pass through Kansas Children's Cabinet and Trust Fund</b>			
ECAC: Early Childhood Advisory Council	93.701	37022	435,192
<b>Pass through Kansas Children's Service League</b>			
Adolescent Family Life Demonstration Project	93.995	Agreement	(2,665)

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<b>Pass through Kennedy Krieger Institute</b>			
Translational Analyses of Chronic Aberrant Behavior Across the Life Span - Project 1	93.865	615.271E	57,936
Translational Analyses of Chronic Aberrant Behavior Across the Life Span - Project 3	93.865	915.271E	43,233
<b>Pass through KS Dept. for Aging and Disability Service</b>			
Title XIX - Adult Mental Health	93.242	Agreement	1,930,270
Kansas Institute for Positive Behavior Supports	93.789	KDHE2014-059	287,238
<b>Pass through KS Dept. for Children and Families</b>			
Title XIX-Children's Mental Health	93.242	Agreement	177,778
Title XIX-Adult Mental Health	93.778	Agreement	193,388
<b>Pass through KS Dept. of Health &amp; Environment</b>			
Integrated Community Systems for Youth with Special Health Care Needs	93.110	Agreement	(24)
The Kansas Project LAUNCH Initiative - Project Management	93.243	Agreement	94,515
Kansas Project LAUNCH (evaluation)	93.243	Agreement	55,069
Kansas Maternal, Infant and Early Childhood Home Visiting Program	93.505	Agreement	38,484
KU-CPPR Kansas MIECHV Evaluation	93.505	21720	171,187
<b>Pass through KS State University, SPA</b>			
The function of serpin-2 in mosquito immunity and physiology	93.855	S11224.03	23,720
Norovirus 3CL Protease-Based Anti-norovirus Therapeutics	93.855	S14158	3,796
<b>Pass through KS Tech. Enterprise Corp</b>			
Protein Structure and Function	93.389	KTEC match	(3)
Characterization, Stabilization and Formulation of Virus Like Particle (VLP) Based Monovalent and Multivalent Equine Encephalitis Virus (EEV) Vaccines	93.395	12XS502	786,610
<b>Pass through Materia Inc.</b>			
Si-ROMP Hybrid Reagent/Scavengers for High Throughput Chemistry	93.859	12703	155,919
<b>Pass through National Institute for Pharm Tech &amp; Educ</b>			
Physicochemical and biological evaluations of different IgG1 Fc glycoforms as a model for biosimilar comparability analysis	93.103	NIPTE-U01-KS-2014-00	3,116
<b>Pass through Northeastern University</b>			
Prosody in Congenital and Acquired Dysarthria	93.173	500329-78050	3,532
<b>Pass through Ohio State University</b>			
Antileishmanial Lead Optimization of Quinazolines	93.855	60033736	72,350
<b>Pass through OK Dept. of Mental Health &amp; Substance Abuse</b>			
Evaluation of the Oklahoma Partnership Initiative, Phase 2 2012-2017 Project	93.087	PO 4529044103	32,119
Oklahoma Partnership Initiative, Phase 2: Solution-Focused Brief Therapy Project Evaluation	93.087	PO 4529044080	7,812
Oklahoma Partnership Initiative Local Evaluation FY 2013	93.087	PO4529044333	6,703
Evaluation of the Oklahoma Partnership Initiative, Phase 2 2012-2017 Project	93.087	4529046028	26,928
Evaluation of Tulsa County Family Drug Court	93.243	PO 4529042725	1,746
Evaluation of Tulsa County Family Drug Court	93.243	4529045647	52,933
<b>Pass through Oregon Research Institute</b>			
Web-based Parenting Intervention for Mothers of Infants At-Risk for Maltreatment	93.865	Agreement	143,964
<b>Pass through Perception Research Systems, Inc.</b>			
Simplifying fMRI Integration in the Cognitive Neurosciences	93.242	15351	44,445
<b>Pass through Pinnacle Technology Inc.</b>			
A wireless, real-time, multiple biosensor monitoring system for alcohol-related neurochemical changes	93.279	Pin 2010-154KU	78
Development of a Nicotine Biosensor	93.279	Pin 2012-161KU	1,046
Development of a Nicotine Biosensor	93.279	Pin 2013-165KU	96,253
A Tissue-Implantable Microbiosensor	93.853	Pin 2012-160KU	1,092
<b>Pass through Purdue University</b>			
Protein Aggregation in Amorphous Solids	93.859	4102-31906	(5,813)
<b>Pass through SCRIPPS</b>			
Novel Probes of the Kappa Opioid Receptor: Chemistry, Pharmacology, and Biology	93.279	5-20495	212,885
Novel Probes of the Kappa Opioid Receptor: Chemistry, Pharmacology, and Biology	93.279	PO No. 5-20610	7,393
<b>Pass through Soligenix, Inc.</b>			
Development of stabilized adjuvanted vaccines for biodefense	93.855	Agreement	113,310
<b>Pass through Tulane University</b>			
Pediatric HIV/Aids Cohort Study (PHACS)	93.865	TUL-HSC-441-13/14	18,922
<b>Pass through University of Alabama-Tuscaloosa</b>			
Natural disaster effects on aggressive children and their caretakers: Outcomes across time	93.865	UA14-016	3,315

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<b>Pass through University of Calif. Los Angeles</b>			
UCLA Healthy-by-Default REACH Project	93.738	1916 G RA239	82,410
<b>Pass through University of Chicago</b>			
Membrane Protein Structural Dynamics Consortium	93.859	FP043359	153,933
<b>Pass through University of Colorado at Denver</b>			
Oklahoma Partnership Initiative Phase Two Statistical and Data Collection Work	93.087	37129A-01-00	1,884
<b>Pass through University of Denver Colorado Seminary</b>			
A Multi-Scale FE Musculoskeletal Modeling Framework	93.286	SC37004A-01-00	41,447
<b>Pass through University of Illinois</b>			
Regional Career Development Conference at the Chemistry-Biology Interface	93.859	2012-05394-04(AA935)	7,114
<b>Pass through University of Kansas Cancer Center</b>			
NCI Cancer Center Support Grant	93.397	QJ85912A-Aube	34,905
NCI Cancer Center Support Grant	93.397	QJ85912A-Neufeld	11,980
<b>Pass through University of KS Med Ctr. Research Institute</b>			
Annual Conference on Development of Robust Experimental Assay Methods (aDREAM)	93.310	QS850750	49,164
Therapeutic use of Finasteride for levodopa-induced dyskinesias	93.350	QB85442E	20,000
Binaural speech perception with auditory prostheses	93.350	QB85442C	20,000
Pre-birth Assessment of Language Ability: a Fetal MEG Study	93.350	QB85442K	4,113
Web-based Smoking Cessation Program for Tribal College Students	93.393	QC861260-Little	9,434
Web-based Smoking Cessation Program for Tribal College Students	93.393	QC861260-J. Lee	1,081
Web-based Smoking Cessation Program for Tribal College Students	93.393	QC861260	1,694
NCI Cancer Center Support Grant	93.397	QJ85911C	205
NCI Cancer Center Support Grant	93.397	QJ85911A	(119)
NCI Cancer Center Support Grant	93.397	QJ85911A	11,128
Biomaterials for treatment of head and neck cancer	93.397	QJ85911K	4,177
NCI Cancer Center Support Grant- Core C Lead Development Optimization	93.397	QJ85911C-A.Roy	429
NCI Cancer Center Support Grant - Core C Lead Development Optimization	93.397	QJ85912C- Baltezor	49,937
NCI Cancer Center Support Grant- Core C Lead Development Optimization	93.397	QJ85912C- A.Roy	8,530
Project EAGLE Early Head Start Expansion	93.600	QS814207	2,897
Project EAGLE Early Head Start Expansion	93.600	QS814208	144,738
ARRA: A new probe for the 500 MHz NMR	93.701	QH846890	6,350
Study of Bone Marrow Failure Caused by B19 Virus Infection	93.837	QQ854550	8,231
Neuroimaging Studies of Reward, Impulsivity and Adherence to an Exercise Program	93.847	QS85015A	79,265
Weight Loss and Maintenance for Individuals with IDD	93.847	QD852900 - Mod #2	98,746
Physical Activity and Academic Achievement (A+PAAC)	93.847	QD852890	78,461
Equivalent Weight Loss for Phone and Clinic Weight Management Programs	93.847	QD852870 - Mod#1	(887)
A virtual reality intervention (Second Life) to improve weight maintenance	93.847	QS859810 Mod 1	24,145
Cortical Control of Hindlimb Muscles in Primates	93.853	QC846350 Mod#4	1,839
Identification and Characterization of inhibitors for hantavirus replication	93.855	QM855050	90,698
K-INBRE Bioinformatics Core Facility	93.859	QH846880	32,687
microRNA Scaffolds for increased miRNA processing efficiency in cancer cells	93.859	QH846880	2,869
Nanovectors targeting pancreatic cancer stem cells	93.859	QH846880	4,360
Kansas IDeA Network of Biomedical Research Excellence (K-INBRE)	93.859	QH846880	2,059
Kansas IDeA Network of Biomedical Research Excellence	93.859	QH846880	281
Targeted nanoscale antigen arrays for treating autoimmune diseases	93.859	QH846880	155
Kansas IDeA Network of Biomedical Research Excellence - UCO-Outstanding Mentor	93.859	QH846880	(85)
HSV-1-mediated proteolysis of cellular targets	93.859	QL859680	37,071
Post-Doctoral Award, Dr. Xiaoqing Wu	93.859	QH846890	32,500
Inhibitors of AraC family virulence activators in Enterotoxigenic E. coli and Shigella	93.859	QL859684	51,202
K-INBRE Bioinformatics Core Facility	93.859	QW864600	8,553
KINBRE STAR Trainee Program	93.859	QH846890	10,588
K-INBRE Bioinformatics Core Facility	93.859	QH846890	184,679
Kansas IDeA Network of Biomedical Research Excellence - UCO-Outstanding Mentor	93.859	QH846890 Mod #1	12,871
Kansas IDeA Network of Biomedical Research Excellence	93.859	QH846890 Mod #1	38,470
Undergraduate Support Core/Summer Scholar Award (KINBRE); Student-Ryan Xiao	93.859	QH846890 Mod #1	20,000
KINBRE Mentor-Azuma	93.859	QH846890	10,950
Functional analysis of Ewing sarcoma proteins EWS/FLI1 and EWS	93.859	QH846890	100,613
HSV-1-mediated proteolysis of cellular targets	93.859	QL859684	2,539
DHA Supplementation and Pregnancy Outcomes	93.865	QC816711	46,394
Mito Genomics Metabolism: Core G	93.866	QS85522G	90,464
University of Kansas Alzheimer's Disease Core Center	93.866	QS85522B	11,061
Targeting Aβ-ABAD interaction as a potential therapeutic strategy for Alzheimer's disease	93.866	QS85523J	19,790

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Mito Genomics Metabolism: Core G	93.866	QS85523G	140,835
University of Kansas Alzheimer's Disease Core Center	93.866	QS85523B	23,506
Neighborhood Walkability and Sedentary Behavior in Alzheimer's Disease	93.866	QS85523J	24,893
<b>Pass through University of KS Medical Center</b>			
Project EAGLE: Connections	93.001	QS862190	2,669
Kansas IDeA Network of Biomedical Research Excellence	93.859	QH846880	(6,349)
<b>Pass through University of Minnesota</b>			
Psychological and Cognitive Mechanisms Underlying Sexual Compulsivity	93.242	N002219002	12,972
<b>Pass through University of Missouri - Kansas City</b>			
ARRA: African Americans in Health Science Research	93.701	0045298/00028962	2,859
The Prevention of HIV/AIDS by Stimuli-Sensitive Nanomedicine for Microbicide Delivery	93.855	0037296/00033505	28,054
<b>Pass through University of Missouri-St. Louis</b>			
Neuropathogenesis of clade C HIV in South Africa	93.242	00024395-5	23,465
<b>Pass through University of New Hampshire</b>			
Reducing Health Disparities among People with Intellectual Disabilities - Component A	93.184	13-043	1,713
<b>Pass through University of New Mexico</b>			
Capitalizing on NSAID enantiomer selectivity for cancer therapy (PQ5)	93.393	17057	25,011
Exploring moderating roles of home/classroom quality in relations between language	93.865	971137-87R8	34,978
<b>Pass through University of North Carolina at Chapel Hill</b>			
Family Adaptation to Fragile X Syndrome - Project 1 - Maternal Responsively and the Development of Children with FXS and Ethnographic & Qualitative Methods Core	93.865	5-51088	120,874
<b>Pass through University of Virginia</b>			
Development of Inhibitors of the Leukemia Fusion Protein CBFbeta-SMMHC	93.395	GC11989 136441	75,657
<b>Pass through University of Wisconsin-Madison</b>			
Monkeypox Ecology: An Integrated Approach to Investigations of the Sylvatic Reservoirs	93.989	255K780	153,868
<b>Pass through University of South Carolina</b>			
Three State Rare Conditions Surveillance Project	93.184	13-2201	857
<b>Pass through Virginia Tech</b>			
SIPSMARTER: a Nutrition Literacy Approach to Reducing Sugar-Sweetened Beverages	93.394	431680-19799	15,661
<b>Pass through Washington University, St. Louis</b>			
A pilot study on the development and implementation of a community-driven, comprehensive online diabetes information and management resource for American Indians from the Great Plains	93.847	WU-13-56-MOD-1	11,464
Washington University Center for Diabetes Translation Research	93.847	WU-14-161	10,596
<b>Pass through Westat, Inc.</b>			
Westat Formative Evaluation	93.648	8977-S-004	167,662
<b>Pass through Wichita State University</b>			
The Aging Pituitary-Gonadal Axis	93.866	SUB090220-4-1	23,523
<b><u>Library of Congress</u></b>			
<b>Pass through Southwest Research Institute</b>			
Electron Energy Distributions to be Measured by the Rosetta RPCIES Instrument	42.002	E99054DB	8,590
<b><u>National Aeronautics and Space Administration</u></b>			
<b><u>Direct Award</u></b>			
Metallicity distribution functions of 4 Local Group dwarf galaxies	43.001	HST-GO-12304.02-A	6,830
JPL Cycle 5 Spitzer Research Support	43.001	1348943	2,342
Modeling of Electrons and Ions in the Plume of Enceladus	43.001	NNX10AF15G	45,755
Influences of External Radiation and Energetic Particle Inputs on Upper Atmospheres and Ionospheres: Titan and Jupiter	43.001	NNX10AB86G	132,090
Subglacial water and Antarctic ice dynamics	43.001	NNX10AP05G	53,108
Separating environmental triggers of morphological transformation and star formation quenching	43.001	HST-AR-12152.01-A	28,856
Deployment of a radar instrumentation suite to monitor land and sea ice in support of Operation ICE Bridge	43.001	NNX10AT68G	(92,963)
Antarctic Impulsive Transient Antenna: A Suborbital Ultra-high Energy Particle Telescope	43.001	NNX11AC47G	82,936
Beyond Backstress: data driven assessment of outlet glacier dynamics	43.001	NNX11AR23G	295,292
EcoSAR: The first P- band Digital Beamforming Polarimetric Interferometric SAR instrument to measure Ecosystem Structure, Biomass, and Water	43.001	NNX11AG51G	259,391
A data-driven, Semantic Web system for geospatial modeling of the impact of changing environments on health and disease	43.001	NNX12AF45A	143,225

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Galaxy Assembly at High Densities: HST Dissection of a Cluster at z=1.62	43.001	HST-GO-12590.11A	9,748
Pressure Adaptive Wing Surface (PAWS) Flight Control and Fuel Efficiency	43.001	NNX11AN96A	3,816
Enhancing Airborne Remote Sensing Radar to Provide Higher Quality Ice Sheet Measurements Used for Predicting Sea-level Rise	43.001	NNX12AN95H	11,322
Deployment of CReSIS Radar Instrumentation and Data Management Activities in Support of Operation Ice Bridge	43.001	NNX13AD53A	1,241,097
Modeling of Plasma and Dust in the Plume of Enceladus	43.001	NNX13AG04G	36,326
Scalable Adaptive High-Order Methods for Turbulent Flow Simulations	43.001	NNX12AK04A	123,368
Energy Deposition in the Upper Atmospheres of Jupiter and Saturn by Energetic Particles: The Polar Aurora and Atmospheric Electrodynamics	43.001	NNX14AG79G	2,596
Spatially Resolved Observations of Gas Stripping in Intermediate Redshift Clusters and Groups	43.001	HST-GO-12945.01-A	3,444
NASA Earth & Space Science Fellowship 2013 (NESSF 2013)	43.001	NNX13AN92H	22,392
Adaptation of the Snow Radar for NASA Global Hawk and Ikhana Unmanned Aircraft in Support of Operation Ice Bridge	43.001	NNX13AQ30A	14,623
Unique radar characteristics of the subsurface of Mars	43.001	1299600	1,872
Gamma-Ray Burst Models for GLAST	43.001	NNX08AL39G	34
Multichannel Sense-and-Avoid Radar for Small UAVs	43.002	NNX13AB76A	149,099
NASA EPSCoR - "Feasibility of Renewable Feedstocks for Production of Bio-jet Fuel"	43.008	SUB3138-17-3	11,702
<b>Pass through Southwest Research Institute</b>			
Cassini Ion Neutral Mass Spectrometer (INMS) Team Member Participation	43.002	D99006L	63,833
<b>Pass through United Negro College Fund</b>			
Jenkins Fellowship Program (JFPF) Determination of Ice & Basal Properties of Outlet Glaciers, N. Greenland	43.008	Award Letter	20,949
<b>Pass through University Corp for Atmospheric</b>			
System for Integrated Modeling of Metropolitan Extreme Heat Risk (SIMMER)	43.000	Z11-87946	73,969
<b>Pass through University of Colorado</b>			
Participation in NASA Mars Atmosphere and Evolution mission	43.001	1546525	32,128
<b>Pass through University of Texas-Austin</b>			
Physical Controls on Ocean-Terminating Glacier Variability in Central West Greenland	43.001	UTA12-001013	36,859
<b>Pass through Washburn University</b>			
Astrophysical Ionizing Photon Events and Primary Productivity of Earth's Oceans	43.001	NASABT09001	297
<b>Pass through Wichita State University</b>			
Cure Management for Bonded Composite Repair	43.008	SUB5200-4-2	19,212
KNEP CAN/Nanostructured Solid-State Energy Storage Devices for Wide-Temperature Applications in Space Exploration	43.008	WSU1495	49,009
<b>National Endowment for the Arts</b>			
<b>Direct Award</b>			
Friedrich Nietzsche and the Problem of Pessimism	45.160	FA-57106-13	50,424
Charles Peirce and the Role of Aesthetic Expression in 19th-Century Philosophy and Semiotics	45.160	FA-57755-14	25,180
Narratives and Metanarratives of the Silk Road	45.160	FA-57828-14	24,291
Planning for Lifecycle Management and Long-Term Preservation of Research Data: A Federated Approach	45.312	LG-51-12-0695-12	31,909
<b>Pass through University of California - Berkeley</b>			
The Tree Room: Teaching and learning about evolutionary relationships	45.312	00008059	4,394
<b>National Regulatory Commission</b>			
Innovative Nuclear Engineering Materials and Corrosion Modules for Enhancement and Expansion of the US-NE Educational Infrastructure	77.006	NRC-38-10-978	(366)
Curriculum Models for Nuclear Engineering: Corrosion and Radiation Effects on Electronic Materials	77.006	NRC-HQ-12-G-38-0056	101,428
<b>National Science Foundation</b>			
<b>Direct Award</b>			
EFRI-RESTOR: Regenerative Hydrogen-Bromine Fuel Cell System for Energy Storage	47.041	EFRI-1038234	422,722
REU Site: Biofuels Development - Feedstock to Tailpipe	47.041	EEC-1063097	108,750
Relationship of Theoretical Nano-scale Structure/Properties of Calcium	47.041	CMMI-1068528	91,737
Toward A Greener Ethylene Oxide Technology	47.041	IIP-1127765	32,522
Whispering Gallery Mode Imaging for Early Detection of Ovarian Cancer	47.041	CBET-1133814	125,733

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MR1: Acquisition of an FEI Versa 3D dual-beam FIB/SEM for Catalysis and Materials Research	47.041	CBET-1229645	190,648
EAGER: Electrical Grid Leveling by Distributed Energy Storage	47.041	CBET-1135368	9,425
Biomechanical Rehabilitation Engineering Advancement in Kansas	47.041	CBET-1160130	19,484
BRIGE: Heterogeneous Traffic over Heterogeneous Relay Networks	47.041	ECCS-1228071	19,262
Workshop: High-Pressure Processes in Sustainable Energy	47.041	CBET-1226262	5,144
RET: Shaping Inquiry from Feedstock to Tailpipe with Education Development (SHIFTED)	47.041	EEC-1301051	1,796
Bottom-Up Manufacturing of Sustainable Magnetic Nanocrystal Assembly	47.041	CMMI-1332658	5,132
Collaborative Research: EAGER: Exploring the Feasibility of a Novel Thermosyphon/Heat Pipe Heat Exchanger with Low Air-Side Thermal Resistance	47.041	CBET-1435131	1,918
Collaborative Research: Transmission of quantum information in circuits of superconducting qubits	47.049	PHY-1314861	24,706
Stochastic Analysis of Gaussian Fractional Noises	47.049	DMS-0904538	19,437
Information-Theoretical Methods in Statistics	47.049	DMS-0906929	5,183
Stability in Discrete and Continuous Dynamical Systems	47.049	DMS-0908802	7,076
Understanding Vibrational Spectroscopic Probes of the Structure and Dynamics of Liquids Confined in Mesoporous Materials	47.049	CHE-1012661	135,389
Collaborative Research: University Program of Detector Research for the ILD Detector Concept at the ILC	47.049	PHY-0935339	83,455
CAREER: Structural and Electronic Contributions to Reactivity in Peroxomanganese(III) Compounds	47.049	CHE-1056470	96,786
CAREER: Nanoscale ballistic spin transport in semiconductors	47.049	DMR-0954486	53,383
Experimental Particle Physics Research	47.049	PHY-0970004	214,592
Collaborative Research: Sharpening the Lithium Probe of Stellar Evolution	47.049	AST-11211621	80,806
Topics in Anisotropic Mesh Adaptation and Application to Anisotropic Diffusion Problems	47.049	DMS-1115118	49,734
Simulation and Theory of Solid-Liquid Interfaces and Grain Boundaries	47.049	CHE-0957102	17,613
Catalytic allylation and benzylation methods	47.049	CHE-1058855	1,735
CAREER: Controlling non-adiabatic reaction dynamics in solution: A window on the fundamental details of photochemical reactions	47.049	CHE-1151555	132,005
Homological Properties of Commutative Rings and Applications	47.049	DMS-1104017	41,146
Probing and manipulating superconductivity in nanostructures	47.049	DMR-1105986	80,325
Fourier Analysis and Multilinear Operators	47.049	DMS-1069015	69,569
Control of Stochastic Systems	47.049	DMS-1108884	99,520
International Collaboration in Chemistry: LOV Domain Signaling	47.049	CHE-1124946	92,931
Linear and Nonlinear Stability for Infinite-Dimensional Dynamical Systems	47.049	DMS-1211315	51,960
Self-Consistent Studies of Particle Acceleration In and Radiation Emission From Relativistic Outflows of GRBs	47.049	AST-1209665	258,515
Numerical methods for linear and nonlinear implicit PDE simulation	47.049	DMS-1115759	34,206
Approximation of Infinite Dimensional Dynamics	47.049	DMS-1115408	47,826
Azulene-bridged Organometallics: New Platforms for Charge Delocalization and Transport at the Nanoscale	47.049	CHE-1214102	81,036
Stochastic Analysis of Gaussian Fractional Noises	47.049	DMS-1208625	38,920
Research Problems in Harmonic Analysis and Partial Differential Equations	47.049	DMS-1160981	35,145
On Two Topics in Algebraic Geometry	47.049	DMS-1206434	24,119
Stability of Nonlinear Waves in Dissipative and Dispersive PDE	47.049	DMS1211183	10,228
Stability of waves in discrete and continuous dynamical systems	47.049	DMS-1313107	39,182
Characterizing the Molecular Gas Contents of High Redshift Galaxies	47.049	AST-1211358	40,473
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1263259	84,380
Experimental Particle Physics at the Collider and Cosmic Ray Energy Frontiers	47.049	PHY-1306953	355,040
MR1: Development of UHV SPM-TERS in situ Characterization Interfaced with UHV Sputtering-Atomic Layer Deposition System	47.049	DMR-1337737	76,327
NSMDS: Sustainable chemical innovations by an integrated design approach	47.049	CHE-1339661	328,477
CAREER: Understanding the role of quantum coherence in exciton	47.049	DMR-1351716	4,087
Bioinspired High Mechanical Performance Artificial Extracellular Matrices	47.049	DMR-0805264	24,749
CAREER: Gradients and umbilical cord stem cells in osteochondral tissue engineering	47.049	DMR-0847759	27,482
Dating metamorphism with accessory minerals - integrated in-situ geochronology and trace element budgeting of metamorphic reactions	47.050	EAR-0911633	21,073
Geomorphic Evolution and Heterogeneity of Holocene Carbonate Tidal Sand Shoals	47.050	EAR-0922122 Mod 4	632
Collaborative Research: Analytical Techniques and Software: Development of CyberInfrastructure to Support Laser-Ablation ICP Mass Spectrometry	47.050	EAR-0930173	324
Upgrade of a GPR System for Field Investigations, Student Training and Enhancement of Outreach Activities at the University of Kansas	47.050	EAR-1029120	54,477

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Understanding the Diversity and Biology of Microbes in Late Paleozoic Ecosystems	47.050	EAR-0949947	29,334
Synchrotron X-ray fluorescence micro-spectroscopy: A new approach to determine the origin of life on Earth	47.050	EAR-1053241	97,415
Collaborative Research: Investigating Lithologic and Stratigraphic Controls on Hydrogeology in Neogene Strata of the Central High Plains Aquifer	47.050	EAR-1023285	40,511
Collaborative Research: WSC-Category 3: Toward Sustainability of the High Plains Aquifer Region: Coupled Landscape, Atmosphere, and Socioeconomic Processes (CLASP)	47.050	EAR-1039247	39,941
Collaborative Research: Chronology and Paleoecology of late Quaternary Proboscidean extinctions in the Great Lakes region (USA)	47.050	EAR-1050261	28,553
Collaborative Research EaSM2: Linking Human and Earth System Models to Assess Regional Impacts and Adaption in Urban Systems and Their Hinterlands	47.050	AGS-1243060	112,142
The interplay between methanotrophy, methanogenesis, and soil geochemistry and its impact on net methane flux to the atmosphere from Arctic soils	47.050	EAR1261748	33,703
Collaborative Research: Actualistic Calibration of the Sphaerosiderite Paleoclimate Proxy	47.050	EAR0643334	1,178
Collaborative Research: Stabilized Organic Carbon and Paleoenvironmental Interpretations of Late Quaternary Paleosols	47.050	EAR-1226757	4,690
Collaborative Research: GENI Working Group Meetings - Substrate	47.070	CNS-0936815	13,119
CAREER: Implementing a New Parallelization Model for Virtual Machines	47.070	CNS-0953268	70,151
EAGER: Multilayer Network Resilience Analysis and Experimentation on GENI	47.070	CNS-1050226	30,592
CAREER:Filling the Gaps in Domain-Specific Functional-Based Solutions High-Performance Execution	47.070	CCF-1350901	1,886
GENI-FIRE Workshop	47.070	CNS-1058521	23,345
SHF: SMALL: Improving the Applicability of Haskell-hosted Semi-Formal Models to High Assurance Development	47.070	CCF-1117569	195,589
NeTS: Small: Exploiting Adaptive Protocols in Packet-Based Broadband Wireless Networks	47.070	CNS-1216132	98,721
NeTS: Small: Collaborative Research: Resilient Network Design for Massive Failures and Attacks	47.070	CNS-1219028	46,423
CAREER: New Foundations for Next-Generation Reliable Throughput Architecture Design	47.070	CCF-1351054	2,389
MRI: Acquisition of Computing Equipment for Supporting Data-intensive Bioinformatics Research at the University of Kansas	47.070	CNS-1337899	405,652
SHF:Small:Collaborative Research:Exploring Energy-Efficient GPGPUs Through Emerging Technology Integration	47.070	CCF-1320730	1,648
KanSec: the Greater Kansas Area Security Workshop	47.070	CNS-1321908	7,739
Collaborative Research: NeTS-FIND: CogNet - An Experimental Protocol Stack for Cognitive Radio Networks and Its Integration with the Future Internet	47.070	CNS-0626676	(9,477)
CAREER: Machine Learning Approaches for Genome-wide Biological Network Inference	47.070	IIS-0644366	(429)
MRI: Development of an Anechoic Chamber and Instrumentation for Remote Sensing of Polar Regions and Transportation Interdisciplinary Research and Education	47.070	CNS-0923443	176,480
Computational Studies of Helix and Beta-Hairpin Dynamics and Orientation in Biological Membranes	47.074	MCB-0918374	4,075
The molecular basis for epigenetic inheritance of trichome patterning in Mimulus	47.074	IOS-0951254	78,800
ETBC: Temperature sensitivity of substrate decomposition from enzymes to microbial communities	47.074	DEB-0950095	177,418
A specimen-level database of the world's bees (Apoidea) at the University of Kansas	47.074	DBI-1057366	94,277
LTREB: Long-term studies of secondary succession and community assembly in the prairie-forest ecotone of eastern Kansas	47.074	DEB-0950100	42,990
The epigenetics of RNA based silencing and transposon control in Drosophila virilis	47.074	MCB-1022165	21,210
Using Images and Optimized Workflow for Automated Data Acquisition of Mexican Plant Specimens at MICH	47.074	DBI-0968352	(9,760)
Collaborative Biodiversity Collections Computing	47.074	DBI-0960913	256,983
ABC transporters and RNAi in Caenorhabditis elegans	47.074	MCB-0951296	24,492
Collaborative Research: ABI Development: Development and Application of Graphical User Interfaces for System Building and Analysis of Membrane Simulations	47.074	DBI-1145987	131,603
DISSERTATION RESEARCH: Experimental Evolution of Mating System under Varying Pollinator Availability in Mimulus guttatus	47.074	DEB-1010899	(5)
DISSERTATION RESEARCH: Comparative Phylogeography of Dynamic Archipelago	47.074	DEB-1011423	1,061
Plant recruitment, coexistence and community assembly in developing prairie restorations	47.074	DEB-1021158	139,038

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CAREER: Integrating phylogenetics and development to investigate character evolution in hydrozoans	47.074	DEB-0953571	127,410
Collaborative Research: RUI: Understanding diversity in camas and rush lilies: can a unified approach resolve species boundaries in difficult groups?	47.074	DEB-1145847	99,973
CAREER: Does crowding stabilize intrinsically disordered proteins?	47.074	MCB-1149538	79,137
Collaborative research- Evolution of living and fossil green lacewings (Chrysopidae): phylogenetics, informatics and a universal ontology for Neuroptera	47.074	DEB-1144162	31,277
Collaborative Research: CSBR: Natural History Collections: Georeferencing U.S. Fish Collections: a community-based model to georeferencing natural history collections	47.074	DBI1203462	77,363
ABI Development: Collaborative Research: VertNet, a New Model for Biodiversity Networks	47.074	DBI-1062200	4,006
DISSERTATION RESEARCH: Testing the Pleistocene aggregate island complex (PAIC) model of diversification in co-distributed avian lineages	47.074	DEB-1110619	7,132
Dissertation Research: Evolution of the weevils and development of the weevil rostrum (Coleoptera: Curculionoidea)	47.074	DEB-1110590	818
DOCTORAL DISSERTATION: Toward resolving lecanicephalidean familial relationships using morphology and molecules	47.074	DEB-1110468	2,889
Collaborative Research: Digitization TCN: InvertNet--An Integrative Platform for Research on Environmental Change, Species Discovery and Identification	47.074	EF-1115051	34,511
OPUS: Marsupial Frogs and Their Allies: A Successful Evolutionary Experiment in Diversification of Reproductive Modes	47.074	DEB-1118879	330
Collaborative Research: Arbor: Comparative Analysis Workflows for the Tree of Life	47.074	DEB-1208472	218,644
COLLABORATIVE RESEARCH: Systematics of a pantropical diversification: the suboscine passerine birds	47.074	DEB-1146345	40,974
Protein interactions in the utilization of iron by pathogenic bacteria	47.074	MCB-1158469	186,363
Digitization TCN: Collaborative Research: Digitizing Fossils to Enable New Syntheses in Biogeography - Creating a PALEONICHES-TCN	47.074	EF-1206757	144,312
Collaborative Research: Automated and community-driven synthesis of the tree of life	47.074	DEB-1208393	135,836
Computational Studies of membrane proteins based on NMR	47.074	MCB-1157677	131,626
DISSERTATION RESEARCH: Niche Evolution in Gadine Fishes	47.074	DEB-1209917	3,514
Collaborative Research: Digitization TCN: Developing a Centralized Digital Archive of Vouchered Animal Communication Signals	47.074	EF-1304585	16,712
Genetic and developmental changes associated with the evolution of a hummingbird-pollination floral syndrome	47.074	IOS-1255808	20,756
Integrating Fossil Data into Likelihood-based Phylogenetic Analyses with Trilobites as a Model System	47.074	DEB-1256993	79,512
Dimensions: Collaborative Research: Historical and contemporary influences on elevational distributions and biodiversity tested in tropical Asia	47.074	DEB-1241181	48,765
ABI Innovation: Target - template structural and functional relationships in modeling of protein - protein interactions	47.074	DBI - 1262621	115,200
Comparison of Amino-Acid and Bulk-Tissue Stable Isotope Techniques for Analyzing Modern and Historical Food Webs	47.074	DEB-1249370	35,855
Collaborative Research: Unique structural proteins and cross-linking reactions that control physical properties of insect exoskeletons	47.074	IOS-1258027	8,086
ICOB: Molecular and morphological characterization of polar capsules in the parasitic Myxozoa	47.074	IOS-1321759	7,710
Digitization TCN: Collaborative Research: Fossil Insect Collaborative: A Deep-Time Approach to Studying Diversification and Response to Environmental Change	47.074	EF-1304957	108
DISSERTATION RESEARCH: Disentangling phylogenetic relationships in an explosive bird radiation	47.074	DEB-1311513	3,282
SG: Evolutionary lag and the effects of clonal structure	47.074	DEB-1354754	1,030
Collaborative Research: Diversification in the Deep-Sea and the Evolution of Fangs, Bioluminescence, Hermaphroditism, and Marine Habitat Transitions	47.074	DEB-1258141	86,270
ORNIS: A Community Effort to Build an Integrated, Distributed, Enriched and Error-Checked ORNithological Information System	47.074	DBI-0345448	5,826
Rotational Dynamics of the Photosynthetic ATP Synthase	47.074	MCB-0818743	(8,113)
Collaborative Research: Assembling the Euteleost Tree of Life - Addressing the Major Unresolved Problem in Vertebrate Phylogeny	47.074	DEB-0732819	17,220
Collaborative Research: Large-scale simultaneous multiple alignment and phylogeny estimation	47.074	DEB-0732920	76,831
A Comprehensive Biotic Survey of Philippine Land Vertebrates and Their Parasites	47.074	DEB-0743491	177,827
Collaborative Research: Avian Diversification Across Tropical Asia; a Systematic and Biogeographic Analysis of Babblers (Aves: Timaliidae)	47.074	DEB-0743576	866
CAREER: Plant Evolution at Low CO2: Responses of Ice Age Trees	47.074	IOS-0746822	43,481
Survey of the Aquatic Insects of Northern Venezuela with an emphasis on Coleoptera	47.074	DEB - 0816904	35,075
CAREER: Mechanistic studies of tyrosine derived cofactors	47.074	MCB-0747377	84,624

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Collaborative Research: PBI: A survey of the tapeworms (Cestoda: Platyhelminthes) from the vertebrate bowels of the earth\	47.074	DEB-0818823	29,729
Examining Development and Ultimate Attainment in Second Language Processing: An ERP Investigation	47.075	BCS-0951900	38,208
Light Verbs in Uyghur	47.075	BCS-1053152	98,185
Planned Missing Research Designs: Power and Validity of Planned Missing Data Designs in Longitudinal Research	47.075	BCS-1053160	77,604
Collaborative Research: Documenting Cherokee (CHR) Tone and Vowel Length	47.075	BCS-1065508	7,182
Economic and Scientific Effects of Federal Investment in Chemical Sciences Research	47.075	SMA-1064218	126,854
Co-Lang: Institute for Collaborative Language Documentation Training	47.075	BCS-1065469	2,051
Interactive Inner Asia: documenting an endangered language contact area	47.075	BCS-1065524	44,578
Examining how exposure to metaphorical framing influences attitudes toward sociopolitical issues	47.075	BCS-1222047	76,447
CAREER: Community Adaptation to Changing Environmental Disasters	47.075	BCS-1151288	91,826
Disability Categorizations in Schools	47.075	SES-1154843	87,244
Collaborative Research: Land Change in Brazil's Cerrado: Ethanol and Sugar Cane Expansion at the Farm and Industry Scale	47.075	BCS-1227160	39,969
CoLang: Institute for Collaborative Language Research	47.075	BCS-1065469	2,024
Collaborative Research: Opening New Views into Bankruptcy and Credit Markets Using Court Records	47.075	SES-1355744	5,846
DOCTORAL DISSERTATION RESEARCH: Floods, Worms, and Cattle Plague: Natural Disaster at the Decline of the Dutch Golden Age	47.075	SES-1331284	3,164
Africa's Endangered Languages: Documentary and Theoretical Approaches	47.075	BCS-1360823	29,456
Shifting standards in language communication and interpretation	47.075	BCS-0820705	27,329
PAESMEM Individual Award: Marigold Linton, Director of American Indian Outreach	47.076	DUE-0931675	8,328
The Evidence Games: Collaborative Games Engaging Middle School Students in the Evaluation of Scientific Evidence	47.076	DRL-1019842	401,677
Developing Virtual and Physical Models to Enhance Conceptualization of Soil and Biogenic Structures in Undergraduate Geoscience Classes	47.076	DUE1140908	70,118
Enhancing Teaching and Learning with Social Media: Supporting Teacher Professional Learning and Student Scientific Argumentation	47.076	DRL-1316799	82,612
Collaborative research: A cultural-psychological analysis of gender discrimination (and privilege) in STEM fields	47.076	HRD-0936718	13,240
Kansas Partnership for Graduate Fellows in K-12 Education	47.076	DGE-0742523	609,857
Collaborative Research: Glacier-Ocean Coupling in a Large East Greenland Fjord	47.078	ARC-0909282	60,291
Collaborative Research: Life in a Volcanic Landscape: Early Jurassic Paleoenvironments and Paleobotany	47.078	ANT-1142495	60,411
Collaborative Research: Antarctic Ecosystems across the Permian-Triassic Boundary: Integrating Paleobotany, Sedimentology, and Paleoecology	47.078	PLR - 0943934	115,254
Collaborative Research: Byrd Glacier Flow Dynamics	47.078	ANT-0944597	99,297
Center for Remote Sensing of Ice Sheets (CREGIS)	47.078	PLR-0424589	3,164,269
MRI: Development of a high-power, large antenna array and ultrawideband radar for a Basler for sounding and imaging of fast-flowing glaciers and mapping internal layers	47.078	ANT-1229716	573,250
Collaborative Research: Geological Hazards, Climate Change, and Human/Ecosystems Resilience in the Islands of the Four Mountains, Alaska.	47.078	PLR-1301927	34,534
CAREER: Improving Understanding of Antarctic Glacier Dynamics Through an Interactive Numerical Flowline Model	47.078	ANT-1255488	1,821
Paleoenvironmental and Paleoclimatic Analysis of the Beacon Supergroup, Beardmore Glacier Area, Central Transantarctic Mountains, Antarctica	47.078	ANT-0944282	96,464
US-Taiwan Workshops on Materials and Systems Challenges in Electrical Energy Storage	47.079	OISE-1126511	(2,259)
PIRE: Collaborative research with the Paul Scherrer Institute and Eidgenoessische Technische Hochschule on Advanced Pixel Silicon Detectors for the CMS detector	47.079	OISE-0730173	216,760
Collaborative Research: CI-Team Diff: The Virtual Learning Commons: STEM Research Communities Learning about Data Management, Geospatial Informatics, and Scientific Visualization	47.080	OCI-1135510	27,434
Phase VI: Climate Change and Energy: Basic Science, Impacts, and Mitigation	47.081	EPS-0903806	4,017,259
Collaborative Research: EPSCoR RII Track 2 Oklahoma and Kansas: A cyberCommons for Ecological Forecasting	47.081	EPS-0919443	349,730
ARRA: Collaborative Research: Extending Lifemapper to Enable Macroecological Research	47.082	EF-0851290	16,736
ARRA: Collaborative Research: Subglacial Water Intrusion in Greenland	47.082	ARC-0909422	12,621
ARRA: NSF ARI-R2 Repair and Renovation: Advancing Research in Biodiversity Science	47.082	DBI-0963511	174,852
ARRA: MRI-R2: Development of a Pixel Detector for the Upgraded CMS Experiment	47.082	PHY-0960128	647,286
ARRA: Prairie Light: Next Generation Networking for Mid-continent Science	47.082	EPS-1006860	128,211

See accompanying notes to schedule.

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Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
ARRA: Collaborative Research: REVSYS: RUI: Phylogenetic and Revisionary Systematics of early-diverging, ecologically unique clades of fungi, Harpellales and Asellariales	47.082	DEB-0918169	17,341
ARRA: Purchase of a Cyber-enabled Regional 400 MHz Solid-State NMR Spectrometer	47.082	CHE-0840515	393
ARRA: CAREER: Mining Genome-Wide Chemical Structure-Activity Relationships in Emerging Chemical Genomics Databases	47.082	IIS-0845951	6,369
<b>Pass through American Museum of Natural History</b>			
Digitization TCN: Plants, Predators, and Parasitoids: A Model System for the study of Tri-Trophic Associations	47.074	2-2011	21,385
<b>Pass through BBN Technologies, Inc.</b>			
KanREN-GENI: GENI in the Kansas Research and Education Network and the Great Plains Network	47.070	9500011164	43,911
<b>Pass through Columbia University</b>			
Geoinformatics Facility Support: Integrated Data Collections for the Earth and Ocean Sciences: The Marine Geoscience Data System and the Geoinformatics for Geochemistry Program	47.050	GG002806	230,202
<b>Pass through Duke University</b>			
Human and Natural Forcings of Critical Zone Dynamics and Evolution at the Calhoun Critical Zone Observatory	47.050	14-NSF-1078	2,080
<b>Pass through iBeam Materials, Inc.</b>			
Development of Large-Area Crystal-Aligned Substrates for Epitaxial Graphene	47.041	15404	60,572
<b>Pass through KS Board of Regents</b>			
Phase VI: Climate Change and Energy: Basic Science, Impacts, and Mitigation	47.081	Agreement	376,854
<b>Pass through KS State University, SPA</b>			
Konza Prairie LTER V: Long Term Research on Grassland Dynamics and Global Change	47.074	S09068.06	15,220
Konza Prairie LTER VI: Grassland Dynamics and Long-Term Trajectories of Change	47.074	S11093.05	15,861
Understanding Climate Change in the Great Plains: Source, Impact, and Mitigation	47.081	S01026.05	134,808
<b>Pass through Leidos Biomedical Research Inc.</b>			
Political Instability Task Force	47.070	P010077407	13,763
<b>Pass through Louisiana State University</b>			
AF: DC: Collaborative Research: Pattern Matching for Massive Data Sets	47.070	50534	62,001
<b>Pass through Princeton University</b>			
U.S. CMS Operations at the LHC	47.049	00002102	70,265
<b>Pass through Purdue University</b>			
NEES Operations: FY 2010-FY 2014	47.041	NEES-4101-31913	66,596
<b>Pass through Texas Tech University</b>			
GOALI: Erbium Doped III-Nitrides for Optical Communications and Silicon Photonics	47.041	21P297-01	28,849
<b>Pass through Tulane University</b>			
Effects of Anthropogenic Habitat Perturbation on Rodent Population Dynamics and Risk of Rodent-Borne Diseases	47.050	TUL-HSC-428-12/13	2,466
<b>Pass through University of Arizona</b>			
New Biologically Relevant Sulfur Radical Cation Chemistry	47.049	Y561481	78,210
<b>Pass through University of California - Berkeley</b>			
NEESR-GC: Mitigation of Collapse Risk in Vulnerable Concrete Buildings	47.041	SA5547-21642	69,106
<b>Pass through University of California - Irvine</b>			
Development of Hexagonal Radio Array for the ARIANNA Ultra-High Energy Neutrino Detector	47.049	2013-2904	51,555
<b>Pass through University of Illinois</b>			
CSR: Medium: Multicore Real Time Virtual Partitions	47.070	2013-01883-01	15,396
The Responsible Conduct of Computational Modeling and Research	47.070	2008-05134-01	1,923
<b>Pass through University of KS Med Ctr. Research Institute</b>			
EAGER: US Ignite: In-Home Monitoring in Support of Caregivers for Patients with Dementia	47.070	QW859790	24,114
<b>Pass through University of Maryland-College Park</b>			
ARRA: Collaborative Research: MRI-R2 Instrument Development of the Askaryan Radio Array, A Large-scale Radio Cherenkov Neutrino Detector at the South Pole	47.082	Z349202	(176)
<b>Pass through University of Michigan</b>			
Public Service System for Automated Protein Structure Systems	47.074	3001544653	4,398
Change Thinking for Global Science: Fostering and Evaluating Inquiry Thinking About the Ecological Impacts of Climate Change	47.076	3001328409	32,940
<b>Pass through University of Nebraska - Lincoln</b>			
NSF Cooperative Agreement for Phase-1 Upgrades of CMS	47.049	25-0521-0178-005	2,686
<b>Pass through University of New Mexico</b>			
DataNetONE: Observation Network for Earth	47.080	063014-87L3	250,100

See accompanying notes to schedule.

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Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through University of Notre Dame</b>			
A QuarkNet Site at the University of Kansas: Engaging High School Physics Teachers in Particle Physics Research	47.049	Agreement	14,419
<b>Pass through University of Utah</b>			
MRI: Development of a Radar Observatory for Cosmic Ray Air Showers	47.049	10022787	10,855
<b>Pass through Wayne State University</b>			
CDI Type II: Computational Methods to Enable an Invertebrate Paleontology	47.070	Agreement	45,898
<b><u>Social Security Administration</u></b>			
<b>Pass through National Disability Institute</b>			
Reforming Social Security's Disability Benefits System	96.007	Agreement	8,057
<b><u>Small Business Administration</u></b>			
<b>Pass through Michigan State University</b>			
Proposal to Evaluate the Impact of CADCA's Coalition Training in Lima, Peru	19.000	RC065848A	(3,600)
<b><u>U.S. Department of Agriculture</u></b>			
<b><u>Direct Awards</u></b>			
Interactive Mediated Instruction for Understanding and Adhering to the Animal Welfare Act Policy	10.025	12-6100-0085-CA	69,961
Sustainability Study of Wild Populations of Osha ( <i>Ligusticum porteri</i> )	10.200	12-CS-11020900-020	12,521
Green Technologies for Product Diversification in an Integrated Biorefinery	10.312	2011-10006-30362	1,415,009
<b>Pass through Cornell University</b>			
DoD/USDA Exceptional Family Member Program (EFMP) Benchmark Study	10.500	62637-9488	(1,127)
<b>Pass through KS Dept. of Commerce &amp; Housing</b>			
ARRA: Kansas Statewide Broadband Initiative	10.787	13349	211,598
<b>Pass through The University of North Carolina at Greensboro</b>			
FASE: Genetic Characterization of Absolute Varroa Mite Resistance in Honey Bees	10.310	09-0386.1	31,493
<b><u>U.S. Department of Transportation</u></b>			
<b><u>Direct Awards</u></b>			
KU Transportation Research Institute	20.762	DT0S59-06-G-00047-08	1,387,107
Engine Test Cell Upgrade project	20.931	DTOS59-10-G-00109	8,320
<b>Pass through University of Kansas</b>			
Improving Infrastructure Sustainability I: Extending Useable Lives of Steel Bridges by Halting Distortion-Induced Fatigue Crack Propagation Using Fully-Tightened Bolts and Plate Washers	20.215	SKS0066883	167
<b>Pass through University of Nebraska - Lincoln</b>			
Evaluation of Low-Cost Intersection Countermeasures to Reduce Red Light Running Violations	20.701	25-1121-0003-147	4,961
Properties of Fouled Recycled Ballast (Phase II)	20.701	25-1121-0003-148	28,547
Geosynthetic Reinforcement to Protect Underground Pipes against Damage from Construction and Traffic	20.701	25-1121-0003-146	28,502
Repair of Floorbeam-to-Stringer Connections Affected by Distortion-Induced Fatigue	20.701	25-1121-0003-149	18,845
Educational Activities through MATC at the University of Kansas FY 2013	20.701	25-1121-0003-150	2,028
Method for Field Identification of Fouled Railroad Ballast	20.701	25-1121-0003-245	33,322
Evaluation of an Electronic safety Perimeter system for Kansas Temporary Work Zones	20.701	25-1121-0003-245	20,310
Development of Distortion-Induced Fatigue Retrofit Techniques for Skewed Steel Bridge Girders	20.701	25-1121-0003-245	24,162
Educational Activities through MATC at the University of Kansas FY 2014	20.701	25-1121-0003-245	46,548
Evaluation of the Intersection Conformation Light System to Reduce Red Light Running Violations at Freeway Ramp Intersections	20.701	25-1121-0003-245	33,489
<b><u>Veterans Administration</u></b>			
<b><u>Direct Awards</u></b>			
VA Educational Therapy Program	64.125	VA255-P-0864	7,761
<b>TOTAL RESEARCH AND DEVELOPMENT CLUSTER</b>			<u>101,326,620</u>

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Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>TRIO CLUSTER</b>			
<b><u>U.S. Department of Education</u></b>			
<b><u>Direct Awards</u></b>			
The University of Kansas Upward Bound Math and Science Center	84.047	P047M080055-11	(130)
The University of Kansas Upward Bound Program	84.047	P047A090338-12	136,928
The University of Kansas Veterans Upward Bound Program	84.047	P047V090028-12	73,035
Student Support Services Program	84.042	P042A110606 - 13	274,334
University of Kansas Talent Search	84.044	P044A110799	465,849
University of Kansas Upward Bound Program	84.047	P047A130144	183,880
McNair Scholars Program	84.217	P217A120075 - 13	262,175
The University of Kansas Upward Bound Math and Science Center	84.047	P047M120139 - 13	241,645
University of Kansas Educational Opportunity Center	84.066	P066A110016 - 13	254,924
The University of Kansas Veterans Upward Bound Program	84.047	P047V130043	192,267
The University of Kansas McNair Scholars Program (KU-MSP)	84.217	P217A070053	(1,443)
<b>Pass through KS Dept. of Education</b>			
College Access Challenge Grant Application Proposal for Summer Funding AY 2011-2012	84.044	Agreement	135,413
<b>TOTAL TRIO CLUSTER</b>			<b>2,218,877</b>
<b><u>U.S. Department of Education</u></b>			
<b><u>Direct Awards</u></b>			
National Resource Centers Program	84.015	P015A100147 - 13	141,189
National Resource Centers Program	84.015	P015A100016 - 13	93,320
National Resource Centers and Foreign Language and Studies Fellowships Programs			
	84.015	P015B100067 - 13	212,483
National Resource Centers Program (NRC)	84.015	P015A100044 - 13	141,880
National Resource Centers Program	84.015	P015A100096-13	161,618
Foreign Language and Area Studies Fellowships Program	84.015	P015B100147 - 13	308,758
Foreign Language and Studies Fellowships Programs	84.015	P015B100044 - 13	251,234
Foreign Language and Studies Program	84.015	P015B100016 - 13	256,865
Foreign Language and Studies Fellowships Program	84.015	P015B100096-13	256,365
Kansas State Plan for Assistive Technology	84.224	H224A110016 - 11C	(2)
Kansas State Plan for Assistive Technology	84.224	H224A130016	232,420
Kansas State Plan for Assistive Technology	84.224	H224A120016-12A	164,543
Social Tele-Coaching in Classroom Settings (SoTelCo)	84.324	R324A090322	69,219
Post-Doctoral Research Training Program in Special Education: Response to Intervention (RTI) in Early Childhood	84.324	R32B120004 - 14	167,817
Post-Doctoral Special Education Research Training in Urban Communities: A Research to Practice Model	84.324	R324B100004	159,079
Kansas University-Autism and Early Childhood Education Professionals (KU-ACE)	84.325	H325K090107 - 12	169,414
Project LIFE (Low Incidence Functional Endorsement)	84.325	H325K090203-12	124,487
Training Personnel to Serve School Age Children with Low Incidence Disabilities: Autism Spectrum Disorders	84.325	H325K090213-12	60,547
KU Improving Transition Teacher Quality with Online Personnel Preparation (iTran)	84.325	H325K100511 - 13	317,682
Augmentative and Alternative Communication in the Schools: Leadership and Access (ACTS) - Kansas City	84.325	H325K110338 - 13	229,935
University of Kansas Global Learning Opportunities Building Early Education Leaders (KU-GLOBEEL) Type A	84.325	H325D120065 - 13	143,778
Culturally-Responsive Early Literacy Intervention (CRELI): American Indian/Alaskan Native	84.325	H325K130316	14,305
KU-DDL: The University of Kansas Diversity, Development & Learning Early Childhood Unified Masters	84.325	H325K130073	43,319
Leadership in Family-Professional Partnership Enhancement	84.325	H325D080047 - 11	59,649
The University of Kansas National Response to Intervention (Rti) Leadership Preparation Program: Improving School Outcomes for Students with Significant Disabilities in Urban Settings	84.325	H325D080029-11	15,486
Kansas High-Incidence Preparation Project (KIP)	84.325	H325T080040-12	202,998
Communication, Autism and Technology	84.325	H325K080327-11	61,911
SD Futures Curriculum: Achieving Self-Directed Employment through a Web-Based Curriculum	84.327	H327A100085 - 11	(3,437)
Center on Online Learning and Students with Disabilities	84.327	H327U110011 - 13	1,541,997
Pathways to Success	84.334	P334A050282	(4,741)
University of Kansas Washington Cluster GEAR UP Program	84.334	P334A110181 - 13	647,720

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University of Kansas Harmon Cluster GEAR UP Program	84.334	P334A110182 - 13	713,432
TELK-Topeka: Teaching English Learners in Kansas-Topeka	84.365	T365Z110079 - 13A	382,051
KAN-Tell (Kansas Teachers of English Language Learners)	84.365	T195N070093-11	54,598
Design and Development of a Dynamic Learning Maps Alternate Assessment System	84.373	H373X100001 - 13C	7,625,453
<b>Pass through Colorado - Dept. of Higher Education</b>			
Supporting the Development of Colorado Performance Tasks	84.395	PO DAA 13-0177	24,101
<b>Pass through Families Together, Inc.</b>			
Kansas Parent Training and Information and Family-to-Family Health Information Center	84.328	Agreement	1,928
<b>Pass through KS Board of Regents</b>			
College Access Challenge Grant Summer Funding AY2013-2014	84.378	PO DAA 13-0177	8,111
<b>Pass through KS Dept. of Education</b>			
Kansas Inservice Training System (KITS)	84.027	TASN #21013	593,024
Inclusive Network of Kansas (INKS): Field Based Technical Assistance and Professional Development	84.027	21002	(2,348)
The Kansas Transition Technical Assistance Project (KS-TTAP)	84.027	21001	323
Project Success	84.027	21002	(401)
Technical Assistance System Network	84.027	21002	78,372
The Kansas Transition Technical Assistance Project (KS-TTAP)- Kansas Secondary	84.027	21001	375,725
Technical Assistance System Network	84.027	21002	425,622
The Kansas Transition Technical Assistance Project (KS-TTAP)- Kansas Secondary			
Connections	84.181	21001	101,869
Project ALIVE	84.323	29001	(2,009)
Consortium of Low Incidence Teacher Preparation Programs in Kansas Project (CLIPP)			
	84.323	29002	5,966
Kansas Reading and Mathematics Assessments FY 2010 - 2012	84.369	652-10-1599	(8)
Kansas Reading and Mathematics Assessments FY 2011-2012	84.369	652-11-1668	311,502
KSDE TAC Meetings	84.369	652-12-1770	48,531
Development of the Teacher Leader Assessment	84.369	652-14-1796	28,095
<b>Pass through KS Dept. of Health &amp; Environment</b>			
Kansas Inservice Training System (KITS)-Infant and Toddler Expansion	84.181	Agreement	13,507
Kansas Inservice Training System (KITS) - Infant and Toddler Expansion	84.181	Agreement	179,798
<b>Pass through KS State Board of Education</b>			
Kansas Migrant Grant and ELL Academy	84.011	652-10-1639	44,103
Mini-KMEA	84.011	652-12-1721	(154)
Migrant Grant	84.350	652-10-1628	18,431
<b>Pass through MO Dept. of Elementary &amp; Secondary Ed</b>			
Missouri Transition	84.027	Agreement	18,137
Statewide Evaluation of Secondary Transition Practices and Professional Development	84.027	Agreement	126,207
PBS Tertiary Training System Development	84.027	Agreement	3,247
Secondary/Transition Communities of Practice	84.027	Agreement	192,878
PBS Tertiary Training System Development	84.027	Agreement	15,118
University of Kansas-State Personnel Development Grant Evaluation	84.323	Agreement	(980)
State of MO Personnel Development Grant Evaluation	84.323	Agreement	22,925
State Personnel Development Grant Evaluation 2 (SPDG)	84.323	Agreement	18,313
State Personnel Development Grant Evaluation 2 (SPDG)	84.323	Agreement	123,875
<b>Pass through Texas A&amp;M Research Foundation</b>			
Preparation of Leaders Across the Lifespan for Autism	84.325	S120025	15,134
<b>Pass through University of Kansas</b>			
Provide Professional Development and Associated Resources for the Strategic Instruction Model and Content Literacy Continuum	84.323	Agreement	92,573
Adolescent Literacy Partnerships: Meeting the Needs of All Students	84.323	E080327-600-077	43,287
Virginia's State Personnel Development Grant Proposal	84.325	Agreement	504,913
Title 1 Professional Development Kansas Reading First	84.357	652-12-1716	16,756
<b>Pass through University of KS Med Ctr. Research Institute</b>			
Examination of the Use of a Spanish Version of the Online and Applied System for Intervention Skills (OASIS) Training Program and Parents of Children with an Autism Spectrum Disorder	84.133	QH855810	7,088
<b>Pass through USD 457, Garden City KS</b>			
Teaching American History: Searching for America	84.215	9423	24,764
<b>Pass through Virginia Department of Education</b>			
Virginia Department of Education, Online Transition Seminar	84.027	767-88117H027A130172	5,303

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<b><u>U.S. Department of Homeland Security</u></b>			
Kansas State Training Systems Grant Application FY 2012	97.043	EMW-2012-GR-00040S01	997
Kansas State Training Systems Grant Application FY 2013	97.043	EMW-2013-GR-00035-S0	7,014
<b><u>U.S. Department of Commerce</u></b>			
KU Entrepreneurship Works for Kansas - Phase II	11.303	05-66-05038-02	43,272
KU Entrepreneurship Works for Kansas - Phase III	11.303	05-66-05445	411
KU University Center Project: KU Entrepreneurship Works for Kansas - Phase III	11.303	05-66-05445	35,013
<b><u>U.S. Department of Defense</u></b>			
<b><u>Direct Awards</u></b>			
Command Team Development Program	12.431	W91QF4-11-C-0007	107,153
Peace Corps Recruitment Proposal for FY 2013-2015	12.000	PC-12-8-094	20,882
STARTALK 2013: C2-Chinese Connect	12.900	H98230-13-1-0138	56,032
STARTALK 2014: C2-Chinese Connect	12.900	H98230-14-1-0068	5,209
<b><u>Pass through Institute for International Ed</u></b>			
Building Language Capacity to Meet National Security Needs: The University of Kansas Language Training Center	12.550	2013-LTC-KU	254,916
<b><u>U.S. Department of Energy</u></b>			
<b><u>Direct Awards</u></b>			
Oregon Caves National Monument Book	15.650	DI-9340-P	1,494
Curation of Archaeological Collections CLIN 002	15.904	W912DQ-09-P-1051	40,852
<b><u>U.S. Department of Justice</u></b>			
<b><u>Direct Awards</u></b>			
Paul E. Wilson Defender Project	16.603	DJBP0408NF530001A	39,854
Paul E. Wilson Defender Project	16.603	DJBP0408MF540001L	17,936
<b><u>Pass through Douglas County Sheriff's Office</u></b>			
Assess, Intervene, Mobilize and Succeed (AIMS) Initiative	16.745	2010-MO-BX-0020	(1,032)
<b><u>Pass through Office of Kansas Governor</u></b>			
Police Domestic Violence/Sexual Assault Training	16.588	14-VAWA-03	5,791
<b><u>U.S. Department of Labor</u></b>			
<b><u>Direct Awards</u></b>			
Job Corps Staff Development Support	17.268	DOLJ111A21695	109,724
<b><u>Environmental Protection Agency</u></b>			
<b><u>Pass through University of Missouri - Rolla</u></b>			
FY 2012 Cooperative Agreement: Investigation of Occurrence, Degradation, and Control/Limitation of Perchlorate, Pharmaceuticals and Personal Care Products, and N-Nitrosamine Emerging Contaminants in Missouri Drinking Water Systems	66.468	00034890-01	3,480
<b><u>U.S. Department of Health and Human Services</u></b>			
<b><u>Direct Awards</u></b>			
Training Researchers in Language Impairments	93.173	5T32DC000052-17	84,153
Training Researchers in Language Impairments	93.173	5T32DC000052-15	(160)
Natural Products at a Crossroad: Present and Future Directions	93.213	1R13AT008004-01	21,000
Substance use in foster care youth: Relations among maltreatment, use, and coping	93.279	5F31DA034423-02	37,900
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	90DD0700-02-00	547,445
Kansas Workforce Initiative	93.648	90CT0150-05-03	283,015
KAPP: Kansas Adoption Permanency Project	93.652	Y90CO1120-01-00	110,527
Training Grant in Dynamic Aspects of Chemical Biology	93.859	5T32GM008545-21	219,155
MBRS IMSD Program at the University of Kansas	93.859	5R25GM062232-12	104,572
500 Nations Bridge Collaboration: Haskell Indian Nations University / U of Kansas	93.859	5R25GM060182-12	188,580
KU Post-Baccalaureate Research Education Program	93.859	5R25GM078441-08	407,506
MBRS RISE Program Haskell Yr 5	93.859	A12PX90040	93,809
MBRS IMSD Program at the University of Kansas	93.859	2R25GM062232-13A1	39,980
The genetic and developmental basis of repeated phenotypic shifts in Penstemon	93.859	1F32GM110988-01	5,551
Pharmaceutical Aspects of Biotechnology Training	93.859	5T32GM008359-23	300,722
The University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	5K12GM063651-10	1,486
Postdoctoral Training in Translational IDD Research	93.865	5T32HD057844-05	160,015

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Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>Pass through Association for Positive Behavior Support</b>			
APBS Support Web Development/Maintenance	93.242	Agreement	542
APBS Support Web Development/Maintenance	93.632	Agreement	32,000
<b>Pass through Colorado Department of Human Services</b>			
Colorado ROM	93.004	Agreement	(13)
<b>Pass through Kansas Children's Service League</b>			
<b>Pass through KS Dept. for Aging and Disability Service</b>			
Title XIX-Children's Mental Health FY 2014	93.778	Agreement	1,387,802
Title XIX-Children's Mental Health FY 2014	93.778	Agreement	18,751
Community Monitoring Documentation System	93.959	Agreement	78,458
<b>Pass through KS Dept. for Children and Families</b>			
Title XIX-Children's Mental Health & Consumer Satisfaction	93.242	SRS/KU - Kids Contra	20,344
Kansas Reading Road Map Evaluation	93.558	Agreement	23,482
Targeted Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected by Methamphetamine or Other Substance Abuse	93.648	CFS-1107-1008-1129	438
Community Based Child Abuse Neglect and Prevention Program (CBCAP) Phase VII	93.669	3673701131213PO13906	100,484
Community Based Child Abuse Neglect and Prevention Program (CBCAP) Phase VII	93.669	Agreement	46,026
Community Monitoring Documentation System	93.959	36540	17,535
<b>Pass through KS Dept. of Health &amp; Environment</b>			
Kansas Early Childhood Comprehensive Systems	93.110	Agreement	87,897
The Kansas Project LAUNCH Initiative	93.243	Project LAUNCH Init	38,484
Kansas Project LAUNCH (evaluation)	93.243	Project LAUNCH Eval	58,870
Kansas Home Visiting Evaluation	93.505	Agreement	232,973
ARRA: Strategic Plan	93.729	Agreement	128,951
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	KHPA-2007-001	50,466
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	KDHE2014-011	225,970
Assisting Medicaid Beneficiaries in Accessing Assistive Technology	93.779	KHPA-2008-018	58,095
Assisting Medicaid Beneficiaries in Accessing Assistive Technology	93.779	KDHE2014-010	111,375
<b>Pass through KS Health Policy Authority</b>			
Comprehensive Employment Systems Infrastructure Development Project	93.768	KHPA2007-055	2,137
<b>Pass through Learning Tree Institute</b>			
Evaluation of Underage Drinking Efforts in the Kansas SPF-SIG State Initiative	93.243	10384	285
<b>Pass through Maine Dept. of Health &amp; Human Services</b>			
ROM Reports Service Model Yr 5	93.556	CFS-14-8402	23,798
<b>Pass through Montana Dept. of Public Health</b>			
Child Welfare Outcome Reporting System (Phase II)	93.242	20063KUCR0001	(4,927)
<b>Pass through Oregon Department of Human Services</b>			
Oregon ROM Reports System	93.658	133972	72,496
<b>Pass through State of Nebraska Dept. Health &amp; Human S</b>			
Federal Home Visiting Data Collection and Reporting System for Nebraska	93.505	Agreement	10,486
Federal Home Visiting Data Collection and Reporting System for Nebraska	93.505	Agreement	88,726
<b>Pass through University of Massachusetts - Boston</b>			
Self-Determination and Postsecondary Education for Students with Intellectual Disability	93.632	S20090000009663	(13,815)
<b>Pass through University of Michigan</b>			
Evaluation of the QIC-ChildRep Training Program	93.652	3002541914	33,698
Evaluation of the QIC-ChildRep Training Program	93.652	3002955291	13,710
<b>Pass through University of Missouri - Kansas City</b>			
Enhancing Life Outcomes Through Self-Determination: A National Training Initiative	93.632	0044376/00040547	76,463
<b>Pass through University of Oklahoma</b>			
National Child Traumatic Stress Initiative - Category II Treatment and Service Adaptation	93.243	SS20091997-62	(530)
<b>National Aeronautics and Space Administration</b>			
IPA for Amanda Reichard	27.011	IPA	8,159
<b>Pass through Consumer Financial Protection Bureau</b>			
Intergovernmental Personnel Act (IPA) Agreement for Christopher Drahozal	27.011	IPA	45,569

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b>National Endowment of the Arts</b>			
<b>Direct Awards</b>			
PlayIT Forward: An exploration of a female aesthetic that sustains cultural traditions and personal histories	45.024	12-5400-7072	400
Lied Center Presents: the Performing Arts and Artist's Role in a Sustainable Community	45.024	13-5400-7070	26,155
Advancing Research Collaboration in the Humanities	45.130	CH-50951-12	120,000
Advancing Research Collaboration in the Humanities	45.130	CH-50951	300,000
Humanities Challenge Project II	45.130	CH-20811	500,000
Accessioning and photographing a historic collection of global art/culture at the Spencer Museum of Art, University of Kansas	45.149	PW-50797-11	39,220
Exploring the History of 19th-Century Ornithology and Scientific Illustration through the Works of John Gould	45.149	PW5084711	10,267
Don't Deny My Voice: Reading and Teaching African American Poetries	45.163	EH-50339-12	125,935
<b>National Science Foundation</b>			
<b>Direct Awards</b>			
Conference on Massive energy Storage for the Broader Use of Renewable Energy Sources	47.041	CBET-1335803	15,000
The US-India Chemical Engineering Conference and Workshop on Energy, Environment & Sustainability	47.041	CBET-1346934	30,000
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1004897	2,053
Collaborative Research: Prairie Analysis Seminar 2009-2011	47.049	DMS-0942775	434
The Central Region Conference on Numerical Analysis and Dynamical Systems	47.049	DMS-1211934	4,261
EarthCube Domain End-User Workshop for Structural Geology and Tectonics	47.050	EAR1252279	6,915
REU Site: Models in Evolution, Ecology and Systematics	47.074	DBI-1262795	85,821
REU Site: Undergraduate Research in Molecular Biosciences From Molecules to Cells to Organisms	47.074	DBI-1156856	87,279
AToL: Collaborative Research: Systematics of Cypriniformes, Earth's Most Diverse Clade of Freshwater Fishes	47.074	DEB-0431262	(160)
Facilities to Enhance Research and Teaching at the University of Kansas Field Station	47.074	DBI-1034796	66,350
Doctoral Dissertation research: Welcoming the Outsider: Variations in Local Construction of the Law toward Immigrants (Williams, Linda)	47.075	SES-1228272	1,168
Intergovernmental Personnel Act (IPA) Agreement for Joshua Rosenbloom	47.075	SES-1257461-001	245,741
Graduate Research Fellowships	47.076	DGE-0907996	109,167
An Interdisciplinary Scholarship Program for Undergraduates in Renewable Energy	47.076	DUE-1060660	144,056
Graduate Research Fellowship Program	47.076	Agreement	96,000
IGERT: C-CHANGE: Climate Change, Humans, and Nature in the Global Environment	47.076	DGE-0801522	651,917
Adventures at Nanoscale: Superconductivity	47.076	DRL-1065789	7,767
WIS2DOM, Weaving Indigenous and Sustainability Sciences: Diversifying our Methods	47.078	PLR -1233266	22,032
ARRA: RET: Shaping Inquiry from Feedstock to Tailpipe (SHIFT)	47.082	EEC-0909100	62,845
ARRA: The University of Kansas Noyce Phase II Scholarship & Stipend Program	47.082	DUE-0934906	59,209
<b>Pass through Boston University</b>			
Developing a brain-machine interface for speech communication	47.075	4500001286	5,476
<b>Small Business Administration</b>			
<b>Pass through Fort Hays State University</b>			
University of Kansas Small Business Development Center	59.037	SBA 13-16	48,989
<b>U.S. Department of State</b>			
<b>Direct Awards</b>			
U.S. Institute on Women's Leadership: Women's Civic Leadership from the Heartland	19.001	S-ECAAE-12-CA-053FA	(325)
U.S. Institute on Women's Leadership: Women's Civic Leadership from the Heartland	19.009	S-ECAAE-11-CA-080(SS	3,037
Study of the U.S. Institute of Student Leaders on Women's Leadership	19.009	S-ECAGD-13-CA-112(CD	245,482
<b>Pass through Institute for International Education</b>			
6-Week English Refinement for Graduate Studies Program for Fulbright Grantees	19.400	15093	147,955
6-Week English Refinement for Graduate Studies Program for Fulbright Grantees	19.400	13914	40,542
The Indonesia English Language Study Program	19.400	13712	56,353
<b>U.S. Department of the Treasury</b>			
<b>Direct Awards</b>			
Legal Services for Students Low Income Taxpayer Clinic	21.008	12LITC0060	(13)
ESL - Legal Services for Students Low Income Taxpayer Clinic	21.008	13LITC0060	26,197

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS - JUNE 30, 2014

Program title / Pass Through Grantor	CFDA	Grant #	Federal Expenditure
<b><u>U.S. Department of Agriculture</u></b>			
<b><u>Direct Awards</u></b>			
Natural Resources/Conservation-Seedling Production/Transplanting	10.874	AG-447U-P-13-0045	3,000
<b><u>Pass through KS Dept. of Education</u></b>			
Child Nutrition and Wellness Summer Food Service Program For Upward Bound	10.559	Agreement	5,846
Child Nutrition and Wellness Summer Food Service Program for Math and Science Center	10.559	Agreement	6,802
Child Nutrition and Wellness Summer Food Service Program for Harvest of Hope Leadership Academy	10.559	Agreement	5,392
<b><u>Pass through University of Minnesota</u></b>			
Monarch Joint Venture (MJV)	10.652	0000297902	82,404
<b><u>U.S. Department of Transportation</u></b>			
<b><u>Pass through University of Kansas</u></b>			
2012 Local Technical Assistance Program (LTAP)	20.215	SKS0069107-718	28
<b><u>Pass through KS Dept. of Transportation</u></b>			
2014 Local Technical Assistance Program (LTAP)	20.215	FY2014-053	128,238
<b><u>Pass through KS State University, SPA</u></b>			
Traffic Assistance Services for Kansas (TASK) Program	20.218	S13118	22,633
Traffic Assistance Services for Kansas (TASK) Program	20.218	S14108	9,794
<b><u>Pass through KS Dept. of Transportation</u></b>			
Transportation Safety Conferences 2013-2017	20.600	SA-0943-14	130,578
Police Driving Simulator	20.600	PT-1711-13	83,600
Biased-Based Policing Grant	20.611	RP-1911-14SP-2300-14	56,422
<b>TOTAL EXPENDITURES OF FEDERAL AWARDS</b>			<b><u>\$ 132,404,196</u></b>

**University of Kansas Center for Research, Inc.  
Notes to the Schedule of Expenditures of Federal Awards  
For the Year Ended June 30, 2014**

**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, 2014. 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**

The accompanying Schedule of Expenditures of Federal Awards includes the federal grant activity of the Center and is presented on the accrual basis of accounting. The information presented in this schedule is in accordance with the requirements of OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the financial statements.

**Note 3. Cost Share**

Local cost sharing, as defined by the Office of Management and Budget Circular A-21 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, 2014.

**University of Kansas Center for Research, Inc.**  
**Notes to the Schedule of Expenditures of Federal Awards**  
**For the Year Ended June 30, 2014**

**Note 5. Subrecipients**

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

<b>Program</b>	<b>CFDA Number</b>	<b>Amount Provided</b>
Research & Development Cluster	N/A	\$ 17,018,643
Kansas State Plan for Assistive Technology	84.224	53,402
Center on Online Learning and Students with Disabilities	84.327	773,352
Design and Development of a Dynamic Learning Maps Alternate Assessment System	84.373	484,709
KAPP: Kansas Adoption Permanency Project	93.652	28,626
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	118,132
Stimulus: MRI-R2: Development of a Pixel Detector for the Upgraded CMS Experiment	47.082	386,755
Job Corps Staff Development Support	17.268	73,755
IGERT: C-CHANGE: Climate Change, Humans, and Nature in the Global Environment	47.076	3,461
Technical Assistance System Network	84.027	44,124
Kansas State Plan for Assistive Technology	84.224	67,155
Project LIFE (Low Incidence Functional Endorsement)	84.325	8,801
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	140,978
Kansas Workforce Initiative	93.648	10,138
Assisting Medicaid Beneficiaries in Accessing Assistive Technology	93.779	169,470
500 Nations Bridge Collaboration: Haskell Indian Nations University / U of Kansas	93.859	10,612
		<u><u>\$ 19,392,113</u></u>

**University of Kansas Center for Research, Inc.  
Schedule of Findings and Questioned Costs  
For the Year Ended June 30, 2014**

**Section 1 - Summary of Auditor's Results**

**Financial Statements:**

Type Audit Report Issued on Financial Statements of Auditee  
Unmodified

Internal Control Over Financial Reporting  
No material weaknesses identified. No significant deficiencies reported.

General Compliance  
The audit did not disclose any instances of noncompliance which would be material to the financial statements.

**Federal Awards:**

Internal Control Over Major Programs  
No material weaknesses identified. No significant deficiencies reported.

Type Audit Report Issued on Compliance for Major Programs  
Unqualified

Audit Findings  
The audit did not disclose any audit findings that are required to be reported under OMB Circular A-133.

Major Programs

<u>CFDA Number</u>	<u>Name of Federal Program</u>
Various	Research and Development Cluster
84.373	Dynamic Learning MAPS Alternate Assessment

Dollar Threshold Used to Distinguish Between Type A and Type B Program  
\$3,000,000

Auditee Qualified as a Low-risk Auditee  
Yes

**Section 2 – Financial Statement Findings**

Financial Statement Findings Required to be Reported in Accordance with Generally Accepted Government Auditing Standards

None

Summary Schedule of Prior Audit Findings

None

**University of Kansas Center for Research, Inc.  
Schedule of Findings and Questioned Costs (continued)  
For the Year Ended June 30, 2014**

**Section 3 – Federal Award Findings and Questioned Costs**

Federal Award Findings Required to be Reported in Accordance with OMB Circular A-133

None

Summary Schedule of Prior Audit Findings

None

	2015	Alexander	Perry
Exec. Comm.	2014	Anderson	Danny
Exec. Comm	2014	Beckloff	Michael
	2016	Bendapudi	Neeli
Exec. Comm.	2017	Branicky	Michael
	2015	Brill	Ann
	2016	Campbell	Sam
	2014	Carr	Kevin
	2017	Carter	Wayne
Exec. Comm.	2017	Colombo	John
Exec. Comm.	2017	Enright	Cynthia
	2015	Epp	LaVerne
	2017	Erickson	Jon
	2016	Flannery	Joe
	2016	Flynn	Daniel
Exec. Comm	2014	Ginsberg	Rick
Sec'y-Treas	ex-officio	Goddard	Diane
	2015	Golden	Webb
	2014	Goldstein	Robert
University Chief Financial Officer	ex-officio	Gordzica	Theresa
Chair	ex-officio	Gray-Little	Bernadette
	2017	Haggart	Ted
Vice-President	ex-officio	Heppert	Joseph
President	ex officio	Hummert	Mary Lee
Exec. Comm	2015	Johnson	Donna
	2016	Kingston	Neal
	2015	Lewis	Adrian
	2017	Lieberman	Alice
	2016	Lunte	Sue
	2014	Lynn	Kenneth
	2014	MacKinnon	Rebecca
	2015	Meyers	Maria
	2015	Neufeld	Kristi
	2015	Otten	Jim
	2017	Schaub	Sherry
	2017	Schoneich	Christian
	ex-officio	Seuferling	Dale
	2014	Terranova	Paul
	2014	Timmermann	Barbara
Vice-President	ex officio	Torres	Rodolfo
Vice Chair	ex officio	Vitter	Jeffrey
	2017	Ward	Joy
	2016	Williams	Greg
	2016	Wu	Judy

# **Terry D. Moore**

## **Education**

**University of Kansas (1981) Masters of Social Work** with concentration in Administration, Management and Evaluation. Coursework focused on the development of administrative skills including social problem and policy analysis, research, budgeting, planning, program evaluation, and supervision. Participated in an interdisciplinary program between the graduate schools of Business, Public Administration and Social Welfare. (4.0 GPA)

**Kansas State University (1973) Bachelor of Science** degree with major in Social Sciences.

## **Work Experience**

### **University of Kansas School of Social Welfare October 1992 – Present**

**Research Associate and Principal Investigator** for a wide range of children's research projects. Responsible for writing proposals and securing funding; hiring and managing staff; determining research design and methods; securing IRB approval; undertaking research; writing reports; and presenting results.

- Principal Investigator for ROM Reports, a web-based management report system for child welfare outcomes (Connecticut, Montana, Maine, Kansas, Iowa, Washington, Oregon, Ohio, Colorado, New Hampshire, Missouri, and Vermont), and mental health services in Kansas
- Principal Investigator of several research project on mental health services to children in foster care:
  - Focused Study - Inpatient Psychiatric Care for Children and Youth: Precipitants & Predictors of Admissions & Readmissions
  - Focused Study - Mental Health Services For Children in Foster Care Under the PAHP
  - Focused Study - Prescribing Patterns of Psychotropic Drugs for Child Medicaid Beneficiaries
  - Children in Need of Care Non Abuse/Neglect
  - Mental Health and Substance Abuse Services to Parents of Children in Foster Care
  - Analysis for Mental Health Child Welfare Steering Committee
- Principal Investigator for Child and Family Services Review Statewide Assessment Analysis
- Principal Investigator for evaluation of a federal Systems of Care grant
- Principal Investigator for the Kansas Child Welfare Outcomes System contract
- Co-PI for the Kansas Initiative for Decision Support (KIDS) for risk assessment
- Co-PI on a federal grant for Building Analytical Capacity in State Child Welfare
- Co-PI of federal training grant that developed Results-Oriented Management in Child Welfare training
- Co-PI of a program evaluation of Extra Effort prevention initiative

**Director of Child Welfare Training and Support Services** for the four major child welfare grants and contracts involving 4 faculty, 2 doctoral students, 2 MSW students, and 7 full time staff. Management responsibilities included hiring and supervising staff, developing project proposals and timelines, overseeing project task completion, and reporting to grant source. Shared administrative responsibilities with Associate Dean including proposal development, budgeting, negotiating contracts and project oversight. Served as university liaison to SRS Children and Family Services to insure relevance of projects, increase responsiveness of university to current problems, and troubleshoot problems as they arise. Represented the university on major agency workgroups and advisory councils.

**Projects Manager** of the Title IV-E Child Welfare Training (short term) projects and the SRS Supervisory Training contract for the University of Kansas. Responsibilities included: staff hiring and supervision, project/proposal development, writing project reports, project implementation planning as well as undertaking specific tasks of many of the projects which included curriculum development, training, and research. Most administrative tasks were shared with the faculty Primary Investigator. Also, served as a trainer for the SRS Supervisory Training project.

**Instructor** in the Masters Social Welfare Social Administration program.

- SW 842: Information Management in Human Service Organizations (spring 1997, and 1998)
- SW 843: Personnel Management in Human Services (spring semester 1996)

**Menninger**  
**May 1991 - September 1992**

**Assistant Director of Development** for Annual Giving in the Office of Public Affairs. Developed and implemented the annual direct mail plan, and managed direct mail operations. Managed the information system, developed performance reports, analyzed trends and made program modifications. Responsible for the alumni campaign; renewal and upgrade systems, new donor acquisition; re-activation activities; and donor cultivation.

**Kansas Children's Service League**  
**April 1990 - April 1991**

**District Director** for the Topeka District of KCSL, a statewide private not-for-profit child welfare agency. Responsible for managing KCSL operations in Topeka and Manhattan including planning, program development, supervision, financial management, quality assurance, personnel management, facilities management, and program monitoring. Directed public relations and fund development program. Served as liaison to United Way, government agencies, and other funding sources. Engaged in community problem solving and promoted positive community relations. Provided staffing support to the local advisory council.

**Private Industry Council - Northeast Kansas**  
**October 1987 - May 1990**

**Director of Policy and Planning** for the Private Industry Council administering programs funded through the Job Training partnership Act. Prepared agency plan which involved assessing needs, evaluating program performance, budgeting, goal setting, and designing program strategies. Developed performance management system, monitored performance and designed program responses to performance information. Managed special projects program involving developing request for proposals, rating proposals, writing contracts and monitoring performance. Other duties involved oversight of fiscal operations, staff support to board of directors, interagency coordination, and public relations.

**Kansas Department of Human Resources**  
**Division of Employment and Training**  
**June 1990 - September 1987**

**Area Manager** for Division of Employment and Training. Managed the Job Service, Job Training Partnership Act (JTPA) and Work Incentive (WIN) programs in a 17 county area. Supervised staff in seven field offices with 94 employees. Established operational policies and procedures for the area, and carried out agency directives. Primary liaison to the Private Industry Council (PIC) who was responsible for planning and oversight.

**Planning and Technical Assistance Chief** for State JTPA office. As one of three section heads was responsible for providing technical assistance to JTPA operations statewide, and supervised the field monitoring unit. Developed and implemented a statewide performance standards (outcomes) system. Served on a U.S. Department of Labor national task force advising on the development of the national performance outcomes system for JTPA, and a member of the youth performance standards sub-committee. Involved in developing a program evaluation system, establishing a microcomputer-based management information system, and researching a variety of policy and problem areas.

**Management Analyst** with the Governor's Special Grant Unit under the Comprehensive Employment and Training Act (CETA). Provided staff support to the State Employment and Training Council and administered special grant projects. Served as an administrative aide to the Director of the Division of Employment and Training during the transition from CETA to JTPA.

**Administrative Intern** with the Governor's Special Grant unit under CETA. Assisted in a wide range of administrative functions including contract negotiations, evaluation of special grant programs, writing proposal specifications and providing technical assistance to special project staff.

**St. Francis Boys home  
August 1973 - June 1978**

**Director of Activity Therapy** with St. Francis Boys' Home, Salina Unit. Developed, implemented and managed a comprehensive activity therapy program for a residential treatment center for delinquent youth. Primary counselor with Salina Unit. Major responsibilities involved individual, group and family therapy.

**Associate Director** of the passport for Adventure (PFA) division of St. Francis Boys' Home. Primary responsibilities involved managing PFA programs in Wichita and Western Kansas. Duties included liaison to the school system, developed and managed local advisory councils, fund development, set up parent education system, personnel management (hiring, training of staff), and general program development.

**Senior Counselor** with Passport for Adventure. Duties included individual and group counseling, treatment planning and general development of treatment program.

**Publications**

Moore T.D., 'Results Oriented Management: Using Evidence for Quality Improvement' (2010). M. Testa & J. Poertner (eds) *Fostering Accountability*: New York: Oxford University Press.

Scott J, Moore T, Ward H (2005) 'Evaluating Interventions and Monitoring Outcomes.' In J. Scott and H. Ward (eds) *Safeguarding and Promoting the Well-being of Children, Families and Communities*: London and Philadelphia: Jessica Kingsley Publishers.

Poertner, Moore & McDonald,. (2006), *Managing for Outcomes: The Selection of Sets of Outcome Measures. Administration in Social Work*

Billings, P., Moore, T.D., McDonald, T., (2003). What Do We Know About the Relationship between Public Welfare and Child Welfare, Children and Youth Services Review

Moore T.D., Rapp C.A., Roberts, B. (2000). Improving Child Welfare Performance Through Supervisory Use of Client Outcomes Data, Child Welfare (Approved for publication in the upcoming special issue on using data for management)

Rapp C.A., Moore T.D. (1995). The First 18 months of Mental Health Reform in Kansas. Psychiatric Services: A Journal of the American Psychiatric Association, 46, 592-600.

**University of Kansas Center for Research, Inc.**  
**CONTRACTOR NAME**

Key Personnel

Name	Job Title	Salary	% Paid from this Contract	Amount Paid from this Contract
Terry Moore	Director, Results Oriented Management (ROM)	\$8,214/mo.	1%	\$4,741 salary (5 yrs) \$6,400 salary with fringe benefits @35%