

Jeffrey A. Meyers
Commissioner

Christine Tappan
Interim Director

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

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

October 6, 2017

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

REQUESTED ACTION

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

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

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

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

EXPLANATION

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

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

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

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

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

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

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

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

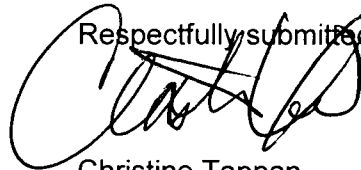
His Excellency, Governor Christopher T. Sununu
and the Honorable Council
Page 3

Area served: Statewide

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

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

Respectfully submitted,



Christine Tappan,
Interim Director

Approved by:



Jeffrey A. Meyers
Commissioner



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

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

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

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

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

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

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

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

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



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

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

The State Project Manager is:

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

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

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



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

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

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

Table C-3, Consolidated System Enhancements

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



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

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

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

10-6-17
Date

State of New Hampshire
Department of Health and Human Services

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

8-23-2017
Date

University of Kansas Center for Research, Inc.:

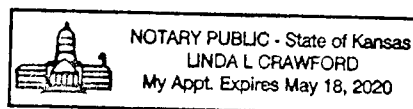
Name: Alicia M. Reed
Title: Interim Director, Research Administration

Acknowledgement:

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

Signature of Notary Public or Justice of the Peace

Name and Title of Notary or Justice of the Peace



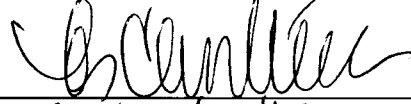


New Hampshire Department of Health and Human Services
Amendment #1 to the Result Orientated Management (ROM) Contract

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

OFFICE OF THE ATTORNEY GENERAL

10/14/17
Date


Name: Lindsay Gossman
Title: attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

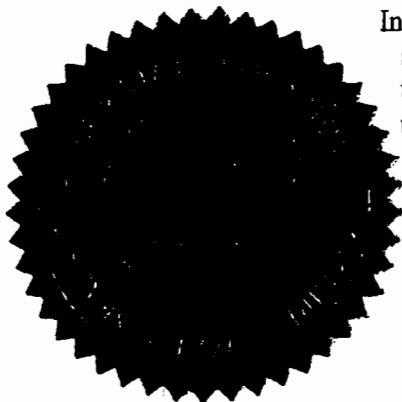
Name:
Title:

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 21st day of October, A.D. 2014

A handwritten signature in black ink, appearing to read "William M. Gardner".

William M. Gardner
Secretary of State

Business Information

Business Details

Business Name:	UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.	Business ID:	716395
Business Type:	Foreign Nonprofit Corporation	Business Status:	Good Standing
Business Creation Date:	10/20/2014	Name in State of	UNIVERSITY OF KANSAS
Date of Formation in Jurisdiction:	10/20/2014	Incorporation:	CENTER FOR RESEARCH, INC.
Principal Office	2385 Irving Hill Road, Address: Lawrence, 66045, USA	Mailing Address:	NONE
Citizenship / State of Incorporation:	Foreign/Kansas	Last Nonprofit Report Year:	2015
Duration:	Not Stated	Next Report Year:	2020
Business Email:	NONE	Phone #:	NONE
Notification Email:	NONE	Fiscal Year End Date:	NONE

Principal Purpose

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

Page 1 of 1, records 1 to 1 of 1



Business Entity Search

Date: 10/06/2017

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

Business Summary

Current Entity Name

UNIVERSITY OF KANSAS CENTER FOR
RESEARCH, INC.

Business Entity ID Number

0031468

Current Mailing Address: 2385 IRVING HILL RD, LAWRENCE, KS 66045

Business Entity Type: KANSAS NOT FOR PROFIT CORPORATION

Date of Formation in Kansas: 06/12/1962

State of Organization: KS

Current Status: ACTIVE AND IN GOOD STANDING

Resident Agent and Registered Office

Resident Agent: Gina Cregg

Registered Office: UNV KANSAS CENTER FOR RESEARCH 2385 IRVING HILL ROAD,
LAWRENCE, KS 66045

Annual Reports

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

Tax Closing Month: 06

The Last Annual Report on File: 06/2016

Next Annual Report Due: 12/15/2017

Forfeiture Date: 03/15/2018

CERTIFICATE OF VOTE

I, John Colombo, Ph.D., 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, 2015:

(Date)

RESOLVED: That the Director of Research Administration

(Title of Contract Signatory)

is hereby 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 August 2017.


(Date Contract Signed)

4. Alicia M. Reed is the duly elected Interim Director of Research Administration

(Name of Contract Signatory)

(Title of Contract Signatory)

of the Agency.


(Signature of the Elected Officer)

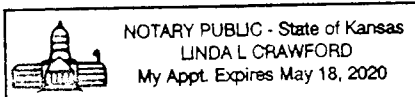
STATE OF KANSAS

County of Douglas

The forgoing instrument was acknowledged before me this 23rd day of August, 2017.

By John Colombo.

(Name of Elected Officer of the Agency)



(NOTARY SEAL)


(Notary Public/Justice of the Peace)

Commission Expires: 05-18-2020



CERTIFICATE OF LIABILITY INSURANCE

6/30/2018

DATE (MM/DD/YYYY)

8/11/2017

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

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

PRODUCER Lockton Companies 444 W. 47th Street, Suite 900 Kansas City MO 64112-1906 (816) 960-9000	CONTACT NAME:	FAX (A/C, No):	
	PHONE (A/C, No, Ext):	E-MAIL ADDRESS:	
INSURED 1398927 UNIVERSITY OF KANSAS CENTER FOR RESEARCH 2385 IRVING HILL ROAD LAWRENCE KS 66045	INSURER(S) AFFORDING COVERAGE		NAIC #
	INSURER A : Hartford Fire Insurance Company		19682
	INSURER B : Trumbull Insurance Company		27120
	INSURER C : Hartford Casualty Insurance Company		29424
	INSURER D :		
	INSURER E :		
INSURER F :			

COVERAGES**CERTIFICATE NUMBER:** 14894105**REVISION NUMBER:** XXXXXXXX

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

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:	N	N	37UENZG0604	6/30/2017	6/30/2018	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 300,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000 \$
B	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY	N	N	37UENZG0604	6/30/2017	6/30/2018	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ XXXXXXXX BODILY INJURY (Per accident) \$ XXXXXXXX PROPERTY DAMAGE (Per accident) \$ XXXXXXXX \$ XXXXXXXX
C	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input checked="" type="checkbox"/> RETENTION \$ 10,000	N	N	37RHUZG0162	6/30/2017	6/30/2018	EACH OCCURRENCE \$ 5,000,000 AGGREGATE \$ 5,000,000 \$ XXXXXXXX
WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		Y/N	N/A	NOT APPLICABLE			PER STATUTE <input type="checkbox"/> OTH-ER <input type="checkbox"/> E.L. EACH ACCIDENT \$ XXXXXXXX E.L. DISEASE - EA EMPLOYEE \$ XXXXXXXX E.L. DISEASE - POLICY LIMIT \$ XXXXXXXX

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

CERTIFICATE HOLDER**CANCELLATION****14894105**STATE OF NEW HAMPSHIRE
DEPT OF HEALTH AND HUMAN SERVICES
ATTN: JONATHAN V GALLO, ESQ
129 PLEASANT ST.
CONCORD, NH 03301-3857

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

AUTHORIZED REPRESENTATIVE

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MISSION STATEMENT

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

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

FINANCIAL STATEMENTS
June 30, 2016 and 2015

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

FINANCIAL STATEMENTS
June 30, 2016 and 2015

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Crowe Chizek LLP

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., which comprise the statements of financial position as of June 30, 2016 and 2015, and the related statements of activities, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

(Continued)

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the University of Kansas Center for Research, Inc. as of June 30, 2016 and 2015, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matter

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

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated September 29, 2016 on our consideration of the University of Kansas Center for Research, Inc.'s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University of Kansas Center for Research, Inc.'s internal control over financial reporting and compliance.


Crowe Chizek LLP

Indianapolis, Indiana
September 29, 2016

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF FINANCIAL POSITION
June 30, 2016 and 2015

	<u>2016</u>	<u>2015</u>
Assets		
Current assets		
Cash and cash equivalents	\$ 19,713,510	\$ 20,662,666
Current investments	39,105,890	37,419,118
Interest receivable	-	92,158
Accounts receivable, net		
Federal	16,781,755	17,865,232
State	2,950,724	1,597,785
Other	8,171,396	8,092,419
Total accounts receivable	<u>27,903,875</u>	<u>27,555,436</u>
Note receivable, net – current	97,551	87,814
Prepaid expenses	<u>305,591</u>	<u>292,893</u>
Total current assets	<u>87,126,417</u>	<u>86,110,085</u>
Property and equipment, net	19,257,457	20,271,391
Buildings and equipment in progress	<u>1,605,140</u>	<u>828,067</u>
Total property and equipment	<u>20,862,597</u>	<u>21,099,458</u>
Long-term investments	<u>6,747,655</u>	<u>6,747,672</u>
Other assets		
Bond issuance costs and other	331,264	479,962
Notes receivable, net	<u>740,592</u>	<u>838,143</u>
Total other assets	<u>1,071,856</u>	<u>1,318,105</u>
Total assets	<u>\$ 115,808,525</u>	<u>\$ 115,275,320</u>
Liabilities and Net Assets		
Current liabilities		
Accounts payable and accrued expenses	\$ 18,085,954	\$ 19,195,051
Bonds payable, net - current	3,367,349	3,297,349
Assets held for others	7,420,551	7,207,588
Deferred revenues - sponsored research		
Federal	909,525	1,574,602
State	1,683,964	2,434,234
Other	<u>6,913,652</u>	<u>6,260,889</u>
Total deferred revenues	<u>9,507,141</u>	<u>10,269,725</u>
Total current liabilities	<u>38,380,995</u>	<u>39,969,713</u>
Bonds payable, net	<u>30,772,373</u>	<u>34,139,722</u>
Total liabilities	<u>69,153,368</u>	<u>74,109,435</u>
Net Assets		
Unrestricted	40,052,252	34,152,898
Temporarily restricted	606,899	1,016,981
Permanently restricted	<u>5,996,006</u>	<u>5,996,006</u>
Total net assets	<u>46,655,157</u>	<u>41,165,885</u>
Total liabilities and net assets	<u>\$ 115,808,525</u>	<u>\$ 115,275,320</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2016

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, Gains, and Other Support				
Direct research income	\$ 117,011,669	\$ -	\$ -	\$ 117,011,669
Facilities & administrative (F&A) revenue	<u>23,614,617</u>	<u>-</u>	<u>-</u>	<u>23,614,617</u>
	<u>140,626,286</u>	<u>-</u>	<u>-</u>	<u>140,626,286</u>
Service centers	7,947,792	-	-	7,947,792
Royalties	3,781,824	-	-	3,781,824
Donation of equipment – non project funds	179,562	-	-	179,562
Investment income	1,961,040	(117,824)	-	1,843,216
Contributions	-	38	-	38
Other income	4,361,075	-	-	4,361,075
Net assets released from restriction	<u>292,296</u>	<u>(292,296)</u>	<u>-</u>	<u>-</u>
Total revenues, gains and other support	<u>159,149,875</u>	<u>(410,082)</u>	<u>-</u>	<u>158,739,793</u>
Expenses				
Direct research expenses	117,011,669	-	-	117,011,669
Capitalized expenses for property and equipment	<u>(2,203,318)</u>	<u>-</u>	<u>-</u>	<u>(2,203,318)</u>
	<u>114,808,351</u>	<u>-</u>	<u>-</u>	<u>114,808,351</u>
Management and general expenses				
University support	684,940	-	-	684,940
Research admin., unit support, startup	12,249,133	-	-	12,249,133
Matching costs	1,067,977	-	-	1,067,977
Interest expense-bonds	<u>926,019</u>	<u>-</u>	<u>-</u>	<u>926,019</u>
Total management and general expenses	14,928,069	-	-	14,928,069
Research unit/school expenses	4,230,560	-	-	4,230,560
Service centers	8,179,312	-	-	8,179,312
Other programs services	5,389,646	-	-	5,389,646
Depreciation	4,927,560	-	-	4,927,560
Loss on disposal of assets	<u>207,902</u>	<u>-</u>	<u>-</u>	<u>207,902</u>
Total expenses	<u>152,671,400</u>	<u>-</u>	<u>-</u>	<u>152,671,400</u>
Change in net assets before transfers	6,478,475	(410,082)	-	6,068,393
Transfers to University	<u>(579,121)</u>	<u>-</u>	<u>-</u>	<u>(579,121)</u>
Change in net assets	5,899,354	(410,082)	-	5,489,272
Net assets, beginning of year	<u>34,152,898</u>	<u>1,016,981</u>	<u>5,996,006</u>	<u>41,165,885</u>
Net assets, end of year	<u>\$ 40,052,252</u>	<u>\$ 606,899</u>	<u>\$ 5,996,006</u>	<u>\$ 46,655,157</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENT OF ACTIVITIES
Year ended June 30, 2015

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Revenues, Gains, and Other Support				
Direct research income	\$ 115,937,302	\$ -	\$ -	\$ 115,937,302
Facilities & administrative (F&A) revenue	<u>24,319,031</u>	<u>-</u>	<u>-</u>	<u>24,319,031</u>
	<u>140,256,333</u>	<u>-</u>	<u>-</u>	<u>140,256,333</u>
Service centers	4,689,439	-	-	4,689,439
Royalties	5,550,140	-	-	5,550,140
Donation of equipment – non project funds	53,804	-	-	53,804
Investment income	406,652	(15,612)	-	391,040
Contributions	-	-	125,000	125,000
Other income	912,252	-	-	912,252
Net assets released from restriction	<u>241,602</u>	<u>(241,602)</u>	<u>-</u>	<u>-</u>
Total revenues, gains and other support	<u>152,110,222</u>	<u>(257,214)</u>	<u>125,000</u>	<u>151,978,008</u>
Expenses				
Direct research expenses	115,937,302	-	-	115,937,302
Capitalized expenses for property and equipment	<u>(3,275,672)</u>	<u>-</u>	<u>-</u>	<u>(3,275,672)</u>
	<u>112,661,630</u>	<u>-</u>	<u>-</u>	<u>112,661,630</u>
Management and general expenses				
University support	1,172,919	-	-	1,172,919
Research admin., unit support, startup	12,009,836	-	-	12,009,836
Matching costs	1,599,021	-	-	1,599,021
Interest expense-bonds	<u>1,112,387</u>	<u>-</u>	<u>-</u>	<u>1,112,387</u>
Total management and general expenses	15,894,163	-	-	15,894,163
Research unit/school expenses	2,389,468	-	-	2,389,468
Service centers	3,292,115	-	-	3,292,115
Other programs services	3,576,318	-	-	3,576,318
Depreciation	5,499,467	-	-	5,499,467
Loss on disposal of assets	<u>465,451</u>	<u>-</u>	<u>-</u>	<u>465,451</u>
Total expenses	<u>143,778,612</u>	<u>-</u>	<u>-</u>	<u>143,778,612</u>
Change in net assets before transfers	8,331,610	(257,214)	125,000	8,199,396
Transfers to University	<u>(1,190,091)</u>	<u>-</u>	<u>-</u>	<u>(1,190,091)</u>
Change in net assets	7,141,519	(257,214)	125,000	7,009,305
Net assets, beginning of year	<u>27,011,379</u>	<u>1,274,195</u>	<u>5,871,006</u>	<u>34,156,580</u>
Net assets, end of year	<u>\$ 34,152,898</u>	<u>\$ 1,016,981</u>	<u>\$ 5,996,006</u>	<u>\$ 41,165,885</u>

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
STATEMENTS OF CASH FLOWS
Years ended June 30, 2016 and 2015

	<u>2016</u>	<u>2015</u>
Cash flows from operating activities		
Cash received for research contracts, grants and service accounts and unit support	\$ 139,105,701	\$ 147,420,374
Royalties received	4,404,349	5,800,537
Interest received	814,281	607,932
Payments to suppliers and employees	(148,316,328)	(139,487,969)
Interest paid	(1,163,436)	(1,077,603)
Other operating receipts	12,308,905	6,336,606
Net cash from operating activities	<u>7,153,472</u>	<u>19,599,877</u>
Cash flows from investing activities		
Purchase of property and equipment	(4,589,780)	(4,318,635)
Purchase of investments	(36,057,489)	(24,894,566)
Proceeds from sales and maturities of investments	35,491,827	23,274,348
Collection of notes receivable	87,814	8,969
Net cash from investing activities	<u>(5,067,628)</u>	<u>(5,929,884)</u>
Cash flows from financing activities		
Principal payments of long-term debt	(3,035,000)	(3,070,000)
Permanently restricted contributions	-	125,000
Net cash from financing activities	<u>(3,035,000)</u>	<u>(2,945,000)</u>
Increase (Decrease) in Cash and Cash Equivalents	(949,156)	10,724,993
Cash and Cash Equivalents, Beginning of Year	<u>20,662,666</u>	<u>9,937,673</u>
Cash and Cash Equivalents, End of Year	<u>\$ 19,713,510</u>	<u>\$ 20,662,666</u>
Reconciliation of Change in Net Assets to Net Cash Provided by Operating Activities		
Change in net assets	\$ 5,489,272	\$ 7,009,305
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	4,927,560	5,499,467
Amortization	(188,000)	(213,270)
Donations of equipment - non project funds	(179,562)	(53,804)
Loss on disposal of property and equipment	207,902	465,451
Realized and unrealized (gains) losses on investments	(1,121,093)	238,403
Transfer of assets to University of Kansas	579,121	1,190,091
Permanently restricted contributions	-	(125,000)
Changes in:		
Accounts receivable - research	(348,439)	8,091,869
Interest receivable	92,158	(5,900)
Prepaid expenses	61,651	(56,258)
Accounts payable and accrued expenses	(1,817,477)	(2,745,495)
Assets held for others	212,963	268,405
Deferred revenues - research	<u>(762,584)</u>	<u>36,613</u>
Net cash provided by operating activities	<u>\$ 7,153,472</u>	<u>\$ 19,599,877</u>
Supplemental Cash Flow Information		
Noncash investing activities:		
Donations of equipment - non project funds	\$ 179,562	\$ 53,804
Purchases of property and equipment in accounts payable	708,380	-

See accompanying notes to financial statements.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

Fair Value of Financial Instruments: Cash and cash equivalents, the note receivable, and accounts receivable approximate fair value because of the short maturity of these instruments. The notes receivable are not readily marketable. The Center has estimated their fair value to be the carrying value. Investments are carried at fair value based upon quoted market prices as described in Note 2. The carrying value of accounts payable and accrued liabilities and deferred revenue approximates fair value due to the short-term nature of the obligations. The carrying values of all of the Center's financial instruments approximated their fair values at June 30, 2016 and 2015, except bonds payable. The fair value of the Center's bonds payable is estimated based on quoted market prices for the same or similar issues. The fair value of bonds payable for the bondholders at June 30, 2016 and 2015 was approximately \$33,779,850 and \$37,408,902.

Cash Equivalents: The Center considers all liquid investments with original maturities of three months or less to be cash equivalents. At June 30, 2016 and 2015, cash equivalents consisted primarily of an interest bearing checking account that is fully collateralized by FDIC insurance and US Bank.

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

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

Impairment of Long-Lived Assets: On an ongoing basis, the Center reviews its long-lived assets for impairment whenever events or circumstances indicate that the carrying amount may be overstated. The Center recognizes impairment losses if the undiscounted cash flows expected to be generated are less than the carrying value of the related asset. If impaired, the assets are adjusted to fair value based on the discounted cash flows. No impairment is thought to exist as of June 30, 2016 or 2015.

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.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

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.

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.

Deferred Revenue: 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.

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. 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. Approximately 43% and 53% of all grant revenues was received from three grantors (federal agencies) during the years ended June 30, 2016 and 2015, respectively.

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, 2016 and 2015 are as follows:

<u>June 30, 2016</u>	<u>Receivables</u>	<u>Allowance</u>	<u>Net</u>
Accounts receivable - federal	\$ 16,781,755	\$ -	\$ 16,781,755
Accounts receivable - state	2,950,724	-	2,950,724
Accounts receivable - other	<u>8,266,875</u>	<u>(95,479)</u>	<u>8,171,396</u>
	<u>\$ 27,999,354</u>	<u>\$ (95,479)</u>	<u>\$ 27,903,875</u>
 <u>June 30, 2015</u>	 <u>Receivables</u>	 <u>Allowance</u>	 <u>Net</u>
Accounts receivable - federal	\$ 17,865,232	\$ -	\$ 17,865,232
Accounts receivable - state	1,597,785	-	1,597,785
Accounts receivable - other	<u>8,187,898</u>	<u>(95,479)</u>	<u>8,092,419</u>
	<u>\$ 27,650,915</u>	<u>\$ (95,479)</u>	<u>\$ 27,555,436</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

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.

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

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

The Center does not expect the total amount of unrecorded tax benefits to significantly change in the next 12 months. The Center recognizes interest and/or penalties related to income tax matters in income tax expense. The Center did not have any amounts accrued for interest and penalties at June 30, 2016 and 2015. At June 30, 2016 and June 30, 2015, the Center has not recorded any expected tax benefits.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to June 30, 2016, to determine the need for any adjustments or disclosures to the financial statements for the year ended June 30, 2016. Management has performed their analysis through September 29, 2016, the date the financial statements were issued.

NOTE 2 - INVESTMENTS

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

During 2016, the Finance and Audit committee changed investment managers and combined the Research Fund and Corporate Reserve Fund into a single account known as the KUCR Fund. The committee revised the investment policy effective February 15, 2016, which changed the asset allocation resulting in additional diversification and an increase equity exposure, with investment in mutual funds only, with the exception of the KU Endowment investments.

Fair Value Measurements

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 2 – INVESTMENTS (Continued)

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

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

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

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

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

Where quoted market prices are available in an active market, securities are classified within Level 1 of the valuation hierarchy. Level 1 securities include U.S. treasury obligations, exchange traded funds, equity mutual funds, money market funds, and funds held in trust for debt service. If quoted market prices are not available, then fair values are estimated by a third-party pricing service using pricing models, quoted market prices of securities with similar characteristics, or discounted cash flows and are classified within Level 2 of the valuation hierarchy. Level 2 securities include U.S. agency obligations and corporate bonds.

Investments Held by Kansas University Endowment Association

Investments in pooled funds held by Kansas University Endowment Association (KU Endowment) are valued at net asset value based upon the proportional value of the overall fund which estimates fair value. Investment earnings are allocated monthly on a prorated basis representative of the Center's overall percentage of ownership in the applicable pooled funds. As such, all of the Center's investments at the KU Endowment are valued at net asset value, and are excluded from the valuation hierarchy, pursuant to the adoption of ASU 2015-07, *Fair Value Measurement*. The underlying assets consist primarily of marketable securities measured at fair value.

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

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

	<u>Fair Value measurement at Reporting Date Using</u>		
	<u>Fair Value</u>	<u>Level 1</u>	<u>NAV</u>
June 30, 2016			
Equity mutual funds	\$ 21,358,077	\$ 21,358,077	\$ -
Fixed mutual funds	17,068,638	17,068,638	-
Money market mutual funds	63,626	63,626	-
Funds held in trust for debt service	751,649	751,649	-
Investments held by KU Endowment	<u>6,611,555</u>	<u>-</u>	<u>6,611,555</u>
	<u>\$ 45,853,545</u>	<u>\$ 39,241,990</u>	<u>\$ 6,611,555</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 2 – INVESTMENTS (Continued)

	<u>Fair Value measurement at Reporting Date Using</u>			
	<u>Fair Value</u>	<u>Level 1</u>	<u>Level 2</u>	<u>NAV</u>
June 30, 2015				
U.S. treasury obligations	\$ 13,411,199	\$ 13,411,199	\$ -	\$ -
U.S. agency obligations	10,313,570	-	10,313,570	-
Exchange traded funds	3,642,691	3,642,691	-	-
Equity mutual funds	5,167,592	5,167,592	-	-
Corporate bonds	1,953,990	-	1,953,990	-
Money market mutual funds	1,883,250	1,883,250	-	-
Funds held in trust for debt service	751,666	751,666	-	-
Investments held by KU Endowment	<u>7,042,832</u>	<u>-</u>	<u>-</u>	<u>7,042,832</u>
	<u>\$ 44,166,790</u>	<u>\$ 24,856,398</u>	<u>\$ 12,267,560</u>	<u>\$ 7,042,832</u>

Total investment return is comprised of the following:

	<u>2016</u>	<u>2015</u>
Interest and dividend income	\$ 722,123	\$ 629,443
Realized gain (loss)	407,741	(62,997)
Unrealized gain (loss)	<u>713,352</u>	<u>(175,406)</u>
	<u>\$ 1,843,216</u>	<u>\$ 391,040</u>

Investment expense, included in investment income, was \$58,915 and \$23,906 for the years ended June 30, 2016 and 2015, respectively.

NOTE 3 – NOTES RECEIVABLE

In fiscal year 2010, the Center loaned the Lawrence-Douglas County Biosciences Authority \$1,000,000 to assist in the financing of the construction of the Bioscience and Technology Business Center (BTBC). The note matures on June 21, 2020 requiring a final principal payment on the maturity date. The note bears interest at 4.25%, and is secured by an unconditional assignment of amounts payable to BTBC under commitments from the City of Lawrence, Kansas and Douglas County, Kansas (annual commitments by each of \$75,000 per year through 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. During fiscal year 2016, the note was amended to require annual principal payments of \$12,500 through maturity on June 21, 2020.

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.

A summary of changes in notes receivable is as follows:

	<u>June 30,</u> <u>2015</u>	<u>Additions</u>	<u>Repayments</u>	<u>June 30,</u> <u>2016</u>	<u>Current</u> <u>Portion</u>
BTBC notes	\$ 925,957	\$ -	\$ (87,814)	\$ 838,143	\$ 97,551

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 3 – NOTES RECEIVABLE (Continued)

Future repayment activity for the notes is as follows:

Year Ending June 30	Principal	Interest	Total
2017	97,551	35,190	132,741
2018	54,533	32,967	87,500
2019	56,851	30,649	87,500
2020	<u>629,208</u>	<u>28,233</u>	<u>657,441</u>
	<u>\$ 838,143</u>	<u>\$ 127,039</u>	<u>\$ 965,182</u>

NOTE 4 – PROPERTY AND EQUIPMENT

Property and equipment at June 30, 2016 and 2015 consists of:

	June 30, 2015	Increases	Decreases	June 30, 2016
Land	\$ 808,808	\$ 72,000	\$ -	\$ 880,808
Building	1,516,032	400,204	-	1,916,236
Office equipment	689,502	156,605	(1,354)	844,753
Scientific equipment	<u>64,393,450</u>	<u>3,492,720</u>	<u>(2,742,062)</u>	<u>65,144,108</u>
	<u>67,407,792</u>	<u>4,121,529</u>	<u>(2,743,416)</u>	<u>68,785,905</u>
Less accumulated depreciation:				
Building	224,779	68,645	-	293,424
Office equipment	288,275	90,513	(465)	378,323
Scientific equipment	<u>46,623,348</u>	<u>4,768,402</u>	<u>(2,535,049)</u>	<u>48,856,701</u>
	<u>47,136,402</u>	<u>4,927,560</u>	<u>(2,535,514)</u>	<u>49,528,448</u>
	<u>20,271,390</u>	<u>(806,031)</u>	<u>(207,902)</u>	<u>19,257,457</u>
Buildings and equipment in progress	<u>828,068</u>	<u>1,211,387</u>	<u>(434,315)</u>	<u>1,605,140</u>
Total, net	<u>\$ 21,099,458</u>	<u>\$ 405,356</u>	<u>\$ (642,217)</u>	<u>\$ 20,862,597</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 2016 and 2015 were:

	2016	2015
Property, equipment, and other	\$ 579,121	\$ 1,190,091

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 5 – 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 years ended June 30, 2015 and 2014, the Center received approximately \$7.2 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. Accordingly, the amounts of financial assets administered by the Center under the program are also reported as assets held for others. At June 30, 2016 and 2015, these amounts totaled \$7,420,551 and \$7,207,588.

NOTE 6 – LONG TERM DEBT

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

	June 30, <u>2015</u>	<u>Additions</u>	<u>Retirements</u>	June 30, <u>2016</u>	<u>Current Portion</u>
Revenue bonds:					
Series 2006G	\$ 2,080,000	\$ -	\$ (665,000)	\$ 1,415,000	\$ 695,000
Series 2012E	23,000,000	-	(2,275,000)	20,725,000	2,320,000
Series 2014E	<u>10,380,000</u>	-	<u>(95,000)</u>	<u>10,285,000</u>	<u>90,000</u>
	<u>35,460,000</u>	-	<u>(3,035,000)</u>	<u>32,425,000</u>	<u>3,105,000</u>
 Bond premium 2006G	 41,591	 -	 (16,636)	 24,955	 16,636
Bond premium 2012E	1,685,139	-	(221,796)	1,463,343	221,796
Bond premium 2014E	<u>250,341</u>	-	<u>(23,917)</u>	<u>226,424</u>	<u>23,917</u>
	<u>1,977,071</u>	-	<u>(262,349)</u>	<u>1,714,722</u>	<u>262,349</u>
 Total	 <u>\$37,437,071</u>	 <u>\$ -</u>	 <u>\$(3,297,349)</u>	 <u>\$34,139,722</u>	 <u>\$ 3,367,349</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 6 – LONG TERM DEBT (Continued)

Long-term debt at June 30, 2016, is comprised of the following:

Revenue Bonds	Balance at <u>June 30, 2016</u>	Balance at <u>June 30, 2015</u>
<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 advance refunded with the issuance of the 2014E bonds described below. Remaining annual installments range from \$640,000 to \$720,000 with final maturity on February 1, 2018. Interest at 4.00% is payable semi-annually. A rating of A was assigned by Standard & 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, 2016 and 2015 the balance in this reserve fund was \$751,649 and \$751,666, respectively.</p>	\$ 1,415,000	\$ 2,080,000
<p>\$29,675,000 - Series 2012E Kansas Development Finance Authority Revenue Refunding Bonds (\$14,075,000 tax-exempt and \$15,600,000 taxable). The bonds are due in annual installments ranging from \$2,190,000 to \$2,950,000 with final maturity on February 1, 2024. Interest at rates ranging from 2.00% to 5.00% is payable semi-annually. A rating of AA Stable was assigned by Standard & Poor's and a rating of Aa1 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds from the 2012E bonds were used to extinguish the Series 2005B Kansas Development Finance Authority Taxable Revenue Bonds, which were originally used to finance the construction of the Multidisciplinary Research building.</p>	20,725,000	23,000,000
<p>\$10,580,000 - Series 2014E Kansas Development Finance Authority Revenue Bonds (tax-exempt). The bonds are due in annual installments ranging from \$90,000 to \$4,045,000 final maturity on February 1, 2025. Interest at rates ranging from 2.00% to 3.00% is payable semi-annually. A rating of AA was assigned by Standard & Poor's and a rating of Aa2 was assigned by Moody's Investor Services. A pledge of Center revenues and a second pledge of all University's revenues, excluding restricted revenues, are available for full payment of the debt service in the event the Center is not able to make debt service payments. Proceeds for the 2014E bonds were used to advance refund \$10,560,00 of the 2006G Kansas Development Finance Authority Tax-Exempt Revenue Bonds described above, which were originally used to finance the construction of the Structural Biology Center Phase III building.</p>	10,285,000	10,380,000
	<u>\$ 32,425,000</u>	<u>\$ 35,460,000</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 6 – LONG TERM DEBT (Continued)

In accordance with University policy, the capitalized costs of the Multidisciplinary Research building and Structural Biology Center Phase III building have been previously transferred to and are reported on University's financial statements. At June 30, 2016 and 2015, the net book value of these facilities was approximately \$36.5 million and \$38.5 million, respectively.

Future revenue bond debt service requirements at June 30, 2016 are as follows:

Year Ending June 30	2006G		2012E		2014E		Total	
	Principal	Interest	Principal	Interest	Principal	Interest	Principal	Interest
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	-	-	2,475,000	594,200	850,000	247,100	3,325,000	841,300
2021	-	-	2,600,000	470,450	865,000	230,100	3,465,000	700,550
2022-2024	-	-	8,545,000	662,400	2,760,000	531,450	11,305,000	1,193,850
2025	-	-	-	-	4,045,000	121,350	4,045,000	121,350
	<u>\$ 1,415,000</u>	<u>\$ 85,400</u>	<u>\$ 20,725,000</u>	<u>\$ 3,836,700</u>	<u>\$ 10,285,000</u>	<u>\$ 1,956,700</u>	<u>\$ 32,425,000</u>	<u>\$ 5,878,800</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 \$2,080,000 of the 2006G tax-exempt bonds remains on the Center's statement of financial position and have final maturity on February 1, 2018. 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.

The Series 2006, 2012, and 2014 Bonds are secured by loan agreements with the Kansas Development Finance Authority. The bond agreements contains various restrictive covenants. The Center is subject to limitations on additional indebtedness under the agreements. At June 30, 2016, the Center reported compliance with these covenants as of June 30, 2016.

Interest expense related to all bonds payable for the years ended June 30, 2016 and 2015, was \$926,019 and \$1,112,387, respectively.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 7 – 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, 2016 and 2015 was as follows:

	<u>2016</u>	<u>2015</u>
<u>University Activity (Unaudited)</u>		
University Research Expenditures	\$ 3,598,163	\$ 2,369,973
University Indirect Cost	<u>847,453</u>	<u>154,885</u>
Total University Activity (Unaudited)	4,445,616	2,524,858
 <u>Center for Research Activity</u>		
Center for Research Expenditures non-ARRA	117,004,902	115,314,821
Center for Research Expenditures ARRA	<u>6,767</u>	<u>622,481</u>
Total Center Research Expenditures	117,011,669	115,937,302
Center Indirect Cost non-ARRA	23,614,617	24,237,989
Center Indirect Cost ARRA	<u>-</u>	<u>81,042</u>
Total Center Indirect Cost	<u>23,614,617</u>	<u>24,319,031</u>
 Total Sponsored Activity – University and Center (unaudited)	 <u>\$ 145,071,902</u>	 <u>\$ 142,781,191</u>

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

NOTE 8 – NET ASSETS

Temporarily Restricted Net Assets

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

	<u>2016</u>	<u>2015</u>
Dole Institute	\$ 434,953	\$ 784,121
Humanities	<u>171,946</u>	<u>232,860</u>
	<u>\$ 606,899</u>	<u>\$ 1,016,981</u>

Permanently Restricted Net Assets

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

	<u>2016</u>	<u>2015</u>
Dole Institute	\$ 5,049,881	\$ 5,049,881
Humanities	<u>946,125</u>	<u>946,125</u>
	<u>\$ 5,996,006</u>	<u>\$ 5,996,006</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 8 – NET ASSETS (Continued)

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.

	<u>2016</u>	<u>2015</u>
Dole Institute	\$ 249,799	\$ 237,412
Humanities	<u>42,497</u>	<u>4,190</u>
	<u>\$ 292,296</u>	<u>\$ 241,602</u>

NOTE 9 - 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 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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 9 – ENDOWMENTS (Continued)

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, 2016 and 2015 were:

	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>
Endowment net assets, July 1, 2015	\$ 1,016,981	\$ 5,996,006
Contributions	38	-
Investment income	303,713	-
Unrealized loss on investments	(421,537)	-
Amounts appropriated for expenditure	<u>(292,296)</u>	<u>-</u>
Endowment net assets, June 30, 2016	<u>\$ 606,899</u>	<u>\$ 5,996,006</u>
Endowment net assets, July 1, 2014	\$ 1,274,195	\$ 5,871,006
Contributions	-	125,000
Investment income	298,023	-
Unrealized loss on investments	(313,635)	-
Amounts appropriated for expenditure	<u>(241,602)</u>	<u>-</u>
Endowment net assets, June 30, 2015	<u>\$ 1,016,981</u>	<u>\$ 5,996,006</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 match or exceed the respective benchmark while also seeking to control investment risk. The primary long-term financial objective of the portfolio managed by KU Endowment is to preserve the real value (purchasing power) of the principal (the gift value) and of its spending distributions, while providing a relatively stable source of funding for participants. Since the program's 1988 inception, Endowment has met its objective though actual returns in any given year may vary from this amount.

Funds with Deficiencies: From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donor or SPMIFA requires the Center to retain as a fund of perpetual duration. There were no such funds with deficiencies as of June 30, 2016 and 2015.

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

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 9 – ENDOWMENTS (Continued)

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

NOTE 10 – RELATED PARTY TRANSACTIONS

During the years ended June 30, 2016 and 2015, amounts paid by the University (and reimbursed by the Center) for salaries, benefits, scholarships, fellowships, tuition, and other operating expenses amounted to approximately \$98,576,893 and \$92,509,148 respectively. Of these amounts, approximately \$12,946,983 and \$14,312,879 are included in accounts payable and accrued expenses at June 30, 2016 and 2015, 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, 2016 and 2015:

	<u>2016</u>	<u>2015</u>
Salaries and benefits	\$ 1,786,988	\$ 1,389,217
Start-up	2,000,000	2,000,000
Other Investments	1,497,505	1,462,687
Utilities	66,028	69,942
Information technology services	66,258	66,258
Maintenance	58,432	48,207
Custodial	<u>22,452</u>	<u>20,791</u>
	<u>\$ 5,497,663</u>	<u>\$ 5,057,102</u>

Effective July 1, 2009, the University established a central pool for the payout of vacation leave when faculty or staff resign or terminate employment. The effective rate is 0.68% and 0.35% of eligible payroll as of June 30, 2016 and 2015, respectively.

The Center provided support to KU Endowment for departmental benefit in funding research, graduate studies, distinguished professorships, scholarships and fellowships. Support of \$2,202,175 and \$2,373,857 was provided to KU Endowment during the fiscal years 2016 and 2015 and is included in other program services on the statement of activities.

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO FINANCIAL STATEMENTS
June 30, 2016 and 2015

NOTE 10 – RELATED PARTY TRANSACTIONS (Continued)

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 \$1,173,375 and \$1,187,375 was provided to KUCTC during each of the fiscal years 2016 and 2015, respectively. Support of \$817,375 remains as accounts payable at June 30, 2015.

In accordance with the KUCTC revenue sharing agreement, signed in June 2012, a distribution of \$762,688 is due to the Center and recorded in receivables as of June 30, 2015.

NOTE 11 – 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, 2016 were:

2017	640,404
2018	560,300
2019	514,324
2020	509,500
2021	493,467
Thereafter	<u>1,237,890</u>
	<u>\$ 3,955,885</u>

Rent expense for all operating leases was \$705,888 and \$485,745 for the years ended June 30, 2016 and 2015, respectively.

NOTE 12 – 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 \$115,368 and \$33,996 for 2016 and 2015, respectively.

NOTE 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 \$200,000 as of June 30, 2016.

SUPPLEMENTARY INFORMATION

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Amount</u>
RESEARCH AND DEVELOPMENT CLUSTER			
<u>Corporation for National and Community Service</u>			
<u>Pass through Kansas State Board of Education</u>			
Kansas STEM Mentoring Initiative	94.021	652-15-1846	\$ 15,133
Kansas STEM Mentoring Initiative	94.021	652-16-1886	57
<u>U.S. Department of Education</u>			
<u>Direct Award</u>			
Fulbright-Hays Doctoral Dissertation Research Abroad Program	84.022	P022A130019	5,279
Funds for the Improvement of Postsecondary Education	84.116	P116Z990008	5,000,000
Rehabilitation Research and Training Center on Community Living	84.133	H133B110006 - 14	(168,598)
Assessing Family Employment Awareness Training (FEAT)	84.133	H133G130261	(17,072)
I-CONNECT PLUS: Enhancing Community Participation for Adolescents and Adults with ASD using Online Instruction, Coaching, and Accessible Self-Management Technologies	84.133	H133A130032 - 14	(57,402)
Access to Success: Replication and Impact of a Training Program Supporting Post-Secondary Students in Requesting Disability Accommodations	84.133	H133G140213	(8,636)
Development and Validation of Online Adaptive Reading Motivation Measures	84.305	R305A110148-14	240,845
Improving Paraprofessionals Instructional and Behavioral Support in Urban Elementary School Settings: A Research Practitioner Partnership	84.305	R305H140048	164,310
Implementing Comprehensive, Integrated, Three-tiered Models to Meet Students' Academic, Behavior, and Social Needs: A Researcher-Practitioner Partnership	84.305	R305H150018-16	139,444
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 - 15	567,455
The effects of online decision making support for home visitors using an RTI approach to promoting the language development of at-risk infants and toddlers	84.324	R324A120365 - 15	561,290
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 - 15	532,437
Exploring the Predictors and Outcomes of Self-Determination for Secondary Students with Disabilities by Analyzing NLTS2 Data	84.324	R324A120411	15,758
Validation of Cognitive Problem-Solving and Movement Infant-Toddler IGDIs for Screening and General Outcome Progress Monitoring	84.324	R324A150166-16	180,950
Early Identification of children with reading disabilities within an RTI framework	84.324	R324A080118	-
KU ACCESS: Leadership in Access, College, Career, and Extensive and Significant Supports for Secondary Students with Severe Disabilities	84.325	H325D140031-16	143,226
The Strategic Writing Model: Secondary Writing Instruction through a Three-Tiered RTI Model	84.326	H326M090003 -12	6,788
The Schoolwide Integrated Framework For Transformation Center (SWIFT)	84.326	H326Y120005-15	5,019,158
Phase II: Animated Visual Supports for Social Skills (AVISS): An Interactive Virtual Experience for Social Skill Development	84.327	H327A110062	20,816
Improving outcomes for young children with hearing impairment and other disabilities: Technology for audiometric assessment	84.327	H327A110049	54,867
Phase 2: Effectiveness of Mobile EBASS-Classroom	84.327	H327A110052 - 13	13,999
Stepping Up: Sustainable Implementation of Innovations for Student Achievement (SIISA)	84.327	H327S120019 - 16	447,452
Making It Happen: Stepping Up Implementation of IGD Technology to Improve Data-based Decision Making for Infants and Toddlers with or at-risk for Disabilities	84.327	H327S140024 - 16	321,450
KU Transition to Postsecondary Education for Youth with ID	84.407	P407A150017	60,842
<u>Pass through Indiana University</u>			
Joint Attention Mediated Learning Intervention for Toddlers with Autism Spectrum Disorders and their Families	84.324	BL-4240321-UK	147,597
<u>Pass through Kenai Peninsula Borough School District</u>			
Using Assessments to Improve Teaching and Learning in the Kenai Peninsula Borough School District	84.367	260-92-4100-2040-410	48,373
<u>Pass through Kansas State Department of Education</u>			
Kansas School Readiness Research Project	84.027	652-11-1713	710
Scaling-Up KSDE TASN Evaluation Proposal	84.027	652-15-1860	145,008
Kansas SPDG Evaluation 2012-17	84.323	652-14-1839	68,845
Kansas SPDG Evaluation 2012-17	84.323	652-16-1882	74,837
Accessibility of Technology-Enhanced Assessments	84.368	652-12-1772	82,659
Use of Learning Maps as an Organizing Structure for Formative Assessment	84.368	652-16-1887	388,919

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

<u>Federal Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Identifying Number</u>	<u>Amount</u>
<u>Pass through Kansas State Board of Education</u>			
Technical Assistance for Kansas 21st Century Community Learning Centers	84.287	652-15-1855	\$ 211,888
<u>Pass through MO Dept of Elementary & Secondary Ed</u>			
Secondary/Transition Communities of Practice	84.027		6,882
Secondary/Transition Communities of Practice	84.027	Agreement	73,251
Missouri Post-Secondary Success Project	84.027	Agreement	329,851
<u>Pass through Ohio State University</u>			
Language Bases of Skilled Reading Comprehension	84.305	60023887	136,524
<u>Pass through Queens College of CUNY</u>			
Development and Validation of the Supports Intensity Scale for Children	84.324	46374-A	29,417
<u>Pass through San Francisco State University</u>			
Implementing an Emergent Literacy Curriculum for Students with Intellectual Disabilities in General Education Classrooms	84.324	S15-0002	149,223
<u>Pass through SRI International</u>			
Principles of Cyberlearning to Redesign Secondary Courses to Improve Academic Outcomes Related to Higher Standards for Students with Disabilities and Other Underperforming Students	84.411	51-001305	93,537
<u>Pass through Univ of Florida</u>			
The Center to Support the Development of Effective Educators to Serve Students with Disabilities	84.325	UFDSP00010564	218,641
<u>Pass through Univ of Missouri - Kansas City</u>			
Determining the Efficacy of the Self-Determined Career Development Model to Improve Employment Outcomes for Adults with Developmental Disabilities	84.133	59191/00048585	70,569
<u>Pass through Univ of Montana</u>			
RRTC on the Ecology of Rural Disability	84.133	PG14-25866-03	14
Research and Training Center on Rural Community Living - Year 2	84.133	PG15-25881-03	14,757
<u>Pass through Univ of Oregon</u>			
National Technical Assistance Center on Positive Behavioral Interventions & Supports IV	84.326	224440C	53,553
Center on Accessible and Supported Electronic Text to Improve Mathematics Achievement for Students with Disabilities	84.327	223810M	1,413
<u>Pass through University of Utah</u>			
Project ASPRE: Achieving Success in Promoting Readiness for Education and Employment	84.418	10033712	97,396
<u>Pass through US 500, Kansas City</u>			
Project STArts: Skillful Thinking in the Arts	84.351	Agreement	48,056
<u>U.S. Department of Homeland Security</u>			
<u>Direct Award</u>			
Education Training with Fire Fighters and the Deaf Community	97.044	EMW-2014-FP-00096	80,945
<u>U.S. Department of Commerce</u>			
<u>Direct Award</u>			
Drizzle and Cloudiness Transitions in Southeast Pacific Marine Stratocumulus	11.431	NA10OAR4310160	54,384
Collaborative Research: Representing Calving and Iceberg Dynamics in Global Climate	11.431	NA13OAR4310099	32,459
Summer Research Fellowship Application for Mark LaFollette	11.620	70NANB15H126	6,728
<u>Pass through KS Information Technology Office</u>			
Kansas FirstNet GIS Support Services	11.549	Agreement	32,155
Kansas FirstNet GIS Support Services - Phase 2	11.549	Agreement	25,495
<u>Pass through KS Dept of Commerce & Housing</u>			
Kansas Statewide Broadband Initiative	11.553	13349-M4	8,676
<u>U.S. Department of Defense</u>			
<u>Direct Award</u>			
Armored Software	12.000	H98230-13-C-0264	415,696
Formulation of Inhalable Therapeutic for the Treatment of Acute Pulmonary Melioidosis	12.000	W81XWH-14-P-0317	13,307
Radar Networking	12.000	N00173-14-P-1826	12,988
Advanced Radar Waveforms for Navy Platforms	12.000	N00014-16-C-2029b	12,173
SAR Signal Processing	12.000	N00173-16-P-0582	33,091
Advancing Full Wavefield Seismic Imaging for Analysis, Sensor Concept Development, Analytical and Field Test Evaluations	12.000	W913E5-15-C-0011	419,276

See accompanying notes to schedule.

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Cooperative Agreement	12.114	W912DQ-14-2-0005	\$ 65,882
Burst-Mode Synchronization for SOQPSK (SYNC)	12.300	W900KK-11-C-0032	(609)
Improving mesoscale prediction of shallow convection and cloud regime transitions in NRL COAMPS	12.300	N00014-11-1-0518	47,227
Design and Development of an Ultra-Wideband Microwave Radar for Airborne Measurements of Thickness of Snow on Sea Ice	12.300	N00173-13-C-2032	23,102
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	278,758
Cooperative Routing for Dynamic Aerial Layer Networks	12.300	FA8750-14-1-0077	55,109
Trafficking/Terrorism Nexus in Eurasia	12.300	N00014-15-1-2788	118,133
Analog Integrated Circuit Design for Spike-Time-Dependent Encoder and Reservoir in Reservoir Computing Processors	12.300	FA8750-16-2-0120	25,912
Noninvasively relieving joint contracture by using ultrasound-assisted laser technique to remove scar tissues in the knee joint	12.420	W81XWH-15-1-0524	61,879
The Human Geography of Resilience and Change: Land Rights and Political Stability in Latin American Indigenous Societies	12.431	W911NF-13-1-0281	1,131,782
Fundamental Physics of Carbon-based Nanostructures for Infrared and Ultraviolet Detection	12.431	W911NF-12-1-0412	76,404
ARO-YIP (Materials By Design): Organic Photovoltaic Multiferroics	12.431	W911NF-14-1-0443	42,169
Stochastic Evolution Equations Driven by Fractional Noises	12.431	W911NF-13-1-0306	126,564
Studies in the Control of Stochastic Systems	12.431	W911NF-14-1-0390	144,774
Archaeological Curation Agreement with Tulsa District COE	12.431	W912BV-13-P-0078	(1,837)
A High-Order CFR Method on Overset Adaptive Cartesian and Prismatic Meshes for Rotorcraft Flow Simulations	12.431	W911NF-15-1-0505	58,550
3D Sound propagation HPC simulation with impedance and vegetation models.	12.431	W911NF-14-2-0077	76,084
High Performance Computing and Visualization Infrastructure for Simultaneous Parallel Computing and Parallel Visualization Research	12.431	W911NF-15-1-0377	510,577
Fundamental Physics of Carbon-based Nanohybrids for High-performance Infrared and Ultraviolet Detection	12.431	W911NF-16-1-0029	1,389
Cognitive Radar to Address Spectral Congestion	12.431	W911NF-15-2-0063	135,449
Advancing Full Wavefield Seismic Imaging for Analysis, Sensor Concept Development, Analytical and Field Test Evaluations	12.630	W913E5-15-2-0001	670,136
Optimal and Adaptive Control of Stochastic Systems	12.800	FA9550-12-1-0384	52,335
Multidimensional Signal Processing for Sensing & Communications	12.800	FA9550-12-1-0220	429
The Development of High-Order Methods for Real World Applications	12.800	FA9550-12-1-0286	7,503
Neuron Design in Neuromorphic Computing Systems and its Application in Wireless Communications	12.800	FA8750-15-1-0052	70,690
<u>Pass through Booz, Allen, Hamilton, Inc.</u>			
Master Agreement with BAH	12.800	99736XSB95	55
<u>Pass through Brigham Young University</u>			
Preamble Assisted Equalization for Aeronautical Telemetry (PAQ)	12.910	13-0360	28,512
<u>Pass through Indiana University</u>			
Soil Microbial Communities: Critical roles in Control of Non-Native Invasive Species and restoration of Ecosystem Functions	12.000	BL-4324205-KU	32,883
<u>Pass through Institute for the Study of Learning & Ex</u>			
Autonomous Discovery of Object Properties: Robots That Create Simple Machines	12.300	13431	2,130
<u>Pass through Iowa State University</u>			
Scalable High-order Methods for Nonhydrostatic Mesoscale Atmospheric Modeling Using Adaptive Unstructured Meshes	12.300	421-20-49	52,907
<u>Pass through Matrix Research, Inc.</u>			
Waveform Design & Processing for the CERFER Program	12.000	S014-012	189,888
<u>Pass through Ohio State University</u>			
Arylimidamide-Azole Combinations against Leishmaniasis	12.420	60042198	74,683
<u>Pass through Pennsylvania State University</u>			
2014 NGA UARC Program	12.000	S15-18	25,901
<u>Pass through Pinnacle Technology Inc</u>			
Applications and Methods for Continuous Monitoring of Physiological Chemist	12.000	Pin 2013-164KU	92,614
<u>Pass through Quasonix, LLC</u>			
Dual S & C-Band Telemetry Transmitter System	12.000	15784	136,016
Miniaturized, Power Efficient C-band Telemetry	12.000	16760	96,819
Miniaturized, Power Efficient C-band Telemetry	12.002	14931	6,916

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<u>Pass through Science Applications Int'l Corp</u>			
Upgrading the Operational Submarine Mental Health Screening Test (SUBSCREEN) to Better Predict Psychological and Legal Discharges during First Term Enlistment	12.000	F010125355	\$ (3,506)
<u>Pass through SOLUTIONIES, INC.</u>			
Estimating Mobile-Immobile Mass Transfer Parameters using Direct Push Tools	12.000	2015.0031.ARMY	53,954
<u>Pass through Univ of Texas at San Antonio</u>			
Sea Ice and Near-Surface Geophysics Research Instrumentation	12.300	1000000474	(3,578)
<u>Pass through USD 207 - Fort Leavenworth</u>			
Cyber T.E.A.M.S.	12.556	Agreement	23,195
<u>U.S. Department of Energy</u>			
<u>Direct Award</u>			
Molecularly Assembled Material Architectures for Solar Energy Production, Storage and Carbon Capture	81.049	0190 G MA563	10,605
Collaborative Research: Cloudiness Transitions within Shallow Marine Clouds Near the Azores	81.049	DE-SC0006736	75,339
Hunt for New Physics at the Large Hadron Collider	81.049	DE-SC0007863	53,498
Targeting DOE-Relevant Ions with Supramolecular Strategies	81.049	DE-SC0010555	160,833
Collaborative Research: Polymeric Multiferroics	81.049	DE-SC0010385	95
Integrated Mesoscale Architectures for Sustainable Catalysis	81.049	130298-5091731	100,870
Understanding of Catalysis on Early Transition Metal Oxide-based Catalysts through Exploration of Surface Structure and Chemistry during Catalysis Using In-situ Approaches	81.049	DE-SC0014561	39,490
Study of quasi-collisional effects in laboratory and astrophysical plasmas	81.049		480
Atomic and Molecular Physics in Strong Fields	81.049	DE-FG02-04ER15504	49,946
Research in Heavy-Ion Nuclear Physics at CMS	81.049	DE-FG02-96ER40981	590,878
Understanding Nanoscale Confinement Effects in Solvent-Driven Chemical Reactions	81.049	DE-FG02-05ER15708	112,759
Studies of HED Plasmas with Self-Generated Magnetic Fields (f.k.a. Properties and Nonlinear Dynamics of Weibel Turbulence)	81.049	DE-FG02-07ER54940	2,148
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	2,770,856
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	(133)
<u>Pass through Georgia Institute of Technology</u>			
A New IT-SOFC Based on a Dual-Phase (H+ & O2-) Electrolyte Tailored for Efficient Utilization of Hydrocarbon Fuels	81.135	RF183-G1	46,577
<u>Pass through Honeywell</u>			
Nano-hybrid radiation detector	81.000	N000162883	137,535
Professional Engineering Services	81.000	N000160733	2,982
Miniaturization and Repackaging of Microwave Comp. for Ultra-Wideband Radar	81.000	N000183939	26,581
<u>Pass through Metropia, Inc.</u>			
Connecting Travelers to Reduce Energy Use in Transportation	81.135	716001-002	8,493
<u>Pass through Pacific Northwest National Laboratories</u>			
Design, construction, and implementation of novel biofuel production capabilities in filamentous fungi	81.000	207062	62,912
Expression of Polyketide Synthases in Aspergillus nidulans	81.000	274485	12,302
<u>Pass through Rsch Partnership to Secure Energy for Am</u>			
Field Demonstration of Chemical Flooding of the Trembley Oilfield, Reno County, Kansas	81.089	11123-28	410,973
<u>Pass through TVN Systems Inc</u>			
HBr-based flow battery electrocatalyst synthesis and shunt current protection	81.135	15356	17,870
<u>Pass through Univ of California Regents</u>			
Konza Prairie Subcontract	81.000	7114774	39,673
<u>Pass through Univ of Maryland-College Park</u>			
Manganese-Based Permanent Magnets with 40MGoe3 at 200C	81.135	Z713204	530
<u>Pass through URS Corporation</u>			
Enhancement of National Carbon Sequestration Database and Geographic Information System (NatCarb)	81.000	RES1503897	(3)

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<u>U.S. Department of Interior</u>			
<u>Direct Award</u>			
Curation for the United State Army Corp of Engineers	15.000	W912DQ-14-P-1037	\$ 9,806
Management of Protected and Sensitive Species Data for Environmental Review and State Wildlife Conservation Planning	15.634	Agreement	24,379
Mapping subsurface lineaments, present-day stresses, and brine disposal data in southern Kansas: A new approach for identifying areas at risk for injection-induced seismicity	15.807	G16AP00022	1,050
Geologic Mapping in Kansas for FY14	15.810	G14AC00226	17,589
Mapping the Geology and Geomorphology of Terraces and Paleochannels in the Arkansas River Valley of Western Kansas: EDMAP Support of Graduate Research	15.810	G14AC00114	(118)
Geologic Mapping in Kansas for FY15	15.810	G15AC00225	97,239
Kansas Oil and Gas Well Geologic Data, Records, and Samples Preservation, FY2014	15.814	G14AP00124	17,465
Kansas Oil, Gas, and Water Well Geologic Data, Records, and Samples Preservation FY2015	15.814	G15AP00120	30,435
Experimental Geothermal Mapping Utilizing Drill-Stem Test Data	15.819	G15AC00286	10,333
<u>Pass through AmericaView Inc.</u>			
State View Program Development and Operations for the State of Kansas	15.815	AV13-KS02-Mod2	2,922
State View Program Development and Operations for the State of Kansas - GY15	15.815	AV13-KS01	22,239
<u>Pass through Kansas State University</u>			
Fate of High Uranium in Saline Arkansas River Water in Southwest Kansas: Distribution in Soils, Crops, and Groundwater	15.805	S14205	26,537
<u>Pass through KS Dept of Health & Environmt</u>			
Floristic Quality Assessment of Sites in Southeast Kansas	15.658	Agreement	18,541
<u>Pass through KS Dept of Wildlife Parks & Tourism</u>			
Supporting Kansas Department of Wildlife, Parks and Tourism Natural Resource Management Objectives Using Geographic Information Systems (GIS) & Internet Mapping Technologies	15.611	Agreement	11,641
Supporting Kansas Department of Wildlife, Parks and Tourism Natural Resource Management Objectives Using Geographic Information Systems (GIS) & Internet Mapping Technologies	15.611	Agreement	3,922
Geographic Information System (GIS) & Remote Sensing Support Services	15.611	Agreement	75,162
Management Of Protected And Sensitive Species Data For Environmental Review And State Wildlife Conservation Planning	15.634	Agreement	10
2015 Recovery Plan for the Redbelly and Smooth Earth Snakes	15.634	Agreement	5,765
<u>Pass through KS Water Resources Institute</u>			
Assessing Natural Variability in Groundwater/Surface Water Interactions	15.805	S14204.01	15,622
Assessing the impact of constructed wetlands on nitrogen transformation and release from tile outlet terraces (TOTs) in Kansas	15.805	S16145	358
Contaminant barriers or pathways? Hydraulic and Chemical Methods to Improve Characterization of Shallow Aquitards	15.805	S16150	590
<u>U.S. Department of Justice</u>			
<u>Direct Award</u>			
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	10,988
<u>Pass through Douglas County Sheriff's Office</u>			
AID Evaluation	16.745	18164	1,726
<u>U.S. Department of Labor</u>			
<u>Pass through KS Board fo Regents</u>			
Examination of Educational and Wage Outcomes for Students Participating in Workforce Trainings as Compared to Peers	17.261	Agreement	9,370
<u>Environmental Protection Agency</u>			
<u>Direct Award</u>			
Harvesting the Otherwise Wasted Heat of LED Lights in Green Buildings	66.516	83613401	14,938
<u>Pass through KS Dept of Health & Environmt</u>			
2013-2014 National River and Streams Assessment (NRSA)	66.436	2013-NRSA1	470
<u>Pass through KS Water Office</u>			
Pre- and Post-bank stabilization monitoring on the Cottonwood River - a fish survey	66.458	14-111	1,769
<u>Pass through Missouri Department of Natural Resources</u>			
Development of Missouri Reference Wetlands	66.461	G14-WET-01	97,916

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U.S. Department of Health and Human Services			
Direct Award			
Adjuvants Discovery Program	93.000	HHSN272201400056C	1,112,429
Synthetic Chemistry of Active anti-HCV Compounds	93.000	HHSN276201400616P	11,667
Translating Effective Maltreatment Intervention into the Community	93.061	R18CE001705	605
Kansas Serves Substance Affected Families	93.087	90CU0077-02-01	520,193
Development of an Integrated Mathematical Model for Comparative Characterization of Complex Molecule	93.103	5U01FD005285-02	307,040
A Mobile Web-Based Parenting Intervention to Strengthen Social-Emotional Development of Very Low Birth Weight Infants	93.110	6R40MC26822-02-03	304,046
Bridging the Word Gap-Intervention Research Network	93.110	5 UA6MC27762-02-01	311,003
TALK Around Town: A Mobile Application to Help Parents Bridge the Word Gap in Community Settings	93.110	Agreement	948
Integrative colloidal gels for cranial defect repair	93.121	5R01DE022472-04	266,979
Proton Sponge Adhesives, Interfacial Milieu: Molecular Structure-Mechanics	93.121	5R01DE022054-05	282,043
Peptide-Polymer Engineering Dentin/Adhesive Interfacial Bond Integrity	93.121	5R01DE025476-02	214,068
Twins and Singletons with Specific Language Impairments	93.173	4R01DC005226-15	335,369
Interactive book reading to accelerate word learning by children with SLI	93.173	4R01DC012824-04	279,411
Peer-Mediated AAC Intervention for Children with Autism: Effects on Communication	93.173	4R01DC0125630-04	295,204
Biobehavioral Sciences of Communication Disorders	93.173	5P30DC005803-14	192,980
Investigating output modality for a brain-computer interface for communication	93.173	5R03DC011304-03	44,079
Morphosyntactic Abilities of SLI Probands	93.173	5R01DC001803-21	398,094
Deciphering gene-environment interactions in pathological reactive aggression	93.242	5R01MH104603-02	653,612
Trauma exposure, emotion regulation and cognitive skills in early childhood: Prospective and longitudinal examination of the mechanisms of adjustment	93.242	2R01MH079252-06	360
Testing Determinants of Resilience: Mental Health, Child Maltreatment and Adaptive Behavior Outcomes	93.242	5R01MH079252-05	13,160
Behavioral Health Scholars Program	93.243	G02HP27982	384,089
Investigation of neoclerodanes as Novel Opioid Ligands	93.279	5R01DA018151-10	107,031
Development of novel opioid peptides for cocaine abuse	93.279	5R01DA032928-03 REV	60,787
Peptidic Kappa Opioid Receptor Ligands as Potential Treatments for Drug Addiction	93.279	2R01DA023924-06A 1	(5,335)
Investigation of Neoclerodanes as Novel Opioid Ligands	93.279	2R01DA018151-11A 1	18,347
Evaluation of Physicochemical Properties Imparted by Fluorinated Peptidomim	93.279	1R21DA036730-02	179,747
CFD Research Support for NIOSH-ESTCP Interagency Agreement on Military Aircraft Painting Ventilation	93.283	200-2014-M-59616	9,759
Development and Evaluation of Purine and Coumarin Based Hsp90 Inhibitors	93.310	5U01CA120458-09	53,021
University of Kansas Specialized Chemistry Center	93.310	5U54HG005031-06	112,401
A resource for the genetic analysis of complex traits	93.351	8R01OD010974-05	22,814
A resource for the Genetic Analysis of Complex Traits	93.351	5R01OD010974-07	145,657
Fiber Laser Excitation CARS Microscopy with Auto-Synchronized Chirped Femtosecond Pulses	93.389	1R21RR032377-01	2,352
Cognitive and Emotional Processes of Metaphorical Cancer Communications	93.393	5R01CA185378-03	282,664
Integrated Microfluidic Exosome Profiling for Early Detection of Cancer	93.394	5R21CA186846-03	207,576
Synthetic Cell Surface Receptors for Anticancer Drug Delivery	93.395	5R01CA083831-12	23
Hsp90 Inhibitors	93.395	5U01CA109265-09	41,730
Development of Hsp90 inhibitors for the treatment of cancer	93.395	4R01CA167079-05	250,924
Biomaterials for treatment of head and neck cancer	93.395	4R01CA173292-04	238,554
Small molecules modulating RNA-binding protein Msi1	93.395	5R01CA178831-02	455,430
Molecular cancer therapy targeting HuR-ARE interaction	93.395	5R01CA191785-02	344,178
Development and Evaluation of Purine and Coumarin Based Hsp90 Inhibitors	93.395	2R01CA120458-10A 1	183,779
Access to Success: Replication and Impact of a Training Program Supporting Post-Secondary Students in Requesting Disability Accommodations	93.433	90F0082-02-01	165,978
Rehabilitation Research and Training Center on Community Living	93.433	90RT5015-02-01	986,933
Assessing Family Employment Awareness Training (FEAT)	93.433	90F0058-02-01	177,153
I-CONNECT PLUS: Enhancing Community Participation for Adolescents and Adults with ASD using Online Instruction, Coaching, and Accessible Self-Management Technologies	93.433	90DP0058-02-01	471,265
Project Engage: Building Parents' Capacity to Improve Child Language Outcomes	93.615	6 R62MC24946-03-01	71,227
Kansas Intensive Permanency Project (KIPP)	93.648	90CT0152-05-00	1,042,519

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A Randomized Trial of Recommendations for Exercise to Prevent Weight Regain	93.837	4R01HL111842-05	\$ 748,205
Peptide Enabled Self Assembled Reconfigurable Implant Coatings	93.846	R21AR062249-03	33,493
Gradient-based strategy for osteochondral regeneration	93.846	5R01AR056347-05	17,785
Inflammation, PXR Modification and Drug Disposition	93.847	5R01DK090558-04	68,820
Chaperones in Diabetic Peripheral Neuropathy	93.847	4R01DK095911-04	313,588
Cytoskeletal Signaling and Axon Guidance	93.853	5R01NS040945-12	16,804
Modulating the BBB to Improve Drug Delivery to the Brain	93.853	5R01NS075374-04	236,760
Chaperone Therapeutics for the Treatment of DPN	93.853	5R01NS075311-04	164,154
Microdialysis Studies of Seizure-Induced Oxidative Stress	93.853	5R01NS066466-06 REV	277,510
Methods for Measuring Sub-second Neurotransmitter Interactions	93.853	5R21NS077485-02	31,087
Role of LRG-47 (Irgm1) in EAE	93.853	5R01NS065482-05	151,044
HTS to identify small molecules to disrupt abnormal huntingtin interactions in HD	93.853	1R01NS088059-02	285,334
RAGE and mitochondrial degeneration in diabetes	93.853	1R01NS089116-02	270,260
Analytical Methods for Investigating Peptide Transport	93.853	5R01NS042929-09	(1)
Regulation of Virulence Gene Expression in Chlamydia	93.855	5R01AI079083-05	166,760
Structure-function analyses of siderophore biosynthetic enzymes	93.855	5K02AI093675-04	28,839
Characterization of PTMs on Env to support HIV vaccine development	93.855	5R01AI094797-04	317,147
Biomechanical and Computational Molecular Design of Microbicide Delivery Systems	93.855	5R33AI082697-05	136,917
Development and Validation of Conditional Gene Expression Systems in Chlamydia	93.855	5R21AI103711-02	33,696
NMR studies of bacterial needle and tip proteins	93.855	5R01AI074856-08	343,343
The Regulation of Autolysis in Enterococcus Faecalis	93.855	5R01AI077782-06	167,415
Stable needleless vaccine against Shigella spp	93.855	1R21AI105467-02	197,232
The multiple states of IpaB Shigella type III secretion	93.855	5R01AI099489-05	517,327
Assessment of serotype-independent immunity elicited by Shigella T3SS protein	93.855	5R01AI113307-03	339,339
Assembly/function of the sorting platform of the Shigella type III secretion apparatus	93.855	1R01AI123351-01	26,075
Viral and host responses to HSV infection	93.855	5R01AI072357-04Rev	5,222
Center for Excellence in Chemical Methodologies and Library Development	93.859	5P50GM069663-10	(291)
Genome packaging of DNA viruses	93.859	5R01GM090010-05	166,553
Mechanisms and Energetics of Transmembrane-induced Signaling of Cytokine Receptors	93.859	5R01GM092950-05	143,426
A Genomic Analysis of Sexual Trait Various Within and Between Species	93.859	5R01GM085260-04	121,599
Identifying inhibitors of protein interactions using pocket optimization	93.859	4R01GM099959-05	253,044
Molecular Analysis of Disease Pathways	93.859	5P20GM103638-04	2,106,822
Structural and Functional Properties of cylophilin D and Abeta interaction	93.859	5R01GM095355-05	21,842
University of Kansas/Haskell Indian Nations University IRACDA Project	93.859	4K12GM063651-15	461,059
The Role of Glycosylation in Regulating Immune Responses	93.859	5R01GM090080-05	91,662
Human Cytochrome P450 4F Enzymes and Drug Interactions	93.859	5R01GM089994-06	93,346
Structure and Function of Cytochrome P450 17A1	93.859	5R01GM102505-04	246,837
Integrated Resource for Protein Recognition Studies	93.859	5R01GM074255-11	254,905
Center for Cancer Experimental Therapeutics	93.859	5P30GM103495-05	13,096
Fiber Laser Excitation CARS Microscopy with Auto-Synchronized Chirped Femtosecond Pulses	93.859	5R21GM103478-03	9,639
Development of a rapid glycosylation profiling system using mass spectrometry data	93.859	5R01GM103547-07	252,946
Protein Structure and Function	93.859	5P30GM110761-02	1,046,864
Legacy continuation of the KU CMLD Mission	93.859	5R24GM111385-03	550,997
Mentoring Workshop for New Faculty in Organic and Biological Chemistry	93.859	5U13GM070824-12	34,530
Regulation of kinetochore function by Topoisomerase II	93.859	5R01GM112793-02	364,136
Crystallographic and NMR studies of the Human Cytochrome P450 enzyme responsible for inactivating vitamin D	93.859	1K99GM112862-02	89,539
Understanding the roles of PTMs in modulating molecular functions of lysyl oxidase-like 2 in breast cancer cells	93.859	5R01GM113101-02	273,173
Structural Basis of Cytochrome P450 Activity	93.859	5R37GM076343-11	298,373
KU Post Baccalaureate Research Education Program (PREP)	93.859	2R25GM078441-10	354,770
A Genomic Analysis of Complex Trait Variation in Mimulus	93.859	5R01GM073990-08	345,248
Methods for Bioactive Compound Synthesis	93.859	4R01GM077309-08	317,039
Kansas Intellectual and Developmental Disabilities Research Center (KIDDRC)	93.865	5P30HD002528-49REV	1,494,190
Demographic and Educational Effects on Long-Term Earnings	93.865	5R03HD073464-02	33,538
Interactions of MAOA with vulnerability factors for aggression	93.865	7R21HD070611-03	-
Visual Attention, Joint Attention and Emergent Language in Infants	93.865	5K99HD075886-01	9,414
Molecular determinants of retinoid metabolism in embryonic tissues	93.865	5R01HD077260-03	294,350

See accompanying notes to schedule.

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The CCS: A Treatment Outcome Measure for Individuals with Severe ID	93.865	4R01HD076903-04	\$ 359,958
The effects of parenting on the development and behavior of FXS adolescents	93.865	1R01HD084563-01A1	23,037
Behavioural and institutional barriers to HIV prevention among migrant women	93.865	7R21HD078201-03	107,894
Economic Explanations for Gender Differences in Biomedical Careers	93.866	5R01AG036820-04	66,324
Role of Cyclophilin D in Abeta-Induced Synaptic Injury	93.866	5R37AG037319-05S1	39,079
Mitochondrial degrading enzyme, synaptic mitochondrial function in AD mouse model	93.866	5R01AG044793-02	355,560
Role of cyclophilin D in Abeta-induced synaptic injury	93.866	5R37AG037319-07	194,889
Epidemiology and Development of Alzheimer's Disease (EDAD)	93.989	1R21TW009665-02	21,042
<u>Pass through Arizona State University</u>			
Family Migration and Early Life Outcomes	93.865	16-849	34,609
<u>Pass through Battelle Memorial Institute</u>			
Studying Community Programs to Reduce Childhood Obesity	93.000	236802	(13,960)
Studying Community Programs to Reduce Childhood Obesity	93.000	236802	268,386
<u>Pass through Boston University</u>			
Modification of cardiovascular proteins by metabolic disease	93.000	4500001386	15,680
<u>Pass through Brigham & Women's Hospital Research Admi</u>			
Biochemical and in vivo determinants of tau neurotoxicity	93.853	108506	187,139
<u>Pass through Chapel Hill Training Outreach Project Inc</u>			
National Center for Community-Based Child Abuse Prevention	93.590	Agreement	15,427
National Center for Community-Based Child Abuse Prevention	93.590	Agreement	48,698
<u>Pass through Children's Mercy Hospitals & Clinics</u>			
Adapting the Diabetes Prevention Program for a developing world context	93.837	16-0004	798
<u>Pass through Community Health Council of Wyandotte Co</u>			
Centers for Disease Control and Prevention 1422 Implementation Plan	93.757	Agreement	35,000
Centers for Disease Control and Prevention 1422 Implementation Plan	93.757	Agreement	22,815
<u>Pass through Cornell Univ</u>			
CETR for Drug-Resistant Tuberculosis: Hits, Leads, and Targets	93.855		14,120
<u>Pass through Douglas County Health Dept.</u>			
PCH Evaluation	93.331	Agreement	12,554
<u>Pass through FRIENDS National Resource Center for Com</u>			
National Center for Community-Based Child Abuse Prevention	93.590	Agreement	(42)
<u>Pass through Georgia Regents University Augusta</u>			
Coupling Pharmacogenetics and RNA-Seq to Identify Hsp70-dependent Gene Networks	93.847	25034-42	(1)
<u>Pass through Health Research, Inc</u>			
B cell epitope discovery and mechanisms of antibody protection	93.000	4889-01	225,378
B cell epitope discovery and mechanisms of antibody protection	93.000	4889-02	230,769
<u>Pass through Indiana Univ -Purdue Univ, Indianapolis</u>			
A Pilot Test of CommonGround Based Shared Decision-Making	93.242	IN4694750UK	114
BREATHE-OUT Burnout Reduction: Enhanced Awareness, Tools, Handouts, and Education-Organizational Understanding and Training	93.242	Agreement	6,452
<u>Pass through Institute for Research on Poverty</u>			
Parental Behaviors, Genes, and the Intergenerational Transmission of Poverty	93.239	547K061	1,337
<u>Pass through Kansas Children's Service League</u>			
Adolescent Family Life Demonstration Project	93.995		(4)
<u>Pass through Kansas State University</u>			
High-throughput Fluorescence Screening for Inhibitors of TonB-dependent Iron Transport	93.855	S16014	50,571
<u>Pass through Kennedy Krieger Institute</u>			
Translational Analyses of Chronic Aberrant Behavior Across the Life Span - Project 1	93.865	615.271E	7,115
<u>Pass through KS Children's Cabinet and Trust Fund</u>			
Community-Based Grants for the Prevention of Child Abuse and Neglect (CBCAP) 2016	93.590	40022	21,227
<u>Pass through KS Dept for Aging and Disability Service</u>			
Supported Employment Program	93.243	Agreement	184,359
Transforming Lives through Supported Employment	93.243	Agreement	35,350
Title XIX-Adult Mental Health	93.778	Agreement	1,246,998
Title XIX - Children's Mental Health FY 2016	93.778	Agreement	242,163
Kansas Institute for Positive Behavior Supports	93.789	Agreement	6,703
Kansas Institute for Positive Behavior Supports	93.789	Agreement	131,593

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<u>Pass through KS Dept for Children and Families</u>			
Title XIX-Children's Mental Health	93.242	Agreement	\$ 13,284
<u>Pass through KS Dept of Health & Environment</u>			
The Kansas Project LAUNCH Initiative - Project Management	93.243	Agreement	(2,779)
Kansas Project LAUNCH (evaluation)	93.243	Agreement	(188)
Kansas Early Childhood Comprehensive Systems (KECCS) Year 3	93.110	Agreement	94,742
Kansas Maternal, Infant and Early Childhood Home Visiting Program	93.505	Agreement	(109)
Kansas MECHV Competitive Evaluation	93.505	Agreement	328,186
Kansas MECHV Formula Fund Performance Management + CQI Analysis and Report Development	93.505	Agreement	66,835
Kansas Maternal, Infant and Early Childhood Home Visiting Program	93.505	Agreement	112,287
Kansas MECHV Program	93.505	Agreement	96,164
Kansas Maternal, Infant and Early Childhood Home Visiting Program	93.505	Agreement	2,899
Healthy Start Initiative: Eliminating Disparities in Perinatal Health	93.926	Agreement	7,026
Healthy Start Initiative: Eliminating Disparities in Perinatal Health	93.926	Agreement	147,265
Healthy Start Initiative: Eliminating Disparities in Perinatal Health	93.926	Agreement	28,115
<u>Pass through KS State Univ, SPA</u>			
The function of serpin-2 in mosquito immunity and physiology	93.855	S11224.05	5,198
Norovirus 3CL Protease-Based Anti-norovirus Therapeutics	93.855	S14158.03	28,911
<u>Pass through Lehigh University</u>			
Investigation of Caveolin Structure, Topology, and Oligomerization	93.859	542626-78001	61,595
<u>Pass through Leidos Biomedical Research Inc.</u>			
Evaluate and Compare the Relative Solubility of Various Neutralizing Monoclonal Antibodies to HIV-1 Envelope Using a PEG Based Solubility Assay	93.859	15X004	16,379
<u>Pass through Materia Inc.</u>			
Si-ROMP Hybrid Reagent/Scavengers for High Throughput Chemistry	93.859	12703	1
Recyclable Magnetic Co/C Hybrid ROMP Reagents, Scavengers and Ligands	93.859	16951-M1	253,384
<u>Pass through Mayo Clinic</u>			
Spirit of Eagles Community Network Program	93.397	63851292	4,798
<u>Pass through NanoPharm LLC</u>			
Targeted nanoparticle treatment for breast cancer stem cells	93.000	18150	625
<u>Pass through Nanoprobes, Inc.</u>			
Conductive Metallography for Serial Section Electron Microscopy at Nanometer Resolution	93.242	Agreement	63,958
Luminescent metal complex probes for correlative microscopy	93.859	Agreement	27,450
<u>Pass through National Institute for Pharm Tech & Educ</u>			
Physicochemical and biological evaluations of different IgG1 Fc glycoforms as a model for biosimilar comparability analysis	93.103	NIPTE-U01-KS-2014-00	8,694
Determination of Local Concentrations of Bupivacaine Using Microdialysis Techniques	93.103	NIPTE-U01-KS-2014-00	94,302
<u>Pass through Net Esolutions Corporation</u>			
Understanding Career Outcomes of Physician Scientists in the United States	93.000	NETE-KU-OEP-2014	23,811
<u>Pass through NORC at University of Chicago</u>			
Kansas Project LAUNCH Special Study Phase 3	93.000	1400000772	3,750
<u>Pass through Northeastern University</u>			
Prosody in Congenital and Acquired Dysarthria	93.173	500329-78050	39,823
<u>Pass through OK Dept of Mental Health & Substance Abuse</u>			
Evaluation of the Oklahoma Partnership Initiative, Phase 2 2012-2017 Project	93.087	4529046028	(2,755)
Evaluation of the Oklahoma Partnership Initiative, Phase 2 2012-2017 Project	93.087	4529048844	33,761
Evaluation of the Oklahoma Partnership Initiative, Phase 2 2012-2017 Project	93.087	4529051282	39,906
Oklmulgee County Family Drug Court Enhancement Evaluation	93.243	4529051608	4,934
<u>Pass through Oregon Research Institute</u>			
Web-based Parenting Intervention for Mothers of Infants At-Risk for Maltreatment	93.865	Agreement	(11,149)
<u>Pass through Pinnacle Technology Inc</u>			
A Tissue Implantable Microbiosensor	93.242	Pin 2015-168KU	137,102
Development of a Nicotine Biosensor	93.279	Pin 2012-161KU	(5,699)
Development of a Nicotine Biosensor	93.279	Pin 2013-165KU	96,453
<u>Pass through Quality Trust for Individuals With Disabilities</u>			
Supported Decision-Making Technical Assistance and Resource Center	93.361	Agreement	56,216

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<u>Pass through Syracuse University</u>			
Community Living and Supported Decision-Making	93.433	28373-04197-S01	\$ 19,136
<u>Pass through Tulane University</u>			
Pediatric HIV/AIDS Cohort Study (PHACS)	93.865	TUL-HSC-553704-15/16	19,546
<u>Pass through Univ of Chicago</u>			
Membrane Protein Structural Dynamics Consortium	93.859	FP043359-N	88,221
Membrane Protein Structural Dynamics Consortium	93.859	FP043359	55,722
<u>Pass through Univ of Alabama-Tuscaloosa</u>			
Natural disaster effects on aggressive children and their caretakers: Outcomes across time	93.865	UA14-016	32,674
<u>Pass through Univ of Illinois</u>			
Regional Career Development Conference at the Chemistry-Biology Interface	93.859	2012-05394-04(AA935)	993
<u>Pass through Univ of Kansas Cancer Center</u>			
NCI Cancer Center Support Grant	93.397	QJ85912A-Neufeld	(8,700)
NCI Cancer Center Support Grant	93.397	QJ85912A - Neufeld	28,152
High throughput screening of inhibitors specific for lysyl oxidase-like 2	93.397	QJ85912P	33,984
Adolescents' behavioral and neural responses to e-cigarette advertisements	93.397	QJ85912S	7,580
<u>Pass through Univ of KS Med Ctr Research Institute</u>			
Pharmacokinetic and Metabolism Studies of Auranofin as a Treatment for Relapsed Chronic Lymphocytic Leukemia	93.000	QW853790	16,616
Development of a new approach to screening for language impairments	93.173	16837	36,995
Understanding Disparities in Quitting in African American and White Smokers	93.279	QN858271	27,945
Impulsivity as a Mechanism to Predict Treatment Outcome in Childhood Obesity Using fMRI	93.350	QB85443J	(3,715)
The context of social determinants on disparities, disease management, and health behaviors & outcomes among Black males: Catalyst of a crisis from reactive to preventive personal care	93.350	QB85444K	11,359
Blind Processing for Better Speech Recognition with Cochlear Implant Devices	93.350	QCTSA125	2,264
S.C.O.R.E. Students for Community-Oriented Research and Education	93.351	ZAC00010	16,603
Novel Dual Notch/PXR Targeting for Colon Cancer Therapy	93.395	QA863650	14,518
(PQC3) Essential Role of BCL9 in Promotion of Human DCIS to Invasive Ductal Carci	93.396	QB864540	5,043
NCI Cancer Center Support Grant- Core C Lead Development Optimization	93.397	QJ85912C - A. Roy	7,775
NCI Cancer Center Support Grant- Core C Lead Development	93.397	QJ85912C-Baltezor	56,926
NCI Cancer Center Support Grant	93.397	QJ85912A - Aube	20,726
Project EAGLE Early Head Start Expansion	93.600	QS814209	74,075
Project EAGLE Early Head Start Expansion	93.600	QS814211	136,672
Secondary Analyses of Strengthening Families Datasets	93.647	G001401-7500	24,717
Development of a Validated Allocation Plan Instrument for Work Opportunities Rew ard Kansans (WORK)	93.768	KDHE2015-075	54,144
Title XIX-Children's Mental Health FY 2015	93.778	Agreement	263,990
Title XIX-Adult Mental Health	93.778	Agreement	480,924
Study of Bone Marrow Failure Caused by B19 Virus Infection	93.837	QQ854550	(340)
Neuroimaging Studies of Rew ard, Impulsivity and Adherence to an Exercise Program	93.847	QS85015A	2,649
Weight Loss and Maintenance for Individuals with IDD	93.847	QD852900 - Mod #4	21,592
Physical Activity and Academic Achievement (A+PAAC)	93.847	QD852890	23,343
A virtual reality intervention (Second Life) to improve weight maintenance	93.847	QS859810	16,236
Identification and Characterization of inhibitors for hantavirus replication	93.855	QMB55050	423
Kansas IDeA Network of Biomedical Research Excellence	93.859	1000812050	3,052
Cellular Pathologies Arising from Metabolic Trade-offs	93.859	1000812044	20,591
Bridge- Activation of heat shock to prevent inflammation associated colon cancer	93.859	1000812045	(811)
Acquisition of a High-Throughput Tissue Homogenizer for Preparation of Genome Sequencing Samples	93.859	100812043	1,227
Inhibitors of AraC family virulence activators in Enterotoxigenic E. coli and Shigella	93.859	1000818650	24,594
Kansas IDeA Network of Biomedical Research Excellence (K-INBRE)	93.859	1000812049	(2,721)
Kansas IDeA Network of Biomedical Research Excellence (K-INBRE)	93.859	QW864600	19
Bridge Proposal: Integrated Digital Microfluidic Platforms for Next-Generation Glycomics	93.859	QW864610	60,000
Nanobiotechnologies to Study Tumor-Derived Exosomes	93.859	QW864610	37,826
Automated NMR Data Analysis Software	93.859	QW864610	11,443
Development of a liver-on-a-chip technology for study of liver disease	93.859	QJ853940	71,464
Morphogenetic Tissue Movements in Early Embryos	93.859	QC865820	24,317

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Cellular Pathologies Arising from Metabolic Trade-offs	93.859	QW864610	\$ 108,060
K-INBRE Campus Coord yr 2	93.859	QW864610	13,816
K-INBRE Star Trainees yr 2	93.859	QW864610	29,261
K-INBRE Summer Scholars yr 2	93.859	QW864610	30,192
K-INBRE Undergrad Coord yr 2	93.859	QW864610	77,680
K-INBRE Bioinformatics Core Facility	93.859	QW864610	142,335
Kansas IDeA Network of Biomedical Research Excellence (K-INBRE)	93.859	QW864610-Mod 1	1,768
Kansas IDeA Network of Biomedical Research Excellence (K-INBRE)	93.859	QW864610	1,775
Targeting TolC oligomerization to potentiate antibiotics	93.859	QW864620	17,026
K-INBRE Campus Coord yr 3	93.859	QW864620	708
K-INBRE Star Trainees yr 3	93.859	QW864620	2,020
K-INBRE Summer Scholars yr 3	93.859	QW864620	4,691
K-INBRE Undergrad Coord yr 3	93.859	Agreement	3,591
K-INBRE Bioinformatics Core Facility	93.859	QW864620	12,117
DHA Supplementation and Pregnancy Outcomes	93.865	QC816712	47,471
Weight Management for Adolescents with IDD	93.865	QD867310	19,288
Adaptation and Validation of a Nutrition Literacy Assessment Instrument	93.865	QG865290	8,531
Weight Management for Adolescents with IDD	93.865	PO#1000848347	10,073
Effect of Aerobic Exercise on Alzheimer's Pathophysiology in Preclinical AD	93.866	QB862290	2,699
Mito Genomics Metabolism Core G	93.866	QS85524G-1	(1,615)
University of Kansas Alzheimer's Disease Core Center	93.866	QS85524B	12,279
Sex and Sex Hormones, Clusterin (APOJ), and Brain Metabolism	93.866	QS85524H	9,891
Proposal to Dennis Anderson, Boston PI for his project "Age-related Changes in Thoracic Spine Biomechanics"	93.866	01026760	27,804
Biomarkers of Alzheimer's Disease in Peripheral Cell Mitochondria	93.866	QS85525H	43,068
Mito Genomics Metabolism Core G	93.866	QS85525G	93,887
Oxidation of ceruloplasmin as a novel biomarker for Alzheimer's disease	93.866	QS85525X	5,926
University of Kansas Alzheimer's Disease Core Center	93.866	QS85525B	12,805
<u>Pass through Univ of KS Medical Center</u>			
Viral and host factors regulate HSV-1 infection	93.859	1000818651	23,838
Viral and host factors regulate HSV-1 infections	93.859	QL859696	73,460
Role of Blood Sugar Level in Development of Alzheimer's Disease	93.866	QS85525Z	10,749
<u>Pass through Univ of Maryland - Baltimore</u>			
A..L. lactis-based vaccine for children with broad spectrum for enteric pathogens	93.855	SR00003332	3,925
<u>Pass through Univ of Massachusetts Medical School</u>			
Diet quality, parental perceptions, and weight gain among adolescents with an intellectual/developmental disability	93.110	WA00400276/OSP201616	441
<u>Pass through Univ of Missouri - Kansas City</u>			
The Prevention of HIV/AIDS by Stimuli-Sensitive Nanomedicine for Microbicide Delivery	93.855	0037296/00033505	15,069
<u>Pass through Univ of Montana</u>			
RRTC on the Ecology of Rural Disability	93.433	PG-16-64540-03	8,326
<u>Pass through Univ of New Mexico</u>			
IRACDA Plus	93.859	PO139950	5,683
<u>Pass through Univ of North Carolina at Chapel Hill</u>			
Subcontract to oversee 5U01CE001948-05	93.136	5101791	52,009
Family Adaptation to Fragile X Syndrome - Project 1 - Maternal Responsivity and the Development of Children with FXS and Ethnographic & Qualitative Methods Core	93.865	5-51088	(959)
<u>Pass through Univ of South Florida</u>			
Grp94-selective inhibitors to treat hereditary glaucoma	93.867	6144-116-00-A	236,411
<u>Pass through Univ of Texas Health Science Ctr - Houston</u>			
KOR agonist functional selectivity in peripheral sensory neurons	93.279	158920/158919	75,680
<u>Pass through Univ of Wisconsin-Madison</u>			
Monkeypox Ecology: An Integrated Approach to Investigations of the Sylvatic Reservoirs of Human Monkeypox	93.989	255K780	(420)
<u>Pass through Virginia Tech</u>			
SIPSMARTER: a Nutrition Literacy Approach to Reducing Sugar-Sweetened Beverages	93.394	431680-19799	23,182
<u>Pass through Washington State University</u>			
The Collaborative on Health Reform and Independent Living	93.433	126140 G003511	35,390

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<u>Pass through Washington Univ, St. Louis</u>			
A pilot study on the development and implementation of a community-driven, comprehensive online diabetes information & management resource for American Indians from the Great Plains	93.847	WU-13-56	\$ (5,425)
<u>Pass through Westat, Inc.</u>			
Westat Formative Evaluation	93.648	8977-S-004	90,866
<u>Pass through Wichita State University</u>			
The Aging Pituitary-Gonadal Axis	93.866	SUB090220-4-1	1,567
<u>Department of Housing and Urban Development</u>			
<u>Direct Award</u>			
Master Agreement	14.000	KUCR-15-DU205NC-13-A	15,877
<u>Library of Congress</u>			
<u>Direct Award</u>			
Electron Energy Distributions to be Measured by the Rosetta RPCIS Instrument	42.000	E99054DB	14,508
<u>National Aeronautics and Space Administration</u>			
<u>Direct Award</u>			
Spatially Resolved Observations of Gas Stripping in Intermediate Redshift Clusters and Groups	43.000	HST-GO-12945.01-A	33,366
The role of quenching and merging in shaping the passive galaxy population	43.000	HST-AR-14310.001-A	4,134
Subglacial water and Antarctic ice dynamics	43.001	NNX10AP05G	31,019
Beyond Backstress: data driven assessment of outlet glacier dynamics	43.001	NNX11AR23G	59,250
Deployment of CReSIS Radar Instrumentation and Data Management Activities in Support of Operation Ice Bridge	43.001	NNX13AD53A	1,396,326
Modeling of Plasma and Dust in the Plume of Enceladus	43.001	NNX13AG04G	75,847
Scalable Adaptive High-Order Methods for Turbulent Flow Simulations	43.001	NNX12AK04A	148,771
Energy Deposition in the Upper Atmospheres of Jupiter and Saturn by Energetic Particles: The Polar Aurora and Atmospheric Electrodynamics	43.001	NNX14AG79G	58,941
Unambiguous determination of ice sheet basal conditions from radio echo sounding data	43.001	NNX14AL99G	95,992
NRA/NA SA Earth & Space Science Fellowship (NESSF) Program -2014	43.001	NNX13AN92H	4,512
Adaptation of the Snow Radar for NASA Global Hawk and Ikhana Unmanned Aircraft in Support of Operation Ice Bridge	43.001	NNX13AQ30A	75,419
Ultra-high Energy particle Astrophysics with ANITA-4 - University of Kansas Co-I	43.001	NNX15AC19G	91,888
Airborne Radar Surveys of Land and Sea Ice and Data Processing Using CReSIS	43.001	NNX16AH54G	364,842
Instrumentation to Support IceBridge Observations	43.001	NNX16AJ90G	2,471
Controls on Iceberg Distribution Around Greenland	43.001	NNX15AN94A	161,546
Multichannel Sense-and-Avoid Radar for Small UAVs	43.002		
<u>Pass through a.i. solutions, Inc.</u>			
Simulation of Moving Bodies using a Meshfree Method	43.000	15-008	18,058
<u>Pass through Bay Area Environmental Research Institute</u>			
Developing Detailed 3D CAD Geometry for the NASA Viking UAS	43.001	Agreement	2,174
<u>Pass through Johns Hopkins University</u>			
Using the Hottest Particles in the Universe to Probe Icy Solar System Worlds	43.001	NNX14AM87G	(1,753)
<u>Pass through Southwest Research Institute</u>			
Cassini Ion Neutral Mass Spectrometer (INMS) Team Member Participation	43.002	D99006L	92,672
<u>Pass through Space Telescope Science Inst.</u>			
Galaxy Transformation in the Infall Regions of Clusters	43.000	HST-GO-13393.002	3,375
<u>Pass through Univ at Buffalo, State Univ of New York</u>			
Understanding Dynamic Outlet Glacier Behavior in Greenland: Synthesizing Altimetry Record and Numerical Modeling	43.001	R944412	57,680
<u>Pass through Univ of Colorado</u>			
Participation in NASA Mars Atmosphere and Evolution mission	43.000	1546525	128,100
<u>Pass through Univ of Texas-Austin</u>			
Physical Controls on Ocean-Terminating Glacier Variability in Central West Greenland	43.001	UTA12-001013	77,167
<u>Pass through Washburn University</u>			
Terrestrial Impact of Nearby Supernovae	43.001	NASA-BT-14-001	61,568
<u>Pass through West Virginia University</u>			
Cooperative Gust Sensing and Suppression with Aircraft Formation Flight	43.002	13-032-KU	32,153

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<u>Pass through Wichita State University</u>			
KNEP CAN/Nanostructured Solid-State Energy Storage Devices for Wide-Temperature Applications in Space Exploration	43.008	WSU1495	\$ 65,581
Collaborative Stereo Vision Sensing with Small UAV Formations	43.008	SUB 5384-2-1	115,020
Robust and Accurate Visual SLAM for Mars Exploration Rovers	43.008	SUB5384-3-0	1,662
Active Wing Shaping Control for Morphing Aircraft	43.008	WSU SUB 10429 v2	8,150
National Space Grant Consortium College and Fellowship Program (Space Grant) 2015	43.008	SUB5169-2-5	46,703
Quantifying Recharge in the High Plains Aquifer in Kansas by Coupling Space and Ground Observations	43.008	R51357-2-0	4,003
Real-Time Correction of Wing-Integrated Antenna Array Beamforming	43.008	R51357-3-0	5,717
Competitive Programs: Research Experience: Robert LaRue Internship - NASA Ames 2016	43.008	SUB5169-25	7,000
Competitive Programs: Research Experience: Karin Abrahamson Internship - NASA Goddard 2016	43.008	SUB5169-27	8,500
<u>National Endowment for the Arts</u>			
<u>Direct Award</u>			
Engaging Communities for the Common Good: Stories about Migration in the Public Square	45.164	LD-234347-16	68,313
<u>Pass through Univ of California - Berkeley</u>			
The Tree Room: Teaching and learning about evolutionary relationships	45.312	00008059	12,055
<u>National Science Foundation</u>			
<u>Direct Award</u>			
EFRI-RESTOR: Regenerative Hydrogen-Bromine Fuel Cell System for Energy Storage	47.041	EFRI-1038234	171,308
REU Site: Biofuels Development - Feedstock to Tailpipe	47.041	EEC-1063097	41,941
Relationship of Theoretical Nano-scale Structure/Properties of Calcium Silicate Hydrate (CSH) and Experimental Micro-scale Properties of Cement Paste	47.041	CMM-1068528	22,022
Whispering Gallery Mode Imaging for Early Detection of Ovarian Cancer	47.041	CBET-1133814	(2)
Biomechanical Rehabilitation Engineering Advancement in Kansas	47.041	CBET-1160130	38,920
BRIGE: Heterogeneous Traffic over Heterogeneous Relay Networks	47.041	ECCS-1228071	33,889
RET: Shaping Inquiry from Feedstock to Tailpipe with Education Development (SHIFTED)	47.041	EEC-1301051	117,821
Collaborative Research: Delay-Sensitive Hybrid Broadcast/Unicast Traffic over Heterogeneous Cellular Networks	47.041	ECCS-1509514	5,797
MRI: Acquisition of an Advanced X-Ray Photoelectron Spectroscopy for Materials Research	47.041	CBET-1429727	395,900
Hydroxyapatite Formation during Hydrothermal Liquefaction of Algal Biomass: Synthesis and Catalytic Implications	47.041	CBET-1438652	133,102
GOALI - Balancing Flocs and Granules for Activated Sludge Process Intensification: Stoke's vs Fick's Laws	47.041	CBET-1512667	26,295
Collaborative Research: EAGER: Exploring the Feasibility of a Novel Thermosyphon/Heat Pipe Heat Exchanger with Low Air-Side Thermal Resistance	47.041	CBET-1435131	47,790
Collaborative Research: Planning Grant: WUCRC for Surveillance Research	47.041	IIP1540013	9,096
EAGER: Engineering the Ionic Polymer Phase Surface Properties in a PEM Fuel Cell Catalyst Layer	47.041	CBET-1518755	13,102
Collaborative Research: Transmission of quantum information in circuits of superconducting qubits	47.049	PHY-1314861	74,638
Understanding Vibrational Spectroscopic Probes of the Structure and Dynamics of Liquids Confined in Mesoporous Materials	47.049	CHE-1012661	21
Collaborative Research: University Program of Detector Research for the ILC	47.049	PHY-0935339	(3,571)
Detector Concept at the ILC	47.049	PHY-0935339	(3,571)
CAREER: Structural and Electronic Contributions to Reactivity in Peroxomanganese(III) Compounds	47.049	CHE-1056470	121,778
CAREER: Nanoscale ballistic spin transport in semiconductors	47.049	DMR-0954486	48,974
Collaborative Research: Sharpening the Lithium Probe of Stellar Evolution	47.049	AST-1211621	97,521
Topics in Anisotropic Mesh Adaptation and Application to Anisotropic Diffusion Problems	47.049	DMS-1115118	7,084
CAREER: Controlling non-adiabatic reaction dynamics in solution: A window on the fundamental details of photochemical reactions	47.049	CHE-1151555	95,878
Homological Properties of Commutative Rings and Applications	47.049	DMS-1104017	19,579
Probing and manipulating superconductivity in nanostructures	47.049	DMR-1105986	133,883
Fourier Analysis and Multilinear Operators	47.049	DMS-1069015	16,103
Control of Stochastic Systems	47.049	DMS-1108884	72,501

See accompanying notes to schedule.

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International Collaboration in Chemistry: LOV Domain Signaling	47.049	1 CHE-1124946	\$ 41,477
Linear and Nonlinear Stability for Infinite-Dimensional Dynamical Systems	47.049	DMS-1211315	73,750
Self-Consistent Studies of Particle Acceleration In and Radiation Emission From Relativistic Outflows of GRBs	47.049	AST-1209665	4,226
Numerical methods for linear and nonlinear implicit PDE simulation			
---- Domain Decomposition and Nonlinear Multigrid Methods	47.049	DMS-1115759	10,253
Approximation of Infinite Dimensional Dynamics	47.049	DMS-1115408	1,862
Azulene-bridged Organometallics: New Platforms for Charge Delocalization and Transport at the Nanoscale	47.049	CHE-1214102	85,128
Stochastic Analysis of Gaussian Fractional Noises	47.049	DMS-1208625	33,408
On Two Topics in Algebraic Geometry	47.049	DMS-1206434	35,345
Stability of Nonlinear Waves in Dissipative and Dispersive PDE	47.049	DMS-1211183	35,908
Stability of waves in discrete and continuous dynamical systems	47.049	DMS-1313107	83,943
Characterizing the Molecular Gas Contents of High Redshift Galaxies	47.049	AST-1211358	145,468
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1263259	84,495
Experimental Particle Physics at the Collider and Cosmic Ray Energy Frontiers	47.049	PHY-1306953	431,307
Statistical Inference on Memory Structure of Processes	47.049	DMS-1407819	37,488
Microanalytical Techniques to Study Single Cell Biochemical Processes	47.049	CHE-1411993	265,648
MRI: Development of UHV SPM-TERS in situ Characterization Interfaced with UHV Sputtering-Atomic Layer Deposition System	47.049	DMR-1337737	11,932
NSMDS: Sustainable chemical innovations by an integrated design approach	47.049	CHE-1339661	1,269,952
CAREER: Understanding the role of quantum coherence in exciton transport and separation in molecular aggregates	47.049	DMR-1351716	92,613
Enzymes of Ornithine-Hydroxamate Siderophores	47.049	CHE-1403293 001	299,646
Studies in Adaptive and Optimal Control of Stochastic Systems	47.049	DMS-1411412	52,174
Implicit sampling methods and their applications	47.049	DMS-1419069	67,862
Topics in Computational Dynamics	47.049	DMS-1419047	64,559
The Midwest Mathematics and Climate Conference	47.049	DMS-1445371	23,530
CAREER: Innovative Strategies for Fluorination of Common Functional Groups	47.049	CHE-1455163	73,007
CAREER: Catalysis on Singly Dispersed Bimetallic Catalytic Sites	47.049	CHE-1462121	220,431
Electron-positron experimental particle physics	47.049	PHY-1505464	39,051
Catalytic Synthesis via C-C Cleavage	47.049	CHE-1465172	139,427
Thermodynamics and Structure of Chemically Heterogeneous Solid-Liquid Interfaces	47.049	CHE-1465226	44,877
Stochastic partial differential equations, fractional noises and limit theorems	47.049	DMS-1512891	3,093
Probing and manipulating strained interfaces with oxide superconductors	47.049	DMR-1508494	13,862
KUMU Conference in PDE, Dynamical Systems and Applications	47.049	DMS-1500607	1,640
Novel transport phenomena in two-dimensional crystals beyond graphene	47.049	DMR-1505852	52,077
Collaborative Research: The GOGREEN Survey - Caring about the Environment	47.049	AST-1517815	27,880
Stability and Long Time Behavior for Infinite-Dimensional Dynamical Systems	47.049	DMS-1516245	2,232
Local cohomology, the Frobenius endomorphism, D-module theory, and invariant theory	47.049	DMS-1623035	10,724
CAREER: Gradients and umbilical cord stem cells in osteochondral tissue engineering	47.049	DMR-0847759	(128)
Dating metamorphism with accessory minerals - integrated in-situ geochronology and trace element budgeting of metamorphic reactions	47.050	EAR-0911633	4
Understanding the Diversity and Biology of Microbes in Late Paleozoic Ecosystems	47.050	EAR-0949947	101,187
Collaborative Research: Life in a Volcanic Landscape: Early Jurassic Paleoenvironments and Paleobotany	47.050	ANT-1142495	89,562
Collaborative Research: Byrd Glacier Flow Dynamics	47.050	ANT-0944597	(6,827)
Synchrotron X-ray fluorescence micro-spectroscopy: A new approach to determine the origin of life on Earth	47.050	EAR-1053241	4,031
Collaborative Research: Investigating Lithologic and Stratigraphic Controls on Hydrogeology in Neogene Strata of the Central High Plains Aquifer	47.050	EAR-1023285	99,013
Collaborative Research: Unlocking secrets of Earth's largest sand sea: Paleoenvironmental records of the Lower Jurassic Navajo Sandstone, Colorado Plateau, USA	47.050	EAR-1349558	52,639
Collaborative Research: WSC-Category 3: Toward Sustainability of the High Plains Aquifer Region: Coupled Landscape, Atmosphere, and Socioeconomic Processes (CLASP)	47.050	EAR-1039247	3,130
Center for Remote Sensing of Ice Sheets (CReSIS)	47.050	PLR-0424589	1,739,487
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	47.050	ANT-1229716	205,407

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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	\$ 78,599
Collaborative Research: Geological Hazards, Climate Change, and Human/Ecosystems Resilience in the Islands of the Four Mountains, Alaska.	47.050	PLR-1301927	124,662
CAREER: Improving Understanding of Antarctic Glacier Dynamics Through an Interactive Numerical Flow line Model	47.050	PLR-1255488	102,529
RCN: Facilitating Indigenous Research, Science and Technology (FIRST)	47.050	PLR-1417767	60,296
Collaboratively Harnessing Indigenous Research Principles, Protocols, and Practices (CHIRP3)	47.050	PLR-1436506	89,797
Collaborative Research: Geoinformatics: Development of Structural Geology and Tectonics Data System with Field and Lab Interface	47.050	EAR-1347331	189,251
Collaborative Research: Stability and Dynamics of Antarctic Marine Outlet Glaciers	47.050	PLR-1543530	1,819
Collaborative Research: Lidar and Modeling Applications from the Precision Atmospheric Marine Boundary Layer Experiment (PreAMBLE) Dataset	47.050	AGS-1439515	40,937
Doctoral Dissertation Research: Bridging Knowledge Systems to Improve Ecosystem Management along the Yukon River, Alaska	47.050	PLR-1504203	10,224
Doctoral Dissertation Improvement Grant: Ethnographic Research on the Question of Diaspora Among Ukraine's Displaced Crimean Populations	47.050	PLR1546954	2,247
INSPIRE: Forging new connections among mammalian evolution, climate change, and tectonics during the Eocene.	47.050	1543684	52,802
Collaborative Research: Stabilized Organic Carbon and Paleoenvironmental Interpretations of Late Quaternary Paleosols	47.050	EAR-1226757	277
Paleoenvironmental and Paleoclimatic Analysis of the Beacon Supergroup, Beardmore Glacier Area, Central Transantarctic Mountains, Antarctica	47.050	ANT-0944282	6,098
CAREER: Implementing a New Parallelization Model for Virtual Machines	47.070	CNS-0953268	97,061
CAREER: Filling the Gaps in Domain-Specific Functional-Based Solutions High-Performance Execution	47.070	CCF-1350901	68,083
GENI-FIRE Workshop	47.070	CNS-1058521	16,759
SHF: SMALL: Improving the Applicability of Haskell-hosted Semi-Formal Models to High Assurance Development	47.070	CCF-1117569	200
NeTS: Medium: Collaborative Research: Digital Subcarrier Multiplexed Networks: From the Core to the Access	47.070	CNS-1409853	77,318
NeTS: Small: Exploiting Adaptive Protocols in Packet-Based Broadband Wireless Networks	47.070	CNS-1216132	98,818
NeTS: Small: Collaborative Research: Resilient Network Design for Massive Failures and Attacks	47.070	CNS-1219028	49,619
Student Travel Support for the Twenty-first International Conference on Parallel Architectures and Compilation techniques (PACT), 2012	47.070	CCF-1241490	(20)
SBE TWC: Small: Collaborative Research: Privacy Protection in Social Networks: Bridging the Gap Between User Perception and Privacy Enforcement	47.070	CNS-1422206	21,474
MR: Acquisition of Computing Equipment for Supporting Data-intensive Bioinformatics Research at the University of Kansas	47.070	CNS-1337899	12,816
CF: Small: Fundamentals of Energy-Efficiency in Delay-Sensitive Wireless Communications	47.070	CCF-1422241	102,938
Collaborative Research: Comprehensive Citation Across the Data Life Cycle Using DDI	47.070	ACI-1448107	6,373
US - Korea Joint workshop on collaboration in SDN/NFV for Smart Cities	47.070	CNS-1451129	9,171
CAREER: Parallel Dynamic Meshing Techniques for Simulation-Assisted Medical Interventions	47.070	ACI-1500487	143,443
EAGER: Automatic Speech Recognition for Uyghur	47.070	1519164	10,391
RAPID: III: Data Collection and Risk Evaluation Learning in Identifying High Risk Ebola Subpopulations for the Intervention and Prevention of Large-scale Ebola Spreading	47.070	IIS-1513324	139,997
CAREER: Machine Learning Approaches for Genome-wide Biological Network Inference	47.070	IIS-0644366	2
MR: Development of an Anechoic Chamber and Instrumentation for Remote Sensing of Polar Regions and Transportation Interdisciplinary Research and Education	47.070	CNS-0923443	135,225
The molecular basis for epigenetic inheritance of trichome patterning in Mimulus	47.074	IOS-0951254	(3,569)
A specimen-level database of the world's bees (Apoidea) at the University of Kansas	47.074	DBI-1057366	(430)
LTREB: Long-term studies of secondary succession and community assembly in the prairie-forest ecotone of eastern Kansas	47.074	DEB-0950100	68,876
Collaborative Biodiversity Collections Computing	47.074	DBI-0960913	281,848
Collaborative Research: ABI Development: Development and Application of Graphical User Interfaces for System Building and Analysis of Membrane Simulations	47.074	DBI-1145987	36,530
Plant recruitment, coexistence and community assembly in developing prairie restorations	47.074	DEB-1021158	106,348
CAREER: Integrating phylogenetics and development to investigate character evolution in hydrozoans	47.074	DEB-0953571	63,536

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Delineating the roles of rising CO2 and temperature on flowering time across pre-industrial through future conditions	47.074	IOS-1457236	\$ 89,294
Collaborative Research: RUI: Understanding diversity in camas and rush lilies: can a unified approach resolve species boundaries in difficult groups?	47.074	DEB-1145847	49,385
CAREER: Does crowding stabilize intrinsically disordered proteins?	47.074	MCB-1149538	181,086
Collaborative research- Evolution of living and fossil green lacewings (Chrysopidae): phylogenetics, informatics and a universal ontology for Neuroptera	47.074	DEB-1144162	61,729
ABI Development: Collaborative Research: VertNet, a New Model for Biodiversity Networks	47.074	DBI-1062200	28,867
Collaborative Research: Digitization TCN: InvertNet--An Integrative Platform for Research on Environmental Change, Species Discovery and Identification	47.074	EF-1115051	53,236
Collaborative Research: Arbor: Comparative Analysis Workflows for the Tree of Life	47.074	DEB-1208472	119,123
COLLABORATIVE RESEARCH: Systematics of a pantropical diversification: the suboscine passerine birds	47.074	DEB-1146345	16,677
Protein interactions in the utilization of iron by pathogenic bacteria	47.074	MCB-1158469	92,411
Digitization TCN: Collaborative Research: Digitizing Fossils to Enable New Syntheses in Biogeography - Creating a PALEONICHES-TCN	47.074	EF-1206757	70,782
Collaborative Research: Automated and community-driven synthesis of the tree of life	47.074	DEB-1208393	146,120
Computational Studies of membrane proteins based on NMR	47.074	MCB-1157677	138,781
Collaborative Research: Digitization TCN: Developing a Centralized Digital Archive of Vouchered Animal Communication Signals	47.074	EF-1304585	91,828
Genetic and developmental changes associated with the evolution of a hummingbird-pollination floral syndrome	47.074	IOS-1255808	19,458
Integrating Fossil Data into Likelihood-based Phylogenetic Analyses with Trilobites as a Model System	47.074	DEB-1256993	80,907
Dimensions: Collaborative Research: Historical and contemporary influences on elevational distributions and biodiversity tested in tropical Asia	47.074	DEB-1241181	80,741
ABI Innovation: Target - template structural and functional relationships in modeling of protein - protein interactions	47.074	DBI - 1262621	221,051
Collaborative Research: Unique structural proteins and cross-linking reactions that control physical properties of insect exoskeletons	47.074	IOS-1258027	124,507
CAREER: Teaching Modern Biodiversity Science from Fieldwork to Phylogeny: Diversity, Systematics, & Evolution of Ecologically Promiscuous Aquatic Beetles	47.074	DEB-1453452	83,979
ICOB: Molecular and morphological characterization of polar capsules in the parasitic Myxozoa	47.074	IOS-1321759	1,303
Digitization TCN: Collaborative Research: Fossil Insect Collaborative: A Deep-Time Approach to Studying Diversification and Response to Environmental Change	47.074	EF-1304957	84
DISSERTATION RESEARCH: Disentangling phylogenetic relationships in an explosive bird radiation	47.074	DEB-1311513	11,109
SG: Evolutionary lag and the effects of clonal structure	47.074	DEB-1354754	41,230
Collaborative Research: Fire-Fungal-Plant Feedbacks in Pyrogenic Ecosystems	47.074	DEB-1557000	3,196
Collaborative Research: ABI Development: Transforming Biodiversity Analysis with Landscapes, Automation, and Provenance	47.074	DBI-1356732	236,904
DISSERTATION RESEARCH: Hybridization & its downstream consequences for biodiversity	47.074	DEB-1406989	11,924
EAGER: Elucidation of the Potential for CAM Photosynthesis in the C4 Halophyte Spinifex littoreus, a Succulent Asian Grass with Enormous Agricultural Potential	47.074	IOS-1411897	32,078
Evolutionary dynamics of collateral gene silencing by piRNA	47.074	MCB-1413532	177,158
Studying proteasome assembly using a combination of modeling and experiment	47.074	MCB-1412262	219,684
Re-organization of Philippine Rainforest Biodiversity Following Disturbance on Regional Scales from a Powerful Typhoon	47.074	DEB-1418895	50,061
Constraints on the evolution of chromosome dosage compensation: a test in butterflies and moths	47.074	1457758	202,758
Bridging observational, experimental and genomic insights on species and speciation through comparative analyses in a new vertebrate model systems	47.074	DEB-1457774	104,471
Collaborative Research: Hierarchical Functioning of River Macrosystems in Temperate Steppes - From Continental to Hydrogeomorphic Patch Scales	47.074	EF1442595	113,332
Collaborative Research: Connecting resources to enable large-scale biodiversity analyses	47.074	DBI-1458422	96,446
Collaborative Research: Out of the "Jungle" and into the Sea	47.074	DEB-1457776	26,737
Collaborative Research: beta-catenin regulation during asymmetric stem cell divisions	47.074	IOS-1456538	87,955
DISSERTATION RESEARCH (Rachel Bowes): Historical Changes in Food Web Structure of Large Rivers	47.074	DEB-1502017	14,728
DISSERTATION RESEARCH: The Evolution of Specialized Teeth and Jaws in Early Mesozoic Ray-Finned Fishes and Their Impact on Widespread Niche Differentiation	47.074	DEB-1502005	4,908

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Bacterial Outer Membranes and Interactions with Proteins	47.074	MCB-1516154	\$ 49,118
DIMENSIONS: COLLABORATIVE RESEARCH: The evolution of pollination syndrome diversity in Penstemon	47.074	DEB-1542402	41,899
EAGER: The evolution of anti-predator defenses in tortoise beetles (Coleoptera: Chrysomelidae: Cassidinae)	47.074	DEB-1547851	2,211
Can improving predictions of soil oxygen dynamics increase understanding of greenhouse gas hotspots and hot moments?	47.074	DEB-1613325	70,340
Collaborative Research: Assembling the Tree of Life-An Integrative Approach to Investigating Cnidarian Phylogeny	47.074	EF-0531779	854
Collaborative Research: Large-scale simultaneous multiple alignment and phylogeny estimation	47.074	DEB-0732920	1,465
Collaborative Research: Avian Diversification Across Tropical Asia; a Systematic and Biogeographic Analysis of Babblers (Aves: Timalidae)	47.074	DEB-0743576	(971)
Survey of the Aquatic Insects of Northern Venezuela with an emphasis on Coleoptera	47.074	DEB - 0816904	(1,516)
Collaborative Research: PBI: A survey of the tapeworms (Cestoda: Platyhelminthes) from the vertebrate bowels of the earth	47.074	DEB-0818823	24,947
Examining Development and Ultimate Attainment in Second Language Processing: An ERP Investigation	47.075	BCS-0951900	5,759
Light Verbs in Uyghur	47.075	BCS-1053152	1,873
Planned Missing Research Designs: Power and Validity of Planned Missing Data Designs in Longitudinal Research	47.075	BCS-1053160	49,023
Economic and Scientific Effects of Federal Investment in Chemical Sciences Research	47.075	SMA-1064218	64,560
Co-Lang: Institute for Collaborative Language Documentation Training	47.075	BCS-1065469	2,350
Interactive Inner Asia: documenting an endangered language contact area	47.075	BCS-1065524	17,034
Examining how exposure to metaphorical framing influences attitudes toward sociopolitical issues	47.075	BCS-1222047	72,490
CAREER: Community Adaptation to Changing Environmental Disasters	47.075	BCS-1151288	60,230
Collaborative Research: Land Change in Brazil's Cerrado: Ethanol and Sugar Cane Expansion at the Farm and Industry Scale	47.075	BCS-1227160	29,807
The Acquisition of Northern Pame [pmq] (Otomanguean)	47.075	BCS-1360874	36,673
Collaborative Research: Opening New Views into Bankruptcy and Credit Markets Using Court Records	47.075	SES-1355744	70,607
DOCTORAL DISSERTATION RESEARCH: Floods, Worms, and Cattle Plague: Natural Disaster at the Decline of the Dutch Golden Age	47.075	SES-1331284	5,634
Collaborative Research: Separating transient and enduring forms of change in adult attachment styles	47.075	BCS-1423970	38,139
Race and gender stereotyping in evaluative language	47.075	BCS-1349043	52,862
Collaborative Research: Climate Risk Governance and Polycentrism in the US States	47.075	SES-1431082	66,973
Africa's Endangered Languages: Documentary and Theoretical Approaches	47.075	BCS-1360823	645
Effects of Native Language and Linguistic Exposure on Non-Native Listeners' Use of Prosodic Cues in Speech Segmentation	47.075	BCS-1423905	85,537
Into Africa: The Initial Colonization of Africa by Early Cenozoic Anthropoids	47.075	BCS-1441585	57,371
Collaborative Research: Integrated City Sustainability: Administrative Apparatus for Overcoming Collective Dilemmas of Agency Fragmentation	47.075	SES-1461526	37,251
Systematic Study of Group-Based Legal Mobilization	47.075	SES1535673	33,590
Understanding Gender Differences in STEM Academic Careers	47.075	SES1538797	10,955
Collaborative Research: EAGER: Automating HERD Reporting Using Machine Learning and Administrative Data	47.075	SMA1547464	26,492
Making words disappear or appear: A neurocognitive and behavioral investigation of effects of speech rate on spoken word recognition	47.075	BCS-1559719	18,482
Developing Virtual and Physical Models to Enhance Conceptualization of Soil and Biogenic Structures in Undergraduate Geoscience Classes	47.076	DUE-1140908	52,667
Enhancing Teaching and Learning with Social Media: Supporting Teacher Professional Learning and Student Scientific Argumentation	47.076	DRL-1316799	161,481
Deep Roots: Wide-Spread implementation of community-driven evidence-based Pedagogy	47.076	DUE-1525775	202,446
CyberCorps: New Scholarships for Service (SFS) Program at the University of Kansas - Jayhawk SFS	47.076	DGE-1565570	16,896
Collaborative Research: 2014-2017 Development of the Askaryan Radio Array Ultra-high Energy Neutrino Detector at the South Pole	47.078	PHY-1404289	4,712
Investigating the Dynamics of Tidewater Glaciers with Application to Columbia Glacier, Alaska and Kangerlussuaq Glacier, East Greenland	47.078	ARC-0710839	(924)
Structure and Dynamics of Lipopolysaccharides (LPS)	47.079	IIA-1359530	2,502

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Collaborative Research: Imaging and Controlling Ultrafast Dynamics of Atoms, Molecules, and Nanostructures	47.079	IIA-1430493	\$ 823,408
RII Track-2 FEC: Catalysis for Renewables: Applications, Fundamentals and Technologies (CRAFT)	47.079	OIA-1539105	545,600
Phase VI: Climate Change and Energy: Basic Science, Impacts, and Mitigation	47.081	EPS-0903806	2,291,581
Collaborative Research: EPSCoR RII Track 2 Oklahoma and Kansas: A cyberCommons for Ecological Forecasting	47.081	EPS-0919443	(7,301)
Collaborative Research: Data Integration for Repository Services in Biodiversity Informatics	47.082	DBI-0851278	(2,238)
<u>Pass through American Museum of Natural History</u>			
Digitization TCN: Plants, Predators, and Parasitoids: A Model System for the study of Tri-Trophic Associations	47.074	2-2011	5,731
<u>Pass through BBN Technologies, Inc</u>			
KanREN-GENI: GENI in the Kansas Research and Education Network and the Great Plains Network	47.070	9500011164	53,507
<u>Pass through Boston University</u>			
Developing a brain-machine interface for speech communication	47.075	4500001286	4,443
<u>Pass through College of Charleston</u>			
CI21 DBBS: Collaborative Research: Cyberinfrastructure for Interpreting and Archiving U-series Geochronologic Data	47.070	521156-Kansas	20,982
<u>Pass through Columbia Univ</u>			
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	104,772
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	2(GG010799)	58,372
<u>Pass through Duke University</u>			
Human and Natural Forcings of Critical Zone Dynamics and Evolution at the Calhoun Critical Zone Observatory	47.050	14-NSF-1078	133,563
<u>Pass through Indiana University</u>			
CI21 DBBS: Middleware and High Performance Analytics Libraries for Scalable Data Science	47.070	BL-4848800-UK	26,517
<u>Pass through KS State Univ, SPA</u>			
Konza Prairie LTER V: Long Term Research on Grassland Dynamics and Global Change	47.074	S09068.06	700
Konza Prairie LTER VI: Grassland Dynamics and Long-Term Trajectories of Change	47.074	S11093.06	8,917
Konza Prairie LTER: Grassland Dynamics and Long-Term Trajectories of Change	47.074	S15103	20,158
Konza Prairie LTER: Long Term Research on Grassland Dynamics and Global Change	47.074	S15099	22,296
<u>Pass through Missouri Botanical Garden</u>			
Digitization TCN: Collaborative Research: Tritrophic Databasing Initiative	47.074	NSF05791UK	15,147
<u>Pass through National Ecological Observatory</u>			
Contract Bid for NEON, Inc. RFP-0256-AQU Reaeration and Dissolved Gas Laboratory Analysis	47.074	1010-0345-000	11,207
Reaeration and Dissolved Gas Laboratory Analysis	47.074	2010-0358-AQU	562
<u>Pass through Princeton University</u>			
U.S. CMS Operations at the LHC	47.049	00002102	23,095
<u>Pass through PROTON ONSITE</u>			
Hydrogen Bromine Electrolysis for Highly Efficient Hydrogen-Based Energy Storage and High Value Chemical Applications	47.041	EC-014974-1	44,196
Hydrogen Bromine Electrolysis for Highly Efficient Hydrogen-Based Energy Storage and High Value Chemical Applications - Phase II	47.041	EC-017038-01	4,095
<u>Pass through Purdue University</u>			
2015 NSF CyberBridges Workshop	47.070	4101-69529	31,221
<u>Pass through Texas Tech University</u>			
GOALt: Erbium Doped III-Nitrides for Optical Communications and Silicon Photonics	47.041	21P297-01	55,410
1.54 micron optical amplifiers and emitters based upon erbium doped III-Nitrides grown on silicon	47.041	21P127-01	(504)
<u>Pass through The Language Express, Inc.</u>			
Teen Career Pathway	47.041	Agreement	19,335
<u>Pass through Tulane University</u>			
Effects of Anthropogenic Habitat Perturbation on Rodent Population Dynamics and Risk of Rodent-Borne Diseases	47.050	TUL-HSC-428-12/13	1,906
<u>Pass through Univ of Arizona</u>			
New Biologically Relevant Sulfur Radical Cation Chemistry	47.049	Y561481	(30,087)

See accompanying notes to schedule.

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<u>Pass through Univ of California - Berkeley</u>			
Supplement to ABI Development: Collaborative Research: VertNet, A New Model for Biodiversity	47.074	00008601	\$ 17,855
<u>Pass through Univ of California - San Diego</u>			
PRAGMA - Enabling Scientific Expeditions and Infrastructure Experimentation for Pacific Rim Institutions and Researchers	47.080	59858222	32,649
<u>Pass through Univ of Illinois</u>			
CSR: Medium: Multicore Real Time Virtual Partitions	47.070	2013-01883-01	60,123
<u>Pass through Univ of KS Med Ctr Research Institute</u>			
EAGER: US Ignite: In-Home Monitoring in Support of Caregivers for Patients with Dementia	47.070	QW859790	12,637
<u>Pass through Univ of Maryland-College Park</u>			
Stimulus: Collaborative Research: MRF-R2 Instrument Development of the Askaryan Radio Array, A Large-scale Radio Cherenkov Neutrino Detector at the South Pole	47.082	Z349202	329
<u>Pass through Univ of Nebraska - Lincoln</u>			
NSF Cooperative Agreement for Phase-1 Upgrades of CMS	47.049	25-0521-0178-005	359,714
<u>Pass through Univ of New Mexico</u>			
DataNetONE: Observation Network for Earth	47.070	063045-87L3	245,203
DataNetONE: Observation Network for Earth	47.080	063014-87L3	(29,098)
<u>Pass through Univ of Notre Dame</u>			
A QuarkNet Site at the University of Kansas: Engaging High School Physics Teachers in Particle Physics Research	47.049	Agreement	14,560
<u>Pass through Wayne State University</u>			
CDI Type II: Computational Methods to Enable an Invertebrate Paleontology Knowledgebase	47.070	WSU15009	185,206
<u>U.S. Department of State</u>			
<u>Direct Award</u>			
Eco-Reps: Peer to Peer Sustainability Outreach	19.900	S-RS500-14-GR-124	12,881
<u>U.S. Department of Agriculture</u>			
<u>Direct Award</u>			
Sustainability Study of Wild Populations of Osha (<i>Ligusticum porteri</i>)	10.000	12-CS-11020900-020	6,143
Kansas Species Conservation Partnership	10.000	13-CS-11020000-020	2,604
Restoration of understory plant communities at the Savannah River Site	10.000	14-CS-11083601-002	11,609
Sustainability Study of Wild Populations of Osha (<i>Ligusticum porteri</i>) in the San Juan National Forest	10.000	15-CS-11021300-037	3,998
Interactive Online Resources for the Welfare of Pets During Air Travel	10.025	15-6100-0085-CA	8,609
Green Technologies for Product Diversification in an Integrated Biorefinery	10.312	2011-10006-30362	915,723
<u>Pass through KS Dept for Children and Families</u>			
Pilot Projects to Reduce Dependency	10.596	Agreement	302,654
<u>Pass through Michigan State Univ</u>			
Developing and promoting water-, nutrient-, and climate-smart technologies to help agricultural systems adapt to climate and society changes	10.310	RC104693B	26,679
<u>Pass through Univ of Delaware</u>			
Reducing uncertainty in carbon cycle science of North America: a synthesis program across United States	10.310	38517	41,629
<u>Pass through Univ of Nebraska - Lincoln</u>			
The <i>Pseudomonas syringae</i> type III translocator and the injection of bacterial effectors across the plant cell wall and plasma membrane	10.310	25-1215-0098-002	8,801
Co-Aerial Ecologist: Robotic Water Sampling and Sensing in the Wild	10.310	25-0511-0110-005	33,501
<u>U.S. Department of Transportation</u>			
<u>Direct Award</u>			
UAS Operational and Certification Standards Development to Mitigate Injury and Damage on the Ground	20.109	15-C-UAS-KU-01	41,832
<u>Pass through Texas A&M Research Foundation</u>			
Performance Prediction and Analysis of Airfield Pavements Subjected to Next Generation Aircraft	20.108	12-S151230	17,521

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<u>Pass through KS Dept of Transportation</u>			
Construction of Low -Cracking High-Performance Bridge Decks Incorporating New Technology	20.205	RE-7000-01	\$ 25,018
2016 Local Technical Assistance Program (LTAP)	20.215	RE 0255-16 LTAP-R025	120,494
Kansas Rural Transit Assistance Program (RTAP)	20.509	PT-0511-35	25,493
<u>Pass through Univ of Nebraska - Lincoln</u>			
Development of Distortion-Induced Fatigue Retrofit Techniques for Skewed Steel Bridge Girders	20.701	25-1121-0003-245	5,688
Educational Activities through MATC at the University of Kansas FY 2014	20.701	25-1121-0003-245	3,328
<u>Pass through Univ of Colorado</u>			
Quantification of Cost, Benefits and Risk Associated with Alternate Contracting Methods and Accelerated Performance Specifications	20.000	1550889	18,035
<u>Veterans Administration</u>			
<u>Direct Award</u>			
VA Educational Therapy Program	64.000	VA255-P-0864	7,046
TOTAL RESEARCH AND DEVELOPMENT CLUSTER			\$ 87,406,082
TRIO CLUSTER			
<u>U.S. Department of Education</u>			
<u>Direct Award</u>			
Student Support Services Program	84.042	P042A110606-15	271,012
University of Kansas TRIO Student Support Services-STEM	84.042	P042A150254	127,559
University of Kansas Talent Search	84.044	P044A110799	371,773
University of Kansas Upward Bound Program	84.047	P047A130144	364,502
The University of Kansas Upward Bound Math and Science Center	84.047	P047M120139-15	266,153
The University of Kansas Veterans Upward Bound Program	84.047	P047V130043	236,434
University of Kansas Educational Opportunity Center	84.066	P066A110016 - 15	262,648
McNair Scholars Program	84.217	P217A120075 - 13	296,668
TOTAL TRIO CLUSTER			\$ 2,196,749
<u>U.S. Department of Education</u>			
<u>Direct Award</u>			
Fulbright-Hays Doctoral Dissertation Research Abroad Program	84.002	P022A140052	30,028
National Resource Centers Program	84.015	P015A100147 - 13	16
National Resource Centers Program	84.015	P015A100016 - 13	2,401
National Resource Centers Program (NRC)	84.015	P015A100044 - 13	16,840
National Resource Centers Program	84.015	P015A140178 - 15	229,138
Foreign Language and Area Studies Fellow ships Program	84.015	P015B140073-16	304,517
Foreign Language and Area Studies Fellow ships Program	84.015	P015B150178 - 16	295,854
Heartland College Assistance Migrant Program	84.149	S149A150007	246,730
Kansas State Plan for Assistive Technology	84.224	H224A140016 - 14A	(376)
Post-Doctoral Research Training Program in Special Education: Response to Intervention (RTI) in Early Childhood	84.324	R32B120004 - 15	110,412
Post-Doctoral Special Education Research Training in Urban Communities: A Research to Practice Model	84.324	R324B100004	8,012
Project LIFE (Low Incidence Functional Endorsement)	84.325	H325K090203-12	43,370
Training Personnel to Serve School Age Children with Low Incidence Disabilities: Autism Spectrum Disorders	84.325	H325K090213-12	(239)
KU Improving Transition Teacher Quality with Online Personnel Preparation (iTran)	84.325	H325K100511 - 13	81,396
Augmentative and Alternative Communication in the Schools: Leadership and Access (ACTS) - Kansas City	84.325	H325K110338 - 15	215,728
University of Kansas Global Learning Opportunities Building Early Education Leaders (KU- GLOBEEL) Type A	84.325	H325D120065 - 15	261,529
Culturally-Responsive Early Literacy Intervention (CRELI): American Indian/Alaskan Native	84.325	H325K130316 - 15	221,404
KU-DDL: The University of Kansas Diversity, Development & Learning Early Childhood Unified Masters	84.325	H325K130073	257,622

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Leadership Training in Nondiscriminatory Special Education Policy and Practice	84.325	H325D150085	\$ 25,846
University of Kansas Project to Develop Responsive, Innovative, and Visionary Educators (KU- DRIVE), Type A	84.325		6,750
Kansas High-Incidence Preparation Project (KIP)	84.325	H325T080040-12	113
Center on Online Learning and Students with Disabilities	84.327	H327U110011 - 15	1,429,385
University of Kansas Washington Cluster GEAR UP Program	84.334	P334A110181-15	706,513
University of Kansas Harmon Cluster GEAR UP Program	84.334	P334A110182-15	665,512
University of Kansas Highland Park High School Cluster GEAR UP Program	84.334	P334A140114-16	444,641
TELK-Topeka: Teaching English Learners in Kansas-Topeka	84.365	T365Z110079 - 15	296,700
Design and Development of a Dynamic Learning Maps Alternate Assessment System	84.373	H373X100001 - 13C	393,814
<u>Pass through Families Together, Inc.</u>			
Kansas Parent Training and Information and Family-to-Family Health Information Center	84.328	Agreement	153
<u>Pass through Georgia State University</u>			
MAAPS: Monitoring Advising Analytics as Predictors of Success: A Study Proposed by the University Innovation Alliance	84.116	SP0012139-05	26,693
<u>Pass through Kenai Peninsula Borough School District</u>			
Using Assessments to Improve Teaching and Learning in the Kenai Peninsula Borough School District	84.367	PO1522035	6,369
<u>Pass through KS Board of Regents</u>			
College Access Challenge Grant Summer Funding AY2013-2014	84.378	Agreement	1,327
College Access Challenge Grant Application Proposal for Summer Funding AY 2014-2015	84.378	Agreement	145,884
<u>Pass through KS Dept of Education</u>			
Kansas Inservice Training System (KITS)	84.027	21013	110,342
The Kansas Transition Technical Assistance Project (KS-TTAP)	84.027	21001	65,175
Technical Assistance System Network	84.027	21002	50,607
KSDE ESOL Improvement Initiative	84.365	652-16-1879	22,042
<u>Pass through KS Dept of Health & Environment</u>			
Kansas Inservice Training System (KITS)-Infant and Toddler Expansion	84.181	Agreement	76,519
Kansas Inservice Training System (KITS)-Infant and Toddler Expansion	84.181	Agreement	232,330
<u>Pass through MO Dept of Elementary & Secondary Ed</u>			
Statewide Evaluation of Secondary Transition Practices and Professional Development	84.027	Agreement	(2)
Missouri Post-Secondary Success Project	84.027	Agreement	31,582
State Personnel Development Grant Evaluation 2 (SPDG)	84.323	Agreement	49
State Personnel Development Grant Evaluation 2 (SPDG) - 2015	84.323	Agreement	1,452
State Personnel Development Grant Evaluation 2 (SPDG) - 2016	84.323	Agreement	110,512
<u>Pass through New Hampshire Dept of Education</u>			
DLM - Operational/Testing	84.000	2015-043	82,887
<u>Pass through Questar Assessment Inc.</u>			
English Language Arts and Mathematics Grades 3-5; Science Grades 5 and 8; and High School Algebra I, English II and Biology Alternate Assessments for Students with Significant Cognitive	84.369	Agreement	462,619
<u>Pass through Texas A&M Research Foundation</u>			
Preparation of Leaders Across the Lifespan for Autism	84.325	S120025	20,969
<u>Pass through Univ of Kansas</u>			
Provide Professional Development and Associated Resources for the Strategic Instruction Model and Content Literacy Continuum	84.323	Agreement	402,179
Adolescent Literacy Partnerships: Meeting the Needs of All Students	84.323	E080327-600-077	637,909
Virginia's State Personnel Development Grant Proposal	84.325	Agreement	(14,676)
<u>Pass through Univ of North Carolina Charlotte</u>			
National Technical Assistance Center on Increasing Graduation and Improving Transition to Postsecondary Education and Careers for Students with Disabilities	84.326	20150079-03-UKS	164,174
<u>Pass through Univ of Oregon</u>			
OSEP Technical Assistance Center on Positive Behavioral Interventions and Supports	84.326	224440M	88,912
<u>Pass through USD 501, Topeka Public Schools</u>			
The Arts Infusion Project	84.351	16850	81,720
The Arts Infusion Project	84.351	16855	83,847
The Arts Infusion Project	84.351	18291	49
The Arts Infusion Project	84.351	18418	49,393

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<u>Pass through Virginia Department of Education</u>			
Virginia Department of Education, Online Transition Seminar	84.027	76788117-H027A140107	\$ 4,947
Virginia Department of Education, Online Transition Seminar	84.027	76788117-H027A130172	14,902
<u>Pass through Wichita State University</u>			
Evaluation of the Wichita North GEAR UP Program	84.334	R51239	20,648
GEAR UP, South Wichita Project	84.334	R51238	17,233
Evaluation of the Wichita North GEAR UP Program	84.334	R51399	23,467
GEAR UP, South Wichita Project	84.334	R51394	42,411
<u>U.S. Department of Homeland Security</u>			
<u>Direct Award</u>			
Kansas State Training Systems Grant Application FY 2012	97.043	EMW-2014-GR-000250	6,453
Kansas State Training Systems Grant Application FY 2012	97.043	EMW-2015-GR-00039-S0	17,013
AFG 2014	97.044	EMW-2014-FZ-00136	41,305
<u>U.S. Department of Commerce</u>			
<u>Direct Award</u>			
KU University Center Project: KU Entrepreneurship Works for Kansas - Phase III	11.303	05-66-05445.02	107,763
<u>U.S. Department of Defense</u>			
<u>Direct Award</u>			
Peace Corps Recruitment Proposal for FY 2013-2015	12.000	PC-12-8-094	4,593
Peace Corps Recruitment Proposal for FY 2016 - 2018	12.000	PC-15-8-030	15,835
<u>Pass through Institute for International Ed</u>			
Project GO Center: Critical Language Skill and Regional Expertise for 21st Century Officers	12.357	2603-KU-10-GO-015PO1	183,228
KU Project GO Center: Attaining Intercultural Understanding through Critical Language Learning for 21st Century Officers	12.357	2603-KU-10-GO-015PO3	164,134
Building Language Capacity to Meet National Security Needs: The University of Kansas Language Training Center	12.550	2013-LTC-KU	778
Building Language Capacity to Meet National Security Needs: The University of Kansas Language Training Center	12.579	2603-KU-10-LTQLT4PO2	157,685
Building Language Capacity to Meet National Security Needs: The University of Kansas Language Training Center	12.579	2603-KU-10-LTC-LT5-P	252,662
<u>U.S. Department of Energy</u>			
<u>Pass through Fermi National Accelerator Lab</u>			
Phenomenology of New Physics Beyond the Standard Model	81.000	623424	28,132
<u>U.S. Department of Interior</u>			
<u>Direct Award</u>			
Curation of Archaeological Collections CLIN 002	15.000	W912DQ-09-P-1051	(2,347)
Oregon Caves National Monument Book	15.000	DI-9340-P	(494)
<u>Pass through National Fish and Wildlife Foundation</u>			
Building Capacity for Milkweed/Monarch Habitat Restoration in Eastern Oklahoma	15.608	2007.15.050502	4,445
<u>U.S. Department of Justice</u>			
<u>Direct Award</u>			
Paul E. Wilson Defender Project	16.603	Agreement	2,746
Paul E. Wilson Defender Project	16.603	DJBPO408RF530001	30,486
<u>Pass through Office of Kansas Governor</u>			
Campus Access & Resource Expert (CARE) Facilitator	16.575	15-VOCA-12	4,477
<u>Pass through Kickapoo Tribe</u>			
Kickapoo CTAS #5 Violence Against Women Tribal Governments Program Evaluation	16.587	16946	25,232

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<u>U.S. Department of Health and Human Services</u>			
<u>Direct Award</u>			
Training Researchers in Language Impairments	93.173	4T32DC000052-19	\$ 125,120
Substance use in foster care youth: Relations among maltreatment, use, and coping	93.279	5F31DA034423-02	(1,849)
Kansas State Plan for Assistive Technology	93.464	90AG0052-01-00	370,893
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	90DD0700-05-00	493,736
Kansas Workforce Initiative	93.648	90CT0150-05-03	5,002
KAPP: Kansas Adoption Permanency Project	93.652	90CO1120-03-00	515,206
Health for All: Healthy Places that Promote Health Equity among Latinos in Kansas City, KS	93.738	5 NU58DP005806-02-00	763,126
Graduate Training Program in Multidimensional Vaccinogenesis	93.855	5T32AI070089-05	5,841
Training Grant in Dynamic Aspects of Chemical Biology	93.859	5T32GM08545-21	35,414
500 Nations Bridge Collaboration: Haskell Indian Nations University / U of Kansas	93.859	5R25GM060182-12	151,940
MBRS IMSD Program at the University of Kansas	93.859	5R25GM062232-15	475,567
Pharmaceutical Aspects of Biotechnology Training	93.859	5T32TGM08359-26	309,993
The genetic and developmental basis of repeated phenotypic shifts in Penstemon	93.859	5F32GM110988-02	53,233
Training Grant in Dynamic Aspects of Chemical Biology	93.859	5T32GM08545-23	288,271
500 Nations Bridge Collaboration: Haskell Indian Nations University / U of Kansas	93.859	2R25GM060182-13	72,748
Postdoctoral Training in Translational IDD Research	93.865	5T32HD057844-05	9,055
<u>Pass through Kansas Children's Cabinet and Trust Fund</u>			
Community Based Child Abuse Neglect and Prevention Program (CBCAP) Phase VII	93.669	Agreement	69,149
<u>Pass through Kickapoo Tribe</u>			
Kickapoo Project LAUNCH	93.243	16676	231,929
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	16947	57,296
Cooperative Agreements for Tribal Behavior Health (Native Connections)	93.243	18178	3,573
Kickapoo Project LAUNCH	93.243	18183	18,565
PPHF 2014: A Comprehensive Approach to Good Health and Wellness in Indian Country	93.762	17982	50,392
<u>Pass through KS Dept for Aging and Disability Service</u>			
CABHI-States	93.243	Agreement	120,021
CABHI-States	93.243	Agreement	7,797
Title XIX-Children's Mental Health FY 2014	93.778	Agreement	(391)
Title XIX-Children's Mental Health FY 2014	93.778	Agreement	(1,989)
CMH CBS - Title XIX - ROM FY 2016	93.778	Agreement	72,194
YCM - Title XIX - Children's Mental Health FY 2016	93.778	Agreement	70,715
<u>Pass through KS Dept for Children and Families</u>			
e.p.i.c.skillz project	93.558	OGC-2015-KUEPIC-01	145,806
Kansas Quality Rating System Development	93.575	Agreement	35,096
Kansas Head Start State Collaboration Office Phase 2: Needs Assessment Summary Report and Strategic Planning	93.600	Agreement	20,795
Community Based Child Abuse Neglect and Prevention Program (CBCAP) Phase VII	93.669	Agreement	(14)
<u>Pass through KS Dept of Health & Environment</u>			
KU-CPPR Kansas MECHV Evaluation	93.505	34748	225,693
Kansas MECHV Formula Fund Performance Management + CQI Analysis and Report Development	93.505	Agreement	31,123
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	KDHE2014-011	46,311
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	KDHE2014-011	237,806
Assisting Medicaid Beneficiaries in Accessing Assistive Technology (ATK)	93.779	KDHE2014-010	96,356
Integrating Walking and Biking in Planning Processes for Kansas Small Cities and Counties	93.945	Agreement	8,164
Kansas Early Childhood Comprehensive Systems	93.110	Agreement	(283)
Kansas Early Childhood Comprehensive Systems	93.110	Agreement	34,730
The Kansas Project LAUNCH Initiative	93.243	Agreement	(134)
Kansas Project LAUNCH (evaluation)	93.243	Agreement	(213)
Kansas Home Visiting Evaluation	93.505	Agreement	17
Assisting Medicaid Beneficiaries in Accessing Assistive Technology	93.779	KDHE2014-010	28,069
<u>Pass through Nova Blue Ribbon Coalition for Youth</u>			
Novato Blue Ribbon Coalition for Youth Coalition Evaluation Plan	93.276	Agreement	2,284
<u>Pass through Oregon Department of Human Services</u>			
Oregon ROM Reports System	93.658	133972	73,466

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<u>Pass through State of Nebraska Dept. Health & Human S</u>			
Federal Home Visiting Data Collection and Reporting System for Nebraska	93.505	Agreement	\$ 8,597
Home Visiting Data Collection and Management - Nebraska 2015-2016	93.505	Agreement	155,709
<u>Pass through Univ of KS Med Ctr Research Institute</u>			
Access to Healthy Food and Neighborhood Walkability: Insights Through Interprofessional Curricula	93.283	Z9N00000	2,800
<u>Pass through Univ of Michigan</u>			
Evaluation of the QIC-ChildRep Training Program	93.652	3002541914	(6)
Evaluation of the QIC-ChildRep Training Program	93.652	3003459288	31,568
<u>Pass through Univ of Missouri - Kansas City</u>			
KC HealthTracks	93.137	0000067161/00050918	5,873
<u>Pass through Wisconsin Dept of Children & Families</u>			
Data Application and Integration System for the Early Years (DAISEY)	93.870	Agreement	10,914
<u>National Aeronautics and Space Administration</u>			
<u>Direct Award</u>			
Intergovernmental Personnel Act (IPA) Agreement for Christopher Drahozal	27.011	Agreement	(4,225)
IPA for Amanda Reichard	27.011	Agreement	(3,056)
Intergovernmental Personnel Act (IPA) Agreement for Joseph Evans	27.011	IPA #0231	264,222
Intergovernmental Personnel Act (IPA) Agreement for Christopher Drahozal	27.011	Agreement	13,779
<u>National Endowment for the Arts</u>			
<u>Direct Award</u>			
PlayIT Forward: An exploration of a female aesthetic that sustains cultural traditions and personal histories	45.024	12-5400-7072	(835)
Technology, Arts and our Society; expressing, exploring and engaging	45.024	15-5400-7127	20,000
Advancing Research Collaboration in the Humanities	45.130	CH-50951	425,000
Humanities Challenge Project II	45.130	CH-20811	500,000
Don't Deny My voice II: Black Poetry after the Black Arts Movement	45.163	BH-50446-14	89,819
Ethical Boundaries of Community in Russian Literature and Beyond	45.163	AQ-248198	6,856
Black Book Interactive Project	45.169	HD-248607-16	1,077
Lasting Impressions: Updating Works on Paper Collection Storage at the Spencer Museum of Art	45.301	MA-30-15-0383-15	91,688
<u>Pass through American Library Association</u>			
500 Years Thinking Latin@ Americanidad: Guadalupe/Tonantzin and the Historical Search for Cultural Identity	45.164	LA104664	6,254
<u>Pass through KS Dept of Commerce & Housing</u>			
Detective's Eye Trading Cards	45.024	Agreement	3,540
Working Group Theatre Project	45.025	FY14-014	3,000
<u>Pass through KS Humanities Council</u>			
On the Brink: Borders, Boundaries, and Becoming	45.129	216005MJ	6,586
<u>National Science Foundation</u>			
<u>Direct Award</u>			
FEW Workshop Proposal: Defining the Opportunities and Challenges for Research and Design Strategies to support innovations at the Nexus of Food, Energy, and Water Systems (INFEWS)	47.041	CBET-1559379	24,608
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1004897	9,000
REU Site: A Summer Experience for Undergraduates Integrating Research, Education, and Career Development in an Interdisciplinary Environment	47.049	CHE-1560279	31,143
Student Travel Support for the IEEE GLOBECOM 2015	47.070	CNS154774	9,950
CANSec: The Central Area Networking and Security Workshop	47.070	CNS-1602041	3,701
REU Site: Models in Evolution, Ecology and Systematics	47.074	DBI-1262795	103,759
Enhancements to Internet and communication systems at the KU Field Station	47.074	DBI-1319170	59,390
Kansas City Research Data Center	47.075	SES-1359527	138,738
Graduate Research Fellow ships	47.076	DGE-0907996	112,333
Adventures at Nanoscale: Superconductivity	47.076	DRL-1065789	(2,942)
An Interdisciplinary Scholarship Program for Undergraduates in Renewable Energy	47.076	DUE-1060660	92,695
Graduate Research Fellowship Program	47.076	DGE-1451148	(231,333)

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

Federal Grantor/Program Title	CFDA Number	Identifying Number	Amount
Graduate Research Fellowship Program	47.076	DGE-1540502	\$ 495,333
IGERT: C-CHANGE: Climate Change, Humans, and Nature in the Global Environment	47.076	DGE-0801522	68,560
IPA Agreement for Jun (Luke) Huan appointment at NSF	47.000	IIS-1624071	76,602
<u>Pass through Univ of Houston</u>			
A Proposal to Support Graduate Student Attendance at the University of Houston EITM Summer Training Institute	47.075	R-15-0015	(59)
<u>Small Business Administration</u>			
<u>Pass through Fort Hays State Univ</u>			
Univ of KS Small Business Development Center	59.037	1513	49,010
University of Kansas Small Business Development Center	59.037	1613	23,046
<u>U.S. Department of State</u>			
<u>Direct Award</u>			
Study of the U.S. Institute of Student Leaders on Women's Leadership	19.009	S-ECAGD-13-CA-0112	203,652
English Language and Teacher Education Program for Vietnamese English Teachers of Gifted Students	19.040	S-VM300-14-GR-125	(44,683)
English Language and Teacher Education Program for Vietnamese English Teachers of Gifted Students	19.040	S-VM300-14-GR-179	2,395
English Language and Teacher Education Program for Vietnamese English Teachers of Gifted Students	19.040	S-VM300-15-GR-151	347,868
U.S. Institute on Women's Leadership: Women's Civic Leadership from the Heartland	19.040		42,940
<u>Pass through Institute for International Ed</u>			
2015 8-Week Hubert Humphrey Program	19.010	Agreement	138,226
6-Week English Refinement for Graduate Studies Program for Fulbright Grantees	19.400	Agreement	(11,165)
6-Week English Refinement for Graduate Studies Program for Fulbright Grantees	19.400	Agreement	(40,154)
6-Week English for Graduate Studies Program for Fulbright Foreign Students	19.400	Agreement	210,002
Applied English Center 6-week English for Graduate Studies Program for Fulbright Foreign Students	19.400	3216 KU 3.15.2016	6,639
<u>U.S. Department of the Treasury</u>			
<u>Direct Award</u>			
VITA grant project	21.009	15VITA0237	1,696
VITA grant project	21.009	16VITA0165	11,958
<u>U.S. Department of Agriculture</u>			
<u>Pass through KS Dept of Education</u>			
Child Nutrition and Wellness Summer Food Service Program	10.559	XO163-UBMS	6,739
Child Nutrition and Wellness Summer Food Service Program For Upward Bound	10.559	XO163-UB	8,264
Child Nutrition and Wellness Summer Food Service Program (HHLA)	10.559	XO163-HHLA	4,990
<u>U.S. Department of Transportation</u>			
<u>Pass through KS Dept of Transportation</u>			
2015 Local Technical Assistance Program (LTAP)	20.205	LTAP-R025 (515)	222,217
<u>Pass through KS State Univ, SPA</u>			
Traffic Assistance Services for Kansas (TASK) Program	20.215	SP-1402-14	17,415
Traffic Assistance Services for Kansas (TASK) Program	20.215	SP-1402-15	7,209
<u>Pass through KS Dept of Transportation</u>			
Technical Services for the Kansas Rural Transit Assistance Program	20.509	PT-0511-36	151,417
Transportation Safety Conferences 2013-2017	20.600	SA-0943-15	64,605
Biased-Based Policing Grant	20.611	RP-1911-14SP-2300-14	(45,358)
<u>Veterans Administration</u>			
<u>Direct Award</u>			
VA Educational Therapy Program	64.000	VA255-15-C-0021	29,012
<u>TOTAL EXPENDITURES OF FEDERAL AWARDS</u>			<u>\$ 109,401,434</u>

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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

Program	CFDA Number	Amount Provided
Research & Development Cluster	Multiple	\$ 16,020,470
Trafficking/Terrorism Nexus in Eurasia	12.300	25,107
RET: Shaping Inquiry from Feedstock to Tailpipe with Education Development (SHIFTED)	47.041	9,999
EAGER: The evolution of anti-predator defenses in tortoise beetles	47.074	1,474
Technical Assistance System Network	84.027	5,469
Heartland College Assistance Migrant Program	84.149	52,836
Center on Online Learning and Students with Disabilities	84.327	767,781
Design and Development of a Dynamic Learning Maps Alternate Assessment System	84.373	345,251
Kansas State Plan for Assistive technology	93.464	130,662
Kansas University Center on Developmental Disabilities (KUCDD)	93.632	99,064
KAPP: Kansas Adoption Permanency Project among Latinos	93.652	234,703
Health for All: Healthy Places that Promote Health Equity in Kansas City, KS	93.738	137,785
Equipment Exchange: Increasing Access to Durable Medical Equipment	93.778	141,614
Assisting Medicaid Beneficiaries in Accessing Assistive Technology	93.779	124,425
Mechanisms and Energetics of Transmembrane-induced Signaling of Cytokine Receptors	93.859	(4,977)
		<u>\$ 18,091,663</u>

See accompanying notes to schedule.

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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, 2016. All federal awards received directly from federal agencies, as well as federal awards passed through other government agencies, are included on the schedule.

NOTE 2 - BASIS OF PRESENTATION

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

NOTE 3 - COST SHARE

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

NOTE 4 - ADDITIONAL AUDITS

Grantor agencies reserve the right to conduct additional audits of the Center's grant programs for economy and efficiency and program results which may result in disallowed costs to the Center. However, management does not believe such audits would result in any disallowed costs that would be material to the Center's financial position at June 30, 2016.

NOTE 5 - SUBTOTALS BY FEDERAL AGENCY AND CFDA

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
U.S. Department of Agriculture	10.000	\$ 24,354
	10.025	8,609
	10.310	110,610
	10.312	915,723
	10.559	19,993
	10.596	<u>302,654</u>
		1,381,943
U.S. Department of Commerce	11.303	107,763
	11.431	86,843
	11.549	57,650
	11.553	8,676
	11.620	<u>6,728</u>
		267,660
U.S. Department of Defense	12.000	1,551,528
	12.002	6,916
	12.114	65,882
	12.300	599,091
	12.357	347,362
	12.420	136,562
	12.431	<u>2,301,905</u>

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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

Department	CFDA Number	Amount
	12.550	\$ 778
	12.556	23,195
	12.579	410,347
	12.630	670,136
	12.800	131,012
	12.910	<u>28,512</u>
		6,273,226
Department of Housing and Urban Development	14.000	15,877
U.S. Department of Interior	15.000	6,965
	15.608	4,445
	15.611	90,725
	15.634	30,154
	15.658	18,541
	15.805	43,107
	15.807	1,050
	15.810	114,710
	15.814	47,900
	15.815	25,161
	15.819	<u>10,333</u>
		393,091
U.S. Department of Justice	16.560	10,988
	16.575	4,477
	16.587	25,232
	16.603	33,232
	16.745	<u>1,726</u>
		75,655
U.S. Department of Labor	17.261	9,370
U.S. Department of State	19.009	203,652
	19.010	138,226
	19.040	348,520
	19.400	165,322
	19.900	<u>12,881</u>
		868,601
U.S. Department of Transportation	20.000	18,035
	20.108	17,521
	20.109	41,832
	20.205	247,235
	20.215	145,118
	20.218	
	20.509	176,910
	20.600	64,605
	20.611	(45,358)
	20.701	<u>9,016</u>
		674,914
U.S. Department of the Treasury	21.009	13,654
Library of Congress	42.000	14,508

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
National Aeronautics and Space Administration	27.011	\$ 270,720
	43.000	187,033
	43.001	2,602,114
	43.002	286,371
	43.008	<u>262,336</u>
		3,608,574
National Endowment for the Arts	45.024	22,705
	45.025	3,000
	45.129	6,586
	45.130	925,000
	45.163	96,675
	45.164	74,567
	45.169	1,077
	45.301	91,688
	45.312	<u>12,055</u>
		1,233,353
National Science Foundation	47.000	76,602
	47.041	1,204,121
	47.049	4,971,961
	47.050	3,345,784
	47.070	1,638,715
	47.074	4,193,236
	47.075	987,459
	47.076	968,136
	47.078	3,788
	47.079	1,371,510
	47.080	3,551
	47.081	2,284,280
	47.082	<u>(1,909)</u>
		21,047,234
Small Business Administration	59.037	72,056
Veterans Administration	64.000	36,058
Environmental Protection Agency	66.436	470
	66.458	1,769
	66.461	97,916
	66.509	21,031
	66.516	<u>14,938</u>
		136,124
U.S. Department of Energy	81.000	310,114
	81.049	1,196,941
	81.089	3,181,829
	81.121	(133)
	81.135	<u>73,470</u>
		4,762,221

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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

Department	CFDA Number	Amount
U.S. Department of Education	84.000	\$ 82,887
	84.002	30,028
	84.015	848,766
	84.022	5,279
	84.027	833,255
	84.042	398,571
	84.044	371,773
	84.047	867,089
	84.066	262,648
	84.116	5,026,693
	84.133	(166,368)
	84.149	246,730
	84.181	308,849
	84.217	296,668
	84.224	(376)
	84.287	211,888
	84.305	681,123
	84.323	1,295,783
	84.324	2,302,551
	84.325	1,481,679
	84.326	5,332,585
	84.327	2,289,382
	84.328	153
	84.334	1,920,425
	84.351	263,065
	84.365	318,742
	84.367	54,742
	84.368	471,578
	84.369	462,619
	84.373	393,814
	84.378	147,211
	84.407	60,842
	84.411	93,537
	84.418	<u>97,396</u>
		27,291,607
U.S. Department of Health and Human Services	93.000	1,895,151
	93.061	605
	93.087	591,105
	93.103	410,036
	93.110	745,627
	93.121	763,090
	93.136	52,009
	93.137	5,873
	93.173	1,747,075
	93.239	1,337
	93.242	888,042
	93.243	1,044,599
	93.276	2,284
	93.279	553,107
	93.283	12,559
	93.310	165,422
	93.331	12,554
	93.350	9,908
	93.351	185,074

(Continued)

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2016

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

<u>Department</u>	<u>CFDA Number</u>	<u>Amount</u>
	93.361	\$ 56,216
	93.389	2,352
	93.393	282,664
	93.394	230,758
	93.395	1,529,136
	93.396	5,043
	93.397	151,241
	93.433	1,864,181
	93.464	370,893
	93.505	1,027,401
	93.558	145,806
	93.575	35,096
	93.590	85,310
	93.600	231,542
	93.615	71,227
	93.632	493,736
	93.647	24,717
	93.648	1,138,387
	93.652	546,768
	93.658	73,466
	93.669	69,135
	93.738	763,126
	93.757	57,815
	93.762	50,392
	93.768	54,144
	93.778	2,658,721
	93.779	124,425
	93.789	138,296
	93.837	748,663
	93.846	51,278
	93.847	440,802
	93.853	1,620,091
	93.855	2,403,370
	93.859	10,601,087
	93.865	2,498,635
U.S. Department of Health and Human Services (continued)	93.866	874,912
	93.867	236,411
	93.870	10,914
	93.926	182,406
	93.945	8,164
	93.989	20,622
	93.995	(4)
		<u>41,064,802</u>
Corporation for National and Community Service	94.021	15,190
U.S. Department of Homeland Security	97.043	23,466
	97.044	<u>122,250</u>
		<u>145,716</u>
TOTAL		<u>\$ 109,401,434</u>

Crowe Chizek LLP

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

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

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the University of Kansas Center for Research, Inc. (the Center), a component unit of the University of Kansas, which comprise the statement of financial position as of June 30, 2016, 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 29, 2016.

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.

(Continued)

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.

Crowe Chizek LLP

Crowe Chizek LLP

Indianapolis, Indiana
September 29, 2016

Crowe Chizek LLP

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

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

Report on Compliance for Each Major Federal Program

We have audited the University of Kansas Center for Research, Inc.'s (the Center), a component unit of the University of Kansas, compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of Center's major federal programs for the year ended June 30, 2016. The Center's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

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

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the Center's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Center's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

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

Opinion on Each Major Federal Program

In our opinion, the Center complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.

(Continued)

Report on Internal Control Over Compliance

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

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

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

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

Crowe Chizek LLP

Crowe Chizek LLP

Indianapolis, Indiana
September 29, 2016

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
For the year ended June 30, 2016

Financial Statements

Type of auditor's report issued:

Unmodified

Internal control over financial reporting:

Material weakness(es) identified?

_____ Yes X No

Significant deficiencies identified not
considered to be material weaknesses?

_____ Yes X None Reported

Noncompliance material to financial statements noted?

_____ Yes X No

Federal Awards

Internal Control over major programs:

Material weakness(es) identified?

_____ Yes X No

Significant deficiencies identified not
considered to be material weaknesses?

_____ Yes X None Reported

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

Unmodified

Any audit findings disclosed that are required to be
reported in accordance with 2CFR 200.516(a)?

_____ Yes X No

Identification of major programs:

CFDA Number(s)
Various

Name of Federal Program or Cluster
Research and Development Cluster

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

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

**SECTION 2 - FINDINGS RELATED TO THE FINANCIAL STATEMENTS THAT ARE REQUIRED TO BE
REPORTED IN ACCORDANCE WITH GAGAS.**

None

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

None

UNIVERSITY OF KANSAS CENTER FOR RESEARCH, INC.
SCHEDULE OF PRIOR YEAR FINDINGS AND QUESTIONED COSTS
For the year ended June 30, 2016

There were no findings for the year ended June 30, 2015.

Officer	Class (term ending)	Last Name	First Name
Exec Comm	2019	Alexander	Perry
	2018	Baker	Stan
	2018	Barohn	Rick
Vice-Chair	ex-officio	Bendapudi	Neeli
Exec Comm	2017	Branicky	Michael
	2019	Brill	Ann
	2020	Campbell	Sam
	2017	Carter	Wayne
President	ex-officio	Colombo	John
Exec Comm	2019	Epp	LaVerne
	2017	Erickson	Jon
	2020	Flannery	Joe
	2020	Flynn	Dan
Chair	ex-officio	Girod	Doug
Sec'y-Treas	ex-officio	Goddard	Diane
	2018	Goldstein	Bob
	2017	Haggart	Ted
	2018	Jernigan	Cheryl
	2019	Johnson	Donna
University Chief Financial Officer	ex-officio	Julian	Leisa
Exec Comm	2020	Kelly	Steve
	2019	Kurtz	Nathan
Exec Comm	2018	Lejuez	Carl
	2019	Lewis	Adrian
	2017	Lieberman	Alice
	2020	McElwain	Larry
	2018	Moore Dorsey	Kristi
Vice-President	ex-officio	Nagel	Julie
	2020	Negahban	Shahin
	2019	Neufeld	Kristi
Exec Comm	2018	O'Leary	Rosemary
Exec Comm	2019	Otten	Jim
	2019	Peck	Michael
Exec Comm	2018	Picking	Bill
	2017	Schaub	Sherry
	2017	Schoneich	Christian
	ex-officio	Seuferling	Dale
Exec Comm	2020	Soper	Steve
	2018	Spratt	Sharon
	2020	Tamerler	Candan
Vice-President	ex-officio	Torres	Rodolfo
	2017	Ward	Joy
	2020	Wu	Judy

Terry D. Moore

3658 SE Tomahawk Dr., Tecumseh, KS 66542
(785) 864-8938 (W), E-mail: terrym@ku.edu

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

Program Director and founder of the Results Oriented Management (ROM) project, an innovative web-based data reporting system for social services that supports managing day-to-day operations and program improvement efforts. The project's major focus has been on supporting public child welfare agencies, but has also responded to the reporting needs of other social services including juvenile justice and mental health. Principal Investigator of ROM projects from 2004 in 14 states including: Connecticut, Montana, Maine, Kansas, Iowa, Washington, Oregon, Ohio, Colorado, New Hampshire, Missouri, Vermont, Washington, and Wyoming.

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 of several research project on mental health services to children in foster care:
 - Focus Study - Inpatient Psychiatric Care for Children and Youth: Precipitants & Predictors of Admissions & Readmissions
 - Focus Study - Mental Health Services For Children in Foster Care Under the PAHP
 - Focus 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 3 year Department of Health and Human Services, Administration for Children and Families federal grant for "Building Analytical Capacity for Child Welfare Programs in State Systems"
- Co-PI of 3 year Department of Health and Human Services, Administration for Children and Families for "Training for Managers and Supervisors to Enhance Their Capability to Understand and to Implement the Adoption and Safe Families Act of 1997". Training developed was entitled Results-Oriented Management in Child Welfare.
- 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 the 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

Johnson-Motoyama, M.J., Moore, T.D., Damman, J.L. & Rudlang-Perman, K. (2017). Harnessing administrative data to monitor racial/ethnic disparities and disproportionality within child welfare agencies. *Journal of Public Child Welfare*, DOI: [10.1080/15548732.2017.1301842](https://doi.org/10.1080/15548732.2017.1301842).

Moore, T., McDonald, T.P.; Cronbaugh-Auld, Kari (2016). Assessing Risk of Placement Instability to Aid Foster Care Placement Decision Making, *Journal of Public Child Welfare*, 26 January 2016, DOI: [10.1080/15548732.2016.1140697](https://doi.org/10.1080/15548732.2016.1140697).

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

Poertner, J., Moore, T. & McDonald, T.P. (2006). Managing for Outcomes: The Selection of Sets of Outcome Measures. *Administration in Social Work*, 17 September 2008, Vol.32(4), p.5-22 [Peer Reviewed Journal]

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.

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*, Vol.25(8), pp.633-650 [Peer Reviewed Journal]

Moore T.D., Rapp C.A., Roberts, B. (2000). Improving Child Welfare Performance Through Supervisory Use of Client Outcomes Data, *Child Welfare*, Vol. 79(5), p.475-97

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.

CONTRACTOR NAME

Key Personnel

Name	Job Title	Salary	% Paid from this Contract	Amount Paid from this Contract
Terry Moore	ROM Director	\$101,900	6%	\$6,120



Nicholas A. Toumpas
Commissioner

Mary Ann Cooney
Associate Commissioner

FEB12'15 PM 2:08 DAS

4v 9

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
			Total:	\$61,200

EXPLANATION

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

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

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

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

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

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

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


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

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

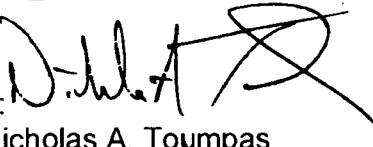
Area Served: Statewide.

Source of Funds: 100% General Funds.

Respectfully submitted,



Mary Ann Cooney
Associate Commissioner

Approved By: 
Nicholas A. Toumpas
Commissioner



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

Steven J. Kelleher
Acting Commissioner

February 4, 2014

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

Dear Commissioner Toumpas:

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

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

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

Sincerely,

A handwritten signature in black ink 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)

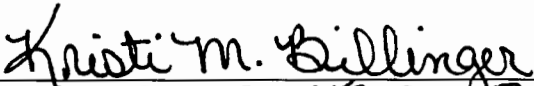
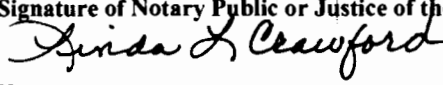
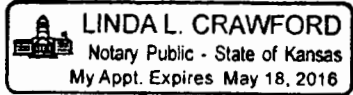
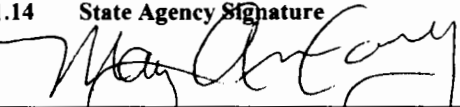
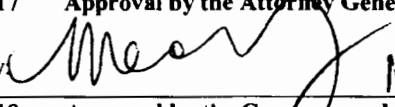
CONTRACT 2014-138
AGREEMENT - PART 1

AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name Department of Health & Human Services Division for Children, Youth & Families		1.2 State Agency Address 129 Pleasant St Concord, NH 03301	
1.3 Contractor Name University of Kansas Center for Research, Inc.		1.4 Contractor Address 2385 Irving Hill Road Lawrence, KS 66045	
1.5 Contractor Phone Number (785) 864-3441	1.6 Account Number	1.7 Completion Date June 30, 2019	1.8 Price Limitation \$61,200
1.9 Contracting Officer for State Agency Eric D. Borrin		1.10 State Agency Telephone Number (603) 271-9558	
1.11 Contractor Signature 		1.12 Name and Title of Contractor Signatory Kristi Billinger Director, Research Administration	
1.13 Acknowledgement: State of <u>KS</u> , County of <u>Douglas</u> On <u>1-19-2014</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.			
1.13.1 Signature of Notary Public or Justice of the Peace  [Seal]			
1.13.2 Name and Title of Notary or Justice of the Peace			
1.14 State Agency Signature 		1.15 Name and Title of State Agency Signatory Mary Ann Cooney Associate Commissioner	
1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.17 Approval by the Attorney General (Form, Substance and Execution) By:  On: <u>Megan A. York - Attorney</u> <u>2/10/15</u>			
1.18 Approval by the Governor and Executive Council By: _____ On: _____			

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

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

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

5. CONTRACT PRICE/PRICE LIMITATION/PAYMENT.

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

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

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

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

7. PERSONNEL.

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

8. EVENT OF DEFAULT/REMEDIES.

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

8.1.1 failure to perform the Services satisfactorily or on schedule;

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

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

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

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

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

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

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

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

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

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

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

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

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

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

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

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

14. INSURANCE.

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

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

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

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

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

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.

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

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Contract Managers	The persons identified by the State and the Vendor who shall be responsible for all contractual authorization and administration of the Contract. These responsibilities shall include but not be limited to processing Contract Documentation, obtaining executive approvals, tracking costs and payments, and representing the parties in all Contract administrative activities. (See Section 4: <i>Contract Management</i>)
Contracted Vendor/Vendor	The Vendor whose proposal or quote was awarded the Contract with the State and who is responsible for the Services and Deliverables of the Contract.
Conversion Test	A test to ensure that a Data conversion process correctly takes Data from a legacy system and successfully converts it to a form that can be used by the new System.
COTS	Commercial off the Shelf
Cure Period	The thirty (30) day period following written notification of a default within which a contracted vendor must cure the default identified.
Custom Code	Code developed by the Vendor specifically for this project for the State of New Hampshire
Custom Software	Software developed by the Vendor specifically for this project for the State of New Hampshire
Data	State's records, files, forms, Data and other documents or information, in either electronic or paper form, that will be used /converted by the Vendor during the Contract Term
DBA	Database Administrator
Deficiencies/Defects	<p>A failure, deficiency or defect in a Deliverable resulting in a Deliverable, the Software, or the System, not conforming to its Specifications.</p> <p>Class A Deficiency – <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>Class B Deficiency – <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>Class C Deficiency – <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>
Deliverable	A Deliverable is any Written, Software, or Non-Software Deliverable (letter, report, manual, book, other), provided by the

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

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

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

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

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

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INTRODUCTION

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

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

RECITALS

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

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

The parties therefore agree as follows:

1. CONTRACT DOCUMENTS

1.1. CONTRACT DOCUMENTS

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

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

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Exhibit O- Certificates and Attachments

1.2. ORDER OF PRECEDENCE

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

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

1.3. CONTRACT TERM

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

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

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

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

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

2. COMPENSATION

2.1. CONTRACT PRICE

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

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

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

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

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

3. CONTRACT MANAGEMENT

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

3.1. THE VENDOR'S CONTRACT MANAGER

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

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

3.2. THE VENDOR'S PROJECT MANAGER

3.2.2 Contract Project Manager

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

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

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

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

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

3.2.5 The Contract Project Manager is:

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

3.3. THE CONTRACTED VENDOR KEY PROJECT STAFF

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

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

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

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

The Contracted Vendor's Key Project Staff:

Key Member(s)

Title

Terry Moore

Director of Results
Oriented Management

3.4. STATE CONTRACT MANAGER

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

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

3.5. STATE PROJECT MANAGER

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

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

The State Project Manager is:

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

3.6. REFERENCE AND BACKGROUND CHECKS

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

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4. DELIVERABLES

4.1 Vendor Responsibilities

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

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

4.2 Deliverables and Services

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

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

4.3 Non-Software and Written Deliverables Review and Acceptance

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

4.4 System/Software Testing and Acceptance

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

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4.5 Security

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

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

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

5. SOFTWARE

RESERVED

6. WARRANTY

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

7. SERVICES

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

7.1 Administrative Services

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

7.2 Implementation Services

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

7.3 Testing Services

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

8. CHANGE ORDERS

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

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

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

9. INTELLECTUAL PROPERTY

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

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

10.1 State's Data

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

10.2 Vendor's Materials

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

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

10.3 State Website Copyright

WWW Copyright and Intellectual Property Rights

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

10.4 Survival

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

10. USE OF STATE'S INFORMATION, CONFIDENTIALITY

11.1 Use of State's Information

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

11.2 State Confidential Information

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

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

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

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

11.3 Vendor Confidential Information

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

11.4 Survival

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

12. LIMITATION OF LIABILITY

12.1. STATE

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

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

12.2. THE VENDOR

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

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

12.3. STATE'S IMMUNITY

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

12.4. SURVIVAL

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

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13. TERMINATION

This Section 13 shall survive the termination or Contract Conclusion.

13.1. TERMINATION FOR DEFAULT

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

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

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

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

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

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

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

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

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

13.5. TERMINATION FOR CONVENIENCE

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

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

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

13.6. TERMINATION FOR CONFLICT OF INTEREST

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

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

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

13.7. TERMINATION PROCEDURE

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

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

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

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

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

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

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

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

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

14. CHANGE OF OWNERSHIP

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

15. ASSIGNMENT, DELEGATION AND SUBCONTRACTS

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

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

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

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

16. DISPUTE RESOLUTION

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

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

16.1. Dispute Resolution Responsibility and Schedule Table

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

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

17. CODE

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

18. GENERAL PROVISIONS

18.1. Travel Expenses

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

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

18.2. Shipping and Delivery Fee Exemption

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

18.3. Project Workspace and Office Equipment

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

18.4. Access/Cooperation

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

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

18.5. Required Work Procedures

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

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18.6. Computer Use

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

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

18.7. Email Use

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

18.8. Internet/Intranet Use

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

18.9. Regulatory Government Approvals

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

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18.10. Force Majeure

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

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

18.11. Insurance

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

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

18.12. Exhibits

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

18.13. Survival

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

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CONTRACT DELIVERABLES

1. DELIVERABLES, MILESTONES AND ACTIVITIES

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

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

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

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

2. DELIVERABLES, MILESTONES, AND ACTIVITIES SCHEDULE

2.1 Implementation Schedule – Activities / Deliverables / Milestones

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

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

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

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EXHIBIT B
PRICE & PAYMENT SCHEDULE**

1. DELIVERABLE PAYMENT SCHEDULE

1.1. Firm Fixed Price

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

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

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

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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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EXHIBIT B
PRICE & PAYMENT SCHEDULE**

Lawrence, KS 66045-7563
kucrct@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 Contractor's 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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EXHIBIT D
ADMINISTRATIVE SERVICES**

1. STATE MEETINGS AND REPORTS

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

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

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

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

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

2. STATE-OWNED DOCUMENTS AND DATA

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

3. RECORDS RETENTION AND ACCESS REQUIREMENTS

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

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

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

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

4. ACCOUNTING REQUIREMENTS

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

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IMPLEMENTATION SERVICES

RESERVED

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EXHIBIT E-1
SECURITY AND INFRASTRUCTURE**

1. SECURITY

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

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TESTING SERVICES**

The Vendor shall provide the following products and services, which include but are not limited to:

1. TESTING AND ACCEPTANCE

1.1 Security Review and Testing

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

All components of the Software shall be reviewed and tested to ensure they protect the State's data assets.

Tests shall focus on the technical, administrative and physical security controls that have been designed into the system architecture in order to provide the necessary confidentiality, integrity and availability. Tests shall, at a minimum, cover each of the service components. Test procedures may include Penetration Tests (pen test) or Code Analysis and Review.

Service Component	Defines the set of capabilities that:
Identification and Authentication	Supports obtaining information about those parties attempting to log onto a system or application for security purposes and the validation of users
Access Control	Supports the management of permissions for logging onto a computer or network
Encryption	Supports the encoding of data for security purposes
Intrusion Detection	Supports the detection of illegal entrance into a computer system
Verification	Supports the confirmation of authority to enter a computer system, application or network
Digital Signature	Guarantees the unaltered state of a file
User Management	Supports the administration of computer, application and network accounts within an organization.
Role/Privilege Management	Supports the granting of abilities to users or groups of users of a computer, application or network
Audit Trail Capture and Analysis	Supports the identification and monitoring of activities within an application or system
Input Validation	Ensures the application is protected from buffer overflow, cross-site scripting, SQL injection, and unauthorized access of files and/or directories on the server.

The Vendor must acknowledge its responsibilities for security testing.

The Vendor may be required to provide 3rd party testing. All Software and hardware shall be free of malicious code (malware).

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MAINTENANCE AND SUPPORT SERVICES

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EXHIBIT H
REQUIREMENT RESPONSES

Table C-2 General System Requirements

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

University of Kansas Security Standards

The primary information can be found at:

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

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

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

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CONSOLIDATED EXHIBITS - PART 3
EXHIBIT H
REQUIREMENT RESPONSES**

<p>KU Card Center - Request for Release of Photo</p> <p>KU Card Center - Terms and Conditions of the KU Card</p> <p>KU Libraries: Access, Circulation, and Request Services - Requirements for KU Students, Faculty, Staff, and Affiliates on the Lawrence and Edwards Campuses</p> <p>KU Libraries: Access, Circulation, and Request Services for KU Faculty, Staff, and Affiliates</p> <p>KU Libraries: Access, Circulation, and Request Services for KU Graduate Students</p> <p>KU Libraries: Access, Circulation, and Request Services for KU Undergraduate and Law Students</p> <p>KU Libraries: Code of Conduct for Library Users</p> <p>Library Services for Other Users</p> <p>Maintenance of Alumni Records</p> <p>Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs</p> <p>Open Access Policy for University of Kansas Scholarship</p> <p>Records Retention Schedule</p> <p>Requests for Alumni Records</p> <p>Safety and Security of Funds</p> <p>Student Record Policy Primary Records Custodians</p> <p>Student Records Policy: Office of the University Registrar</p> <p>Systems Development Life Cycle (SDLC) Policy</p> <p>Systems Development Life Cycle (SDLC) Standard</p> <p>Undergraduate Admission Records Retention Policy: Office of Admissions and Scholarships</p> <p>Virtual Private Network (VPN) Remote Access Procedure</p> <p>Virtual Private Network (VPN) Service on the University of Kansas Data Network</p>	<p>Identity Theft Prevention Program</p> <p>Information Access Control Policy</p> <p>Information Technology Security Policy</p> <p>Instructions for a lost, stolen, or damaged KU Card</p> <p>KU Card Center - Disclosure Statement</p> <p>KU Card Center - Report KU Card Lost or Stolen</p> <p>KU Card Center - Request for Release of Photo</p> <p>KU Libraries: Code of Conduct for Library Users</p> <p>KU Libraries: Privacy and Confidentiality</p> <p>KUMC Computer Security Incident Response</p> <p>KUMC Computer Security Policy</p> <p>KUMC Gramm-Leach-Bliley Act</p> <p>KUMC Mobile Device Security</p> <p>KUMC Password Policy</p> <p>KUMC Payment Card Acceptance</p> <p>KUMC Secure Application Development</p> <p>KUMC Sensitive Information in Electronic and Paper-Based Systems</p> <p>KUMC Vulnerability Management</p> <p>KUMC Working with Vendor Systems</p> <p>Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs</p> <p>Password Policy</p> <p>Privacy Policy, General</p> <p>Privacy Policy: Counseling and Psychological Services</p> <p>Record Confidentiality</p> <p>Records Retention Schedule</p> <p>Roles and Responsibilities for Information Management Policy</p> <p>Safety and Security of Funds</p> <p>Security Policy Procedure: Risk and Vulnerability Guidelines</p> <p>Security Policy: Assessment for Local IT Environments and Outline for Risk and Vulnerability Assessments</p> <p>Student Record Policy Primary Records Custodians</p> <p>Student Records Policy: Office of the University Registrar</p> <p>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 ..
Information Technology Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff Acceptable Use of Electronic Information Resources Access to Libraries Services, Policies on Blackboard, Policies and Procedures Related to Use of, University of Kansas Code of Conduct for Library Users, KU Libraries Content Management System Policy Data Center and Server Room Policy Data Center and Server Room Standards Electronic Mail Policy Internet-Based Credit Card Processing Policy KUMC Computer Equipment Disposal and Media Sanitization KUMC Copyright Policy and Guidelines KUMC Email Use KUMC Internet Use KUMC Ownership of Computing Hardware and Software KUMC Roles of Technical Support Associates KUMC Social Media KUMC Software Licensing KUMC Student Email Use KUMC Web Resource Accessibility KUMC Web Server Appropriate Use KUMC Working with Vendor Systems Mobile Communication & Information Devices Network Policy Server Registration & Centralization Telecommunications Physical Infrastructure Telecommunications Wiring Policy Unauthorized Peer-to-Peer File Sharing Visual Identity (Web Standards) Manual for the University of Kansas Wireless Local Area Network (LAN) Systems Policy	

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

Specific Documents:

Data Classification and Handling Policy

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

Data Classification and Handling Guide

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

Data Center and Server Room Policy

https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Policy.htm

Data Center and Server Room Standards

https://documents.ku.edu/policies/IT/DataCenterandServerRoom_Standards.htm

Data Disposal Policy

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

Data Disposal Procedure

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

Information Access Control Policy

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

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 GRANTEEES 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-1.)
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

12/19/14
Date

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



**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 Order 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

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

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

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Rev 10/21/14

Page 2 of 2

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



Exhibit I

HEALTH INSURANCE PORTABILITY ACT
BUSINESS ASSOCIATE AGREEMENT

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

(1) Definitions.

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

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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

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Date 12/19/14



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

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Exhibit I

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

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

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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.



Exhibit I

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

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

N.H.D.H.S.
The State
[Signature]
Signature of Authorized Representative
MaryAnn Conery
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

Contractor Initials *KMB*
Date 12/19/14

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