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STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR BEHAVIORAL HEALTH
BUREAU OF MENTAL HEALTH SERVICES

Jeffrey A. Meyers
Commissioner

Katja S. Fox
Director

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www.dhhs.nh.gov

September 14, 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 Behavioral Health, Bureau of Mental Health Services, to enter into a **sole source** agreement with Antioch University New England, Vendor # (TBD), 40 Avon St, Keene, NH 03431, in an amount not to exceed \$146,661.05, to provide technical assistance in the development of a new 10 year Plan for Mental Health Services, effective October 1, 2017 or date of Governor and Council approval, through June 30, 2018. 100% Federal Funds.

Funds are available in the following account for SFY 2018, with authority to adjust amounts within the price limitation and adjust encumbrances through the Budget Office if needed and justified, without approval from Governor and Executive Council.

05-095-049-490510-29850000 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS: COMM-BASED CARE SVCS, HHS: COMM-BASED CARE SVC DIV, BALANCE INCENTIVE PROGRAM BIP

Fiscal Year	Class/Account	Class Title	Job Number	Total Amount
SFY 2018	102-500731	Contracts for Prog Svc	49053316	\$146,661.05
			Total	\$146,661.05

EXPLANATION

During the 2017 Legislative Session, a new law, Chapter 112:2 (HB 400) was passed directing the Department to develop a 10 year plan for Mental Health Services. In order to conduct a robust stakeholder process, the Department needs resources to facilitate coordination efforts. The contract is **sole source** due to Antioch's ability to assist the Department within the given timeframes of the new law; its experience in the mental health field on similar issues in the mental health field in the State, and the team of expertise Antioch has assembled to assist the Department in the development of the plan.

Funds in this agreement will be used to support research on innovative models of care, the convening of stakeholders in workgroups and focus groups, and ongoing technical assistance to the Department through the plan development.

The scope of work includes:

1) Stakeholder engagement:

The Department will establish a representative, high-level group of stakeholders to serve as an Advisory Team for the duration of the project. This group will provide input on high-level decisions. The Department will also convene workgroups to seek input on potential strategies once high priority areas have been identified through a needs assessment, and potential promising/innovative practices have been implemented in other states. Stakeholders will also be engaged through focus groups to ensure that the voices of all sectors and regions of the state are heard.

2) Needs assessment/gap analysis:

The needs assessment/gap analysis will be aligned with the independent evaluation being conducted as a result of another provision of the new law, which is examining the inpatient psychiatric bed capacity needs for behavioral health. The needs/gaps analysis also will take into account: the System of Care law (RSA 135-F) that addresses the needs of children with behavioral health challenges; Children's Behavioral Health Collaborative Plan; Building Capacity Transformation Waiver (Delivery System Reform Incentive Program); and other health-related initiatives. Antioch will work with the Department to identify and prioritize targets for a federal technical assistance request to the Substance Abuse and Mental Health Services Administration.

3) Final reporting:

Antioch will synthesize the information acquired over the course of the project to develop the plan through the needs assessment, innovative evidence-based practices from the literature/national experts and other states and input from stakeholders and the Advisory Team. The final plan will focus on cutting edge models for a robust and comprehensive prevention, treatment, and recovery system for the current and future of behavioral health service delivery. The plan will address programmatic needs to ensure timely access to services in the appropriate, least restrictive, and most integrated settings. The Plan will also address resource needs, use, and inefficiencies; system redundancies and potential reallocations; integration across multi-service providers; and quality of service and delivery. Finally, the Plan will include a detailed system-change process and implementation guidance, including implementation strategies looking at phases or process steps that will allow for the practical and systemic implementation of the system over a 10-year period; including milestones and markers of progress.

Should Governor and Executive Council not authorize this request the State will not have the resources needed to develop a robust strategic plan for the mental health system.

The following performance measures will be used to measure the effectiveness of the agreement:

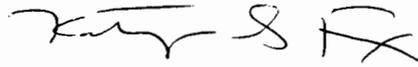
- Convene representative advisory group
- Review extant information
- Identify gaps in extant information
- Conduct additional data collection, analysis
- Conduct needs/gap assessment
- Identify promising/innovative practices

Area served: Statewide

Source of Funds: 100% Federal Funds from Centers for Medicare and Medicaid Services Balancing Incentive Program, Catalog of Federal Domestic Assistance (CFDA) #93.778, Federal Award Identification Number (FAIN) #05-1505NHBIPP.

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

Respectfully submitted,



Katja S. Fox
Director

Approved by:



Jeffrey A. Meyers
Commissioner

Subject: SS-2018-DBH-03-TENYR (10-Year Plan Facilitation)

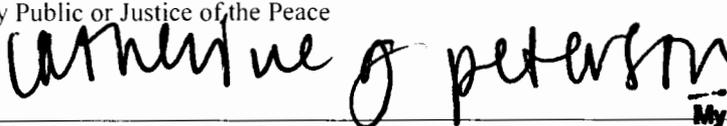
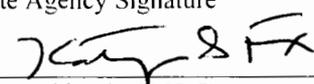
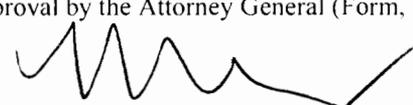
Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name NH Department of Health and Human Services		1.2 State Agency Address 129 Pleasant Street Concord, NH 03301-3857	
1.3 Contractor Name Antioch University, dba Antioch University New England		1.4 Contractor Address 40 Avon Street Keene, NH 03431	
1.5 Contractor Phone Number 603-283-2101	1.6 Account Number 05-95-049-790510-2985-102-500731	1.7 Completion Date June 30, 2018	1.8 Price Limitation \$ 146,661.05
1.9 Contracting Officer for State Agency E. Maria Reinemann, Esq. Director of Contracts and Procurement		1.10 State Agency Telephone Number 603-271-9330	
1.11 Contractor Signature 		1.12 Name and Title of Contractor Signatory Barbara V. Andrews, PhD Interim Provost, AUNE	
1.13 Acknowledgement: State of NH , County of Cheshire On 9.14.17 , before the undersigned officer, personally appeared the person identified in block 1.11, and acknowledged that s/he executed this document indicated in block 1.12.			
1.13.1 Signature of Notary Public or Justice of the Peace [Seal] 		 CATHERINE G. PETERSON Notary Public - New Hampshire My Commission Expires November 16, 2021	
1.13.2 Name and Title of Notary or Justice of the Peace			
1.14 State Agency Signature  Date: 9/15/17		1.15 Name and Title of State Agency Signatory Katja S. Fox, Director	
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) (if applicable) By:  On: Megan A. Fox - Attorney 9/15/17			
1.18 Approval by the Governor and Executive Council (if applicable) 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, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement as indicated in block 1.18, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.14 ("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. This may include the requirement to utilize auxiliary aids and services to ensure that persons with communication disabilities, including vision, hearing and speech, can communicate with, receive information from, and convey information to the Contractor. 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

Contractor Initials
Date 9/14/17

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 notice and consent of the State. None of the Services shall be subcontracted by the Contractor without the prior written notice and 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 \$1,000,000 per occurrence and \$2,000,000 aggregate; and

14.1.2 special cause of loss coverage form 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 thirty (30) 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 provide the Contracting Officer identified in block 1.9, or his or her successor, no less than thirty (30) 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 unless no

such approval is required under the circumstances pursuant to State law, rule or policy.

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.



Scope of Services

1. Provisions Applicable to All Services

- 1.1. The Contractor will submit a detailed description of the language assistance services they will provide to persons with limited English proficiency to ensure meaningful access to their programs and/or services within ten (10) days of the contract effective date.
- 1.2. The Contractor agrees that, to the extent future legislative action by the New Hampshire General Court or federal or state court orders may have an impact on the Services described herein, the State Agency has the right to modify Service priorities and expenditure requirements under this Agreement so as to achieve compliance therewith.

2. Scope of Work

- 2.1. The purpose of the Agreement is to facilitate development of New Hampshire's 10-year mental health system plan for the Department. Development of the plan shall include, but is not limited to:
 - 2.1.1. Primarily target adults and children in need of mental health care in New Hampshire;
 - 2.1.2. Items as depicted in New Hampshire's House Bill 400.
- 2.2. The Contractor shall provide facilitation of the development of the plan by working with community partners as stakeholders, including, but not limited to:
 - 2.2.1. Provider organizations;
 - 2.2.2. Associations;
 - 2.2.3. Advocates; and
 - 2.2.4. Schools.
- 2.3. The Contractor shall provide recommendations aimed to improve behavioral health practice, integration within healthcare settings and outcomes which shall include, but not limited to the principles of:
 - 2.3.1. Resiliency and recovery;
 - 2.3.2. System of Care;
 - 2.3.3. Evidence-based practice, effectiveness and efficiency;
 - 2.3.4. Trauma training;
 - 2.3.5. Sensitivity.
- 2.4. The Contractor shall conduct a needs assessment which shall include, but not be limited to:
 - 2.4.1. An inventory of existing services;

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Exhibit A

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- 2.4.2. Housing supports;
 - 2.4.3. Peer supports; and
 - 2.4.4. Family supports.
 - 2.5. The Contractor shall conduct a gap analysis to determine the need versus the current capacity of services. This analysis shall take into account wait-times for services.
 - 2.6. The Contractor shall focus on a population health approach to integrate the mental health system with other systems of care, including, but not limited to medical services, substance use services and social services.
 - 2.7. The Contractor shall provide recommendations which shall include, but not be limited to:
 - 2.7.1. Eliminating or reducing, to the greatest extent practicable, the number of persons waiting in hospital emergency departments; and
 - 2.7.2. Recommending resources necessary to implement and meet those goals.
 - 2.8. The Contractor shall have a final product available to start approximately on April 1, 2018, ending with the final deliverable no later than June 30, 2018.
 - 2.9. Final reporting.
 - 2.9.1. Final reporting shall be provided no later than July 1, 2018.

3. Staffing

- 3.1. The Contractor shall provide sufficient staff to perform all tasks specified in this Contract. This includes identifying a 'back up' to the primary staff person when they are not available.
- 3.2. The Contractor shall have two (2) agency staff persons to serve as project leaders who shall have experience as external facilitators and evaluators on statewide and regional behavioral health projects.
- 3.3. The Contractor shall have two (2) agency staff persons to serve as consultants:
 - 3.3.1. One (1) consultant shall provide expertise in integrating behavioral health within healthcare settings;
 - 3.3.2. One (1) consultant shall provide expertise in trauma training and sensitivity, within the community mental health and school systems.
- 3.4. The Contractor shall have one (1) agency staff person or consultant to serve as project coordinator who shall have skills which include, but are not limited to:
 - 3.4.1. Strong relationship skills;
 - 3.4.2. Strong facilitation skills; and
 - 3.4.3. Strong project management skills.
- 3.5. The Contractor shall have one (1) agency staff person or consultant to serve as analyst who will conduct additional analyses of archival data and expert consultation on state systems.

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9/14/17



Exhibit A

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- 3.6. The Contractor shall maintain a level of staffing necessary to perform and carry out all of the functions, requirements, roles, and duties in a timely fashion to meet the Scope of Work in this Contract.
 - 3.7. The Contractor shall ensure that personnel are accessible during normal DHHS business hours, Monday through Friday, 8 AM to 5 PM.

4. Project Plan

- 4.1. Stakeholder engagement shall include, but not limited to:
 - 4.1.1. A representative, high-level group of stakeholders to serve as an Advisory Team for the duration of the project;
 - 4.1.2. Stakeholder Advisory Team will serve as a sounding board for BMHS, BCBH and BHI;
 - 4.1.3. Stakeholder Advisory Team will provide input on high-level decisions;
 - 4.1.4. Stakeholder Advisory Team will meet monthly, beginning in December, 2017, three (3) times in-person and six (6) times via Zoom.
 - 4.1.5. The Contractor will engage with the Stakeholder Advisory Team "on the ground" through focus groups to ensure that the voice of all sectors and regions of the state is heard.
- 4.2. The needs assessment/gap analysis shall include, but not be limited to:
 - 4.2.1. Aligned with the independent evaluation being conducted as a result of the passage of House Bill 400 for inpatient psychiatric bed capacity needs for behavioral health;
 - 4.2.2. Analysis will include, but not be limited to:
 - 4.2.2.1. Taking into account the System of Care law addressing the needs of children with behavioral health challenges;
 - 4.2.2.2. The Children's Behavioral Health Collaborative Plan;
 - 4.2.2.3. The Transformation Waiver (Delivery System Reform Incentive Program); and
 - 4.2.2.4. Other health-related initiatives.
 - 4.2.3. Identify and prioritize targets for a federal technical assistance request from the Substance Abuse and Mental Health Services Administration.
 - 4.2.4. Review relevant information to identify high-leverage information gaps for the needs assessment to be addressed by the Plan, which shall include, but not be limited to:
 - 4.2.5.1. Mental health-related reports;
 - 4.2.5.2. Strategic plans;
 - 4.2.5.3. Needs assessments;
 - 4.2.5.4. Analysis of archival data and original collection;
 - 4.2.5.5. Analysis of new quantitative (surveys) data;
 - 4.2.5.6. Analysis of new qualitative (focus groups) data;

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9/14/17



Exhibit A

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- 4.2.5.7. Potential areas to be addressed by the Plan will be brought to the Advisory Team and the Department for refinement and prioritization.
 - 4.2.5.8. Workgroups will provide input on how to address the final priority areas.

 - 4.2.5. The Plan will address programmatic needs to ensure timely access to services in the appropriate, least restrictive, and most integrated settings.
 - 4.2.6. The Plan will address the following items which shall include, but not be limited to:
 - 4.2.7.1. Resource needs, use, and inefficiencies;
 - 4.2.7.2. System redundancies and potential reallocations;
 - 4.2.7.3. Integration across multi-service providers; and
 - 4.2.7.4. Quality of service and delivery.
 - 4.2.7. The Plan will include a detailed system-change process and implementation guidance which shall include, but not be limited to:
 - 4.2.8.1. Implementation strategies looking at phases or process steps that will allow for the practical and systemic implementation of the system over a 10-year period to a recommended timeline beginning the Project October 1, 2017, which shall include, but not be limited to:
 - a) Begin convening Advisory Team for duration of project;
 - b) Review and identify extant information will take two (2) months;
 - c) Conduct additional data collection and analysis, to be completed January 31, 2018;
 - d) Convene Workgroups beginning early December 2017, with work being completed by March 31, 2018;
 - e) Identify promising/innovative practices early December 2017 and completed by March 31, 2018;
 - f) Conduct needs/ gap assessment, January 1, 2017 through February 1, 2018;
 - g) Final deliverable no later than June 30, 2018.

 - 4.2.8.2. Milestones and markers of progress.
 - 4.2.8. The Contractor's final plan will include, but not be limited to:
 - 4.2.9.1. Focus on cutting edge models for a robust and comprehensive prevention, treatment, and recovery system for the current and future of behavioral health service delivery.
 - 4.2.9.1. Final decision-making authority for Plan content and structure will rest with the Department.

5. Reporting

5.1. The Contractor shall:

- 5.1.1. Maintain compliance with the DHHS security and confidentiality guidelines related to all protected health information such as, but not limited to, Health Insurance Portability Act Business Associate Agreement. (See Exhibit I);

[Handwritten Signature]
9/14/17



Exhibit A

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- 5.1.2. Properly complete and submit all required documentation on appropriate forms supplied by the Department for each individual or service supported by these funds;
 - 5.1.3. Review all documentation for completeness and adherence to reporting protocols to ensure quality of data;
 - 5.1.4. Submit first workgroup report December 31, 2017, and monthly thereafter, for a period of four (4) months;
 - 5.1.5. Submit first promising/innovative practices report December 31, 2017, and monthly thereafter, for a period of four (4) months;
 - 5.1.6. Submit interim reports as requested by the Department; and
 - 5.1.7. Submit final report no later than July 1, 2018.

6. Definitions

- BCBH – Bureau for Children’s Behavioral health
- BHI – Behavioral Health Innovation
- BMHS – Bureau of Mental Health Services
- Department – New Hampshire Department of Health and Human Services
- DBH – Division for Behavioral Health
- DHHS – Department of Health and Human Services

7. Performance Measures

- 7.1. The Contractor shall ensure that following performance indicators are achieved and monitored monthly to measure the effectiveness of the agreement:
- 7.2. Measure 1 – Complete review and identification of information gaps by December 31, 2017.
- 7.3. Measure 2 – Complete data collection and analysis by January 31, 2018.
- 7.4. Measure 3 – Workgroups complete review by March 31, 2018.
- 7.5. Measure 4 – Final synthesis of information no later than July 1, 2018.
- 7.6. The Contractor shall develop and submit to the DHHS, a corrective action plan for any performance measure that was not achieved.



Exhibit B

Method and Conditions Precedent to Payment

- 1) The State shall pay the contractor an amount not to exceed the Form P-37, Block 1.8, Price Limitation for the services provided by the Contractor pursuant to Exhibit A, Scope of Services.
 - 1.1. This contract is funded with funds from the Centers for Medicare and Medicaid Services, Balancing Incentive Program, CFDA #93.778, Federal Award Identification Number (FAIN), 05-1505NHBIPP.
 - 1.2. The Contractor agrees to provide the services in Exhibit A, Scope of Work in compliance with funding requirements. Failure to meet the scope of work may jeopardize the funded contractor's current and/or future funding.
- 2) Payment for said services shall be made monthly as follows:
 - 2.1. Payment shall be on a cost reimbursement basis for actual expenditures incurred in the fulfillment of this agreement, and shall be in accordance with the approved line item.
 - 2.2. The Contractor will submit an invoice in a form satisfactory to the State by the twentieth (20th) working day of each month, which identifies and requests reimbursement for authorized expenses incurred in the prior month. The invoice must be completed, signed, dated and returned to the Department in order to initiate payment. The Contractor agrees to keep records of their activities related to Department programs and services.
 - 2.3. The State shall make payment to the Contractor within thirty (30) days of receipt of each invoice, subsequent to approval of the submitted invoice and if sufficient funds are available. Contractors will keep detailed records of their activities related to DHHS-funded programs and services.
 - 2.4. The final invoice shall be due to the State no later than thirty (30) days after the contract Form P-37, Block 1.7 Completion Date.
 - 2.5. In lieu of hard copies, all invoices may be assigned an electronic signature and emailed to donna.walker@dhhs.nh.gov or invoices may be mailed to:

Donna Walker, Financial Administrator
Department of Health and Human Services
Division of Behavioral Health
105 Pleasant Street
Concord, NH 03301
 - 2.6. Payments may be withheld pending receipt of required reports or documentation as identified in Exhibit A, Scope of Work and in this Exhibit B.
- 3) Notwithstanding paragraph 18 of the General Provisions P-37, changes limited to adjusting amounts between budget line items, related items, amendments of related budget exhibits within the price limitation, and to adjusting encumbrances between State Fiscal Years, may be made by written agreement of both parties and may be made without obtaining approval of the Governor and Executive Council.

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Exhibit B-1 Budget

New Hampshire Department of Health and Human Services

Antioch University dba Antioch University New

Bidder/Contractor Name: England

SS-2018-DBH-03-TENYR (10-Year Plan

Budget Request for: Facilitation)

(Name of RFP)

Budget Period: SFY 2018

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$38,860.00	\$ 18,264	\$ 57,124.20	NICRA = 47% MTDC
2. Employee Benefits	\$5,304.39	\$ 2,493.06	\$ 7,797.45	
3. Consultants	\$ 53,220.00	\$ 23,227.40	\$ 76,447.40	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ -	\$ -	\$ -	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ -	\$ -	\$ -	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ -	\$ -	\$ -	
6. Travel	\$ 3,600.00	\$ 1,692.00	\$ 5,292.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ -	\$ -	\$ -	
Subscriptions	\$ -	\$ -	\$ -	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ -	\$ -	\$ -	
10. Marketing/Communications	\$ -	\$ -	\$ -	
11. Staff Education and Training	\$ -	\$ -	\$ -	
12. Subcontracts/Agreements	\$ -	\$ -	\$ -	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 100,984.39	\$ 45,676.66	\$ 146,661.05	

Indirect As A Percent of Direct

45.2%

Contractor Initials: 

Date: 9/14/17

AUNE DHHS Budget Justification

Budget and Cost Effectiveness

The itemized budget lists and describes all proposed program costs, with justification. All listed costs are necessary to achieve project objectives and allowable per applicable regulations and cost accounting principles. The budget is reasonable in relation to the objectives and scope of the project, and adequate to support required services and activities. The requested costs, in combination with existing Antioch University New England resources, are adequate to successfully complete the project. Antioch University New England has the capability and experience to manage grant awards and provide required monthly invoices.

The budget primarily consists of personnel costs to carry out the project in light of the compressed timeline. The personnel costs include time associated with stakeholder engagement, conducting the needs assessment, culling the literature, report writing, and ongoing technical assistance to the Department. We anticipate travel for the BHI co-leads and evaluator for three in-person meetings with BBH and three in-person meetings with the Advisory Team, in Concord. Additional monthly meetings with BBH/Advisory Board will take place via Zoom videoconferencing. BHI will develop the structure, process, and facilitation plan for work groups and focus groups. They will also train work and focus group facilitators as necessary. The Department will handle arrangements/costs associated with work and focus group facilitation and documentation. It also assumes that the Department will handle the all arrangements/costs associated with graphic design and communication and dissemination of the report.

Organization	Person(s)	Role
Center for Behavioral Health Innovation	Jim Fauth, PhD & George Tremblay, PhD Megan Edwards, PsyD	Project leads and Evaluators
New Hampshire Center for Public Policy Studies	Steve Norton, MPP	Additional analyses of archival data; expert consultation, state systems
Independent Consultants	Louise Weed, MS	Project coordinator, facilitator
	Alexander Blount, Ed.D	Behavioral Health Integration
	Cassie Yackley, PsyD	Trauma Data, State Systems

Drs. Jim Fauth and George Tremblay will be the project leads. They bring decades of experience as external facilitators and evaluators on statewide and regional behavioral health projects. Currently, they serve as external evaluators for more than ten NH-based behavioral health projects. They recently facilitated the development of the Project Plan for Region 1 of NH's Integrated Delivery Networks project under the federal Medicaid Transformation Waiver.

Dr. Alexander Blount will contribute expertise in integrating behavioral health within healthcare settings. Dr. Blount is recognized as a national behavioral health integration thought leader. Together with Drs. Fauth and Tremblay, Dr. Blount recently completed a needs assessment/gap analysis and strategic plan for NH's integrated behavioral health workforce.

Dr. Cassie Yackley is a regional trauma training and sensitivity expert. She will bring her years of experience working and providing technical assistance within the NH Community Mental Health and School systems. Currently, Cassie is bringing trauma sensitivity to community mental health centers, schools, and communities throughout NH.

AUNE will contract with Louise Weed to serve as project coordinator. Louise has a master's degree in health policy and management from the Harvard School of Public Health. She is an experienced quality improvement officer and change agent in healthcare settings with strong relationship, facilitation, and project management skills. Louise now works as an independent consultant.

AUNE will contract with Dr. Steve Norton of the New Hampshire Center for Public Policy Studies to conduct additional analyses of archival data – as necessary – to inform the needs assessment and gap analysis (see below). Steve will also lend his years of experience navigating NH's systems and politics to the project team. Steve is a highly respected and sought after policy analyst in NH.

Personnel		
Co-leads	Drs. Jim Fauth and George Tremblay will dedicate a <i>combined</i> .022 FTE to the project	\$30,360
Sr. Evaluator	Dr. Megan Edwards will dedicate 0.10 FTE to the project	\$8,500
Benefits	Per Antioch University standard benefit package	\$5,304.
Total AUNE Personnel		\$44,164.39
Subcontracts		
Analyst	We will contract with the Steve Norton of the New Hampshire Center for Public Policy Studies to conduct analysis of archival data and expert consultation on state systems	\$12,000
Consultant	Dr. Alexander Blount will dedicate 4 hours per month (.025 FTE) to the project at \$225/hour	\$8,100
Consultant	Dr. Cassie Yackley will dedicate 4 hours per month (.025 FTE) to the project at \$120/hour	\$4,320
Project Coordinator	We will contract with Louise Weed (independent contractor) for project facilitation and coordination IC	\$28,800
Total Subcontracts		\$52,220
Travel		
Meetings and focus groups	We estimate that the project leads and the project coordinator will travel about 200 miles/month from Keene/Boston to Concord to meet with DHHS/BBH (5 round trip meetings in Concord) and the Advisory Team (3 round trip meetings in Concord), as well as attend selected workgroups and focus groups (~5 focus groups, around the state). Approximately 3000 miles, reimbursed at GAO POV rate (\$0.535/mile)	\$3,600
Total Travel		\$1,600
TOTAL DIRECT COSTS		\$100,984.39
INDIRECT COSTS AT 4.5% (MODIFIED TOTAL DIRECT COSTS (FEDERALLY NEGOTIATED INDIRECT COST RATE/AGREEMENT ATTACHED))		\$45,676.66
TOTAL DIRECT PLUS INDIRECT COSTS		\$146,661.05

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1310536640A1

DATE:07/20/2015

ORGANIZATION:

FILING REF.: The preceding agreement was dated 01/14/2010

Antioch University
150 E. South College Street
Yellow Springs, OH 45387-1635

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2014	06/30/2015	45.80	On Campus	All Programs
PRED.	07/01/2015	06/30/2018	47.00	On Campus	All Programs
PRED.	07/01/2015	06/30/2018	21.00	Off Campus	All Programs
PROV.	07/01/2018	06/30/2020			Use same rates and conditions as those cited for fiscal year ending June 30, 2018.

*BASE

Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

ORGANIZATION: Antioch University

AGREEMENT DATE: 7/20/2015

ORGANIZATION: Antioch University

AGREEMENT DATE: 7/20/2015

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

Equipment Definition: Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

FRINGE BENEFITS:

FICA
TIAA/CREF
Disability Insurance
Worker's Compensation
Life Insurance
Unemployment Insurance
Health Insurance
Tuition Remission
Dental Insurance
Long Term Care Insurance

The next indirect cost proposal based on actual results of fiscal year ending 06/30/2017 is due in our office 12/31/2017.

ORGANIZATION: Antioch University

AGREEMENT DATE: 7/20/2015

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

Antioch University

(INSTITUTION)

(SIGNATURE)

(NAME)

(TITLE)

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

(SIGNATURE)

(NAME)

Director, Cost Allocation Services

(TITLE)

7/20/2015

(DATE) 5078

HHS REPRESENTATIVE:

Ernest Kinner

Telephone:

(214) 767-3261

Digitally signed by Arif M. Karim -A
DN: cn=Arif M. Karim -A, o=U.S. Government, ou=HHS, ou=PEO, ou=People,
ou=AppM, cn=Arif M. Karim -A, email=ARIF.M.KARIM@HHS.GOV, c=US
Date: 2015.07.20 17:20:54 -0500



SPECIAL PROVISIONS

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

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. **Time and Manner of Determination:** Eligibility determinations shall be made on forms provided by the Department for that purpose and shall be made and remade at such times as are prescribed by the Department.
3. **Documentation:** In addition to the determination forms required by the Department, the Contractor shall maintain a data file on each recipient of services hereunder, which file shall include all information necessary to support an eligibility determination and such other information as the Department requests. The Contractor shall furnish the Department with all forms and documentation regarding eligibility determinations that the Department may request or require.
4. **Fair Hearings:** The Contractor understands that all applicants for services hereunder, as well as individuals declared ineligible have a right to a fair hearing regarding that determination. The Contractor hereby covenants and agrees that all applicants for services shall be permitted to fill out an application form and that each applicant or re-applicant shall be informed of his/her right to a fair hearing in accordance with Department regulations.
5. **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.
6. **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.
7. **Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractors costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party funders for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party funders, the Department may elect to:
 - 7.1. Renegotiate the rates for payment hereunder, in which event new rates shall be established;
 - 7.2. Deduct from any future payment to the Contractor the amount of any prior reimbursement in excess of costs;



- 7.3. 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.

RECORDS: MAINTENANCE, RETENTION, AUDIT, DISCLOSURE AND CONFIDENTIALITY:

8. **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:
- 8.1. **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, said records to be maintained in accordance with accounting procedures and practices which sufficiently and properly reflect all such costs and expenses, and which are acceptable to the Department, and to include, without limitation, all ledgers, books, records, and original evidence of costs such as purchase requisitions and orders, vouchers, requisitions for materials, inventories, valuations of in-kind contributions, labor time cards, payrolls, and other records requested or required by the Department.
- 8.2. **Statistical Records:** Statistical, enrollment, attendance or visit records for each recipient of services during the Contract Period, which records shall include all records of application and eligibility (including all forms required to determine eligibility for each such recipient), records regarding the provision of services and all invoices submitted to the Department to obtain payment for such services.
- 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.
9. **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.
- 9.1. **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.
- 9.2. **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.
10. **Confidentiality of Records:** All information, reports, and records maintained hereunder or collected in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directly connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is prohibited except on written consent of the recipient, his attorney or guardian.

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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.

11. **Reports:** Fiscal and Statistical: The Contractor agrees to submit the following reports at the following times if requested by the Department.
 - 11.1. Interim Financial Reports: Written interim financial reports containing a detailed description of all costs and non-allowable expenses incurred by the Contractor to the date of the report and containing such other information as shall be deemed satisfactory by the Department to justify the rate of payment hereunder. Such Financial Reports shall be submitted on the form designated by the Department or deemed satisfactory by the Department.
 - 11.2. Final Report: A final report shall be submitted within thirty (30) days after the end of the term of this Contract. The Final Report shall be in a form satisfactory to the Department and shall contain a summary statement of progress toward goals and objectives stated in the Proposal and other information required by the Department.

12. **Completion of Services:** Disallowance of Costs: Upon the purchase by the Department of the maximum number of units provided for in the Contract and upon payment of the price limitation hereunder, the Contract and all the obligations of the parties hereunder (except such obligations as, by the terms of the Contract are to be performed after the end of the term of this Contract and/or survive the termination of the Contract) shall terminate, provided however, that if, upon review of the Final Expenditure Report the Department shall disallow any expenses claimed by the Contractor as costs hereunder the Department shall retain the right, at its discretion, to deduct the amount of such expenses as are disallowed or to recover such sums from the Contractor.

13. **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:
 - 13.1. 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.

14. **Prior Approval and Copyright Ownership:** All materials (written, video, audio) produced or purchased under the contract shall have prior approval from DHHS before printing, production, distribution or use. The DHHS will retain copyright ownership for any and all original materials produced, including, but not limited to, brochures, resource directories, protocols or guidelines, posters, or reports. Contractor shall not reproduce any materials produced under the contract without prior written approval from DHHS.

15. **Operation of Facilities: Compliance with Laws and Regulations:** In the operation of any facilities for providing services, the Contractor shall comply with all laws, orders and regulations of federal, state, county and municipal authorities and with any direction of any Public Officer or officers pursuant to laws which shall impose an order or duty upon the contractor with respect to the operation of the facility or the provision of the services at such facility. If any governmental license or permit shall be required for the operation of the said facility or the performance of the said services, the Contractor will procure said license or permit, and will at all times comply with the terms and conditions of each such license or permit. In connection with the foregoing requirements, the Contractor hereby covenants and agrees that, during the term of this Contract the facilities shall comply with all rules, orders, regulations, and requirements of the State Office of the Fire Marshal and the local fire protection agency, and shall be in conformance with local building and zoning codes, by-laws and regulations.

16. **Equal Employment Opportunity Plan (EEO):** The Contractor will provide an Equal Employment Opportunity Plan (EEO) to the Office for Civil Rights, Office of Justice Programs (OCR), if it has received a single award of \$500,000 or more. If the recipient receives \$25,000 or more and has 50 or

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more employees, it will maintain a current EEOP on file and submit an EEOP Certification Form to the OCR, certifying that its EEOP is on file. For recipients receiving less than \$25,000, or public grantees with fewer than 50 employees, regardless of the amount of the award, the recipient will provide an EEOP Certification Form to the OCR certifying it is not required to submit or maintain an EEOP. Non-profit organizations, Indian Tribes, and medical and educational institutions are exempt from the EEOP requirement, but are required to submit a certification form to the OCR to claim the exemption. EEOP Certification Forms are available at: <http://www.ojp.usdoj/about/ocr/pdfs/cert.pdf>.

17. **Limited English Proficiency (LEP):** As clarified by Executive Order 13166, Improving Access to Services for persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with the Omnibus Crime Control and Safe Streets Act of 1968 and Title VI of the Civil Rights Act of 1964, Contractors must take reasonable steps to ensure that LEP persons have meaningful access to its programs.

18. **Pilot Program for Enhancement of Contractor Employee Whistleblower Protections:** The following shall apply to all contracts that exceed the Simplified Acquisition Threshold as defined in 48 CFR 2.101 (currently, \$150,000)

CONTRACTOR EMPLOYEE WHISTLEBLOWER RIGHTS AND REQUIREMENT TO INFORM EMPLOYEES OF
WHISTLEBLOWER RIGHTS (SEP 2013)

(a) This contract and employees working on this contract will be subject to the whistleblower rights and remedies in the pilot program on Contractor employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239) and FAR 3.908.

(b) The Contractor shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described in section 3.908 of the Federal Acquisition Regulation.

(c) The Contractor shall insert the substance of this clause, including this paragraph (c), in all subcontracts over the simplified acquisition threshold.

19. **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:

- 19.1. Evaluate the prospective subcontractor's ability to perform the activities, before delegating the function
- 19.2. 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
- 19.3. Monitor the subcontractor's performance on an ongoing basis

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- 19.4. Provide to DHHS an annual schedule identifying all subcontractors, delegated functions and responsibilities, and when the subcontractor's performance will be reviewed
- 19.5. 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.

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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REVISIONS TO GENERAL PROVISIONS

1. 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.

2. Subparagraph 10 of the General Provisions of this contract, Termination, is amended by adding the following language:
 - 10.1 The State may terminate the Agreement at any time for any reason, at the sole discretion of the State, 30 days after giving the Contractor written notice that the State is exercising its option to terminate the Agreement.
 - 10.2 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.
 - 10.3 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.
 - 10.4 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.
 - 10.5 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.

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CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.). The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), and require certification by grantees (and by inference, sub-grantees and sub-contractors), prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee (and by inference, sub-grantees and sub-contractors) that is a State may elect to make one certification to the Department in each federal fiscal year in lieu of certificates for each grant during the federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment. Contractors using this form should send it to:

Commissioner
NH Department of Health and Human Services
129 Pleasant Street,
Concord, NH 03301-6505

1. The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - 1.1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - 1.2. Establishing an ongoing drug-free awareness program to inform employees about
 - 1.2.1. The dangers of drug abuse in the workplace;
 - 1.2.2. The grantee's policy of maintaining a drug-free workplace;
 - 1.2.3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 1.2.4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - 1.3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - 1.4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1.4.1. Abide by the terms of the statement; and
 - 1.4.2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - 1.5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 1.4.2 from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency

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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)

40 Avon Street, Keene, Cheshire County, New Hampshire 03431

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

Contractor Name: Antioch University, dba Antioch University
New England

9/14/17
Date

Barbara V. Andrews
Name: Barbara V. Andrews, PhD
Title: Interim Provost, Antioch University New
England



CERTIFICATION REGARDING LOBBYING

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Section 319 of Public Law 101-121, Government wide Guidance for New Restrictions on Lobbying, and 31 U.S.C. 1352, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

US DEPARTMENT OF HEALTH AND HUMAN SERVICES - CONTRACTORS
US DEPARTMENT OF EDUCATION - CONTRACTORS
US DEPARTMENT OF AGRICULTURE - CONTRACTORS

Programs (indicate applicable program covered):

- *Temporary Assistance to Needy Families under Title IV-A
- *Child Support Enforcement Program under Title IV-D
- *Social Services Block Grant Program under Title XX
- *Medicaid Program under Title XIX
- *Community Services Block Grant under Title VI
- *Child Care Development Block Grant under Title IV

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor).
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement (and by specific mention sub-grantee or sub-contractor), the undersigned shall complete and submit Standard Form LLL, (Disclosure Form to Report Lobbying, in accordance with its instructions, attached and identified as Standard Exhibit E-I.)
3. The undersigned shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

Contractor Name: Antioch University, dba Antioch University
New England

9/14/17
Date

Barbara V. Andrews
Name: Barbara V. Andrews, PhD
Title: Interim Provost, Antioch University New
England

Exhibit E – Certification Regarding Lobbying

Contractor Initials

BVA

Date 9/14/17



**CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS**

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Executive Office of the President, Executive Order 12549 and 45 CFR Part 76 regarding Debarment, Suspension, and Other Responsibility Matters, and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal (contract), the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services' (DHHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when DHHS determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, DHHS may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the DHHS agency to whom this proposal (contract) is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549: 45 CFR Part 76. See the attached definitions.
6. The prospective primary participant agrees by submitting this proposal (contract) that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by DHHS.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by DHHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or involuntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List (of excluded parties).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and

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information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, DHHS may terminate this transaction for cause or default.

PRIMARY COVERED TRANSACTIONS

11. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- 11.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - 11.2. have not within a three-year period preceding this proposal (contract) been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or a contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - 11.3. are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (l)(b) of this certification; and
 - 11.4. have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
12. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal(contract).

LOWER TIER COVERED TRANSACTIONS

13. By signing and submitting this lower tier proposal (contract), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:
- 13.1. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - 13.2. where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal(contract).
14. The prospective lower tier participant further agrees by submitting this proposal (contract) that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Contractor Name: Antioch University, dba Antioch University
New England

9/14/17
Date

Barbara V. Andrews
Name: Barbara V. Andrews, PhD
Title: Interim Provost, Antioch University New
England

BA
Date 9/14/17



**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

Contractor Initials

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

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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: Antioch University, dba Antioch University
New England

9/14/17
Date

Barbara V. Andrews
Name: Barbara V. Andrews. PhD
Title: Interim Provost, Antioch University New
England

Exhibit G

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

Contractor Initials BVA
Date 9/14/17



CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

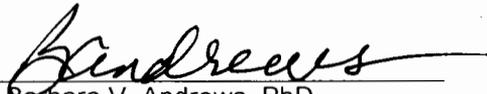
Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, 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: Antioch University, dba Antioch University
New England

Date 9/14/17


Name: Barbara V. Andrews, PhD
Title: Interim Provost, Antioch University New England

Contractor Initials BVA
Date 9/14/17



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

- I. “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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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



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

Bva

9/14/17



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.

BVA

9/14/17



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) l, the defense and indemnification provisions of section (3) e and Paragraph 13 of the standard terms and conditions (P-37), shall survive the termination of the Agreement.

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

Department of Health and Human Services
The State

Katya S Fox
Signature of Authorized Representative

Katya S Fox
Name of Authorized Representative

Director
Title of Authorized Representative

9/14/17
Date

Antioch University, dba Antioch University New England
Name of the Contractor

Barbara V. Andrews
Signature of Authorized Representative

Barbara V. Andrews, PhD
Name of Authorized Representative

Interim Provost, Antioch University New England
Title of Authorized Representative

9/14/17
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: Antioch University, dba Antioch University
New England

9/14/17
Date

Barbara V. Andrews
Name: Barbara V. Andrews, PhD
Title: Interim Provost, Antioch University New
England



FORM A

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: 041969544
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?

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: _____



DHHS INFORMATION SECURITY REQUIREMENTS

1. Confidential Information: In addition to Paragraph #9 of the General Provisions (P-37) for the purpose of this RFP, the Department's Confidential information includes any and all information owned or managed by the State of NH - created, received from or on behalf of the Department of Health and Human Services (DHHS) or accessed in the course of performing contracted services - of which collection, disclosure, protection, and disposition is governed by state or federal law or regulation. This information includes, but is not limited to Personal Health Information (PHI), Personally Identifiable Information (PII), Federal Tax Information (FTI), Social Security Numbers (SSN), Payment Card Industry (PCI), and or other sensitive and confidential information.
2. The vendor will maintain proper security controls to protect Department confidential information collected, processed, managed, and/or stored in the delivery of contracted services. Minimum expectations include:
 - 2.1. Maintain policies and procedures to protect Department confidential information throughout the information lifecycle, where applicable, (from creation, transformation, use, storage and secure destruction) regardless of the media used to store the data (i.e., tape, disk, paper, etc.).
 - 2.2. Maintain appropriate authentication and access controls to contractor systems that collect, transmit, or store Department confidential information where applicable.
 - 2.3. Encrypt, at a minimum, any Department confidential data stored on portable media, e.g., laptops, USB drives, as well as when transmitted over public networks like the Internet using current industry standards and best practices for strong encryption.
 - 2.4. Ensure proper security monitoring capabilities are in place to detect potential security events that can impact State of NH systems and/or Department confidential information for contractor provided systems.
 - 2.5. Provide security awareness and education for its employees, contractors and sub-contractors in support of protecting Department confidential information
 - 2.6. Maintain a documented breach notification and incident response process. The vendor will contact the Department within twenty-four 24 hours to the Department's contract manager, and additional email addresses provided in this section, of a confidential information breach, computer security incident, or suspected breach which affects or includes any State of New Hampshire systems that connect to the State of New Hampshire network.
 - 2.6.1. "Breach" shall have the same meaning as the term "Breach" in section 164.402 of Title 45, Code of Federal Regulations. "Computer Security Incident" shall have the same meaning "Computer Security Incident" in section two (2) of NIST Publication 800-61, Computer Security Incident Handling Guide, National Institute of Standards and Technology, U.S. Department of Commerce.
Breach notifications will be sent to the following email addresses:
 - 2.6.1.1. DHHSChiefInformationOfficer@dhhs.nh.gov
 - 2.6.1.2. DHHSInformationSecurityOffice@dhhs.nh.gov
 - 2.7. If the vendor will maintain any Confidential Information on its systems (or its sub-contractor systems), the vendor will maintain a documented process for securely disposing of such data upon request or contract termination; and will obtain written certification for any State of New Hampshire data destroyed by the vendor or any subcontractors as a part of ongoing, emergency, and or disaster recovery operations. When no longer in use, electronic media containing State of New Hampshire data shall be rendered unrecoverable via a secure wipe program in accordance with industry-accepted standards for secure

New Hampshire Department of Health and Human Services
Exhibit K



deletion, or otherwise physically destroying the media (for example, degaussing). The vendor will document and certify in writing at time of the data destruction, and will provide written certification to the Department upon request. The written certification will include all details necessary to demonstrate data has been properly destroyed and validated. Where applicable, regulatory and professional standards for retention requirements will be jointly evaluated by the State and vendor prior to destruction.

- 2.8. If the vendor will be sub-contracting any core functions of the engagement supporting the services for State of New Hampshire, the vendor will maintain a program of an internal process or processes that defines specific security expectations, and monitoring compliance to security requirements that at a minimum match those for the vendor, including breach notification requirements.
3. The vendor will work with the Department to sign and comply with all applicable State of New Hampshire and Department system access and authorization policies and procedures, systems access forms, and computer use agreements as part of obtaining and maintaining access to any Department system(s). Agreements will be completed and signed by the vendor and any applicable sub-contractors prior to system access being authorized.
4. If the Department determines the vendor is a Business Associate pursuant to 45 CFR 160.103, the vendor will work with the Department to sign and execute a HIPAA Business Associate Agreement (BAA) with the Department and is responsible for maintaining compliance with the agreement.
5. The vendor will work with the Department at its request to complete a survey. The purpose of the survey is to enable the Department and vendor to monitor for any changes in risks, threats, and vulnerabilities that may occur over the life of the vendor engagement. The survey will be completed annually, or an alternate time frame at the Departments discretion with agreement by the vendor, or the Department may request the survey be completed when the scope of the engagement between the Department and the vendor changes. The vendor will not store, knowingly or unknowingly, any State of New Hampshire or Department data offshore or outside the boundaries of the United States unless prior express written consent is obtained from the appropriate authorized data owner or leadership member within the Department.

A handwritten signature in black ink, appearing to be "Bela".

Date 9/14/17

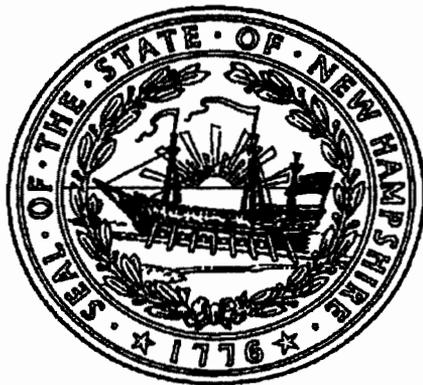
State of New Hampshire

Department of State

CERTIFICATE

I, William M. Gardner, Secretary of State of the State of New Hampshire, do hereby certify that ANTIOCH UNIVERSITY is a Ohio Nonprofit Corporation registered to transact business in New Hampshire on November 04, 1974. I further certify that all fees and documents required by the Secretary of State's office have been received and is in good standing as far as this office is concerned.

Business ID: 239



IN TESTIMONY WHEREOF,
I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 9th day of May A.D. 2017.

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

William M. Gardner
Secretary of State

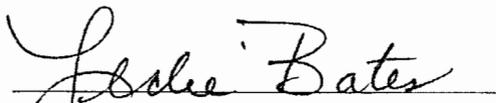
ANTIOCH UNIVERSITY

CERTIFICATE OF VOTE

I, Leslie Bates, do hereby certify that:

1. I am a duly elected Officer of Antioch University;
2. The following is a true copy of the resolution duly adopted at a meeting of the Board of Governors of the University duly held on October 28-29, 2016;

SEE ATTACHED RESOLUTION, which provides contract signatory authority for certain University officers and employees. While it is the Chancellor of Antioch University who is named in the resolution as having the authority to take action, this includes his authority to delegate certain relevant signatory privileges to the Campus Provosts.
3. The foregoing resolution has not been amended or revoked, and remains in full force and effect at least until June 30, 2018; and
4. Barbara Andrews, PhD, is the duly authorized Provost of Antioch University New England.


Leslie Bates

Assistant Secretary of the Corporation

STATE OF Ohio

County of Greene

JUDY OWENS
NOTARY PUBLIC • STATE OF OHIO
Recorded in Cuyahoga County
My commission expires Feb. 5, 2018

The foregoing instrument was acknowledged before me this 14th day of September 2017 by Leslie Bates, Assistant Secretary.

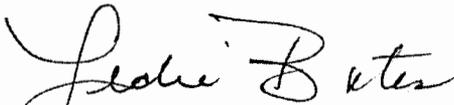
ANTIOCH UNIVERSITY

Office of the Chancellor | 900 Dayton Street, Yellow Springs, OH 45387 | 937-769-1345

September 14, 2017

I, Leslie Bates, do hereby certify that I am the duly appointed, qualified, and current Assistant Secretary of Antioch University, Greene County, Ohio, and that I am duly authorized to execute this certificate; and do hereby certify that Barbara Andrews, PhD, is the duly appointed, qualified, and current Provost of Antioch University, and is authorized to take action on behalf of Antioch University (reference Resolution 10.29.16:8, attached), such authority delegated to her as Provost by the Chancellor.

Witness my hand this 14th Day of September 2017.



Leslie Bates
Assistant Secretary, Antioch University

RESOLUTION
10.29.16:8

WHEREAS, Antioch University enters into numerous contracts of varying amounts for a wide range of services and goods; and

WHEREAS, due to the recent structural reorganization of the University, there is a need to update and describe

1. who has authority to enter into legally binding agreements on behalf of the University;
2. expenditure limits associated with that authority; and
3. the criteria for delegation of any signatory authority.

WHEREAS, the existing Expenditure, Contract and Signature Authority Policy, Policy 2.403 has been amended to accomplish these needs; and

WHEREAS, the Executive Committee of the Board of Governors reviewed a draft of Policy 2.403 at its meeting on September 30, 2016.

WHEREAS, the Board of Governors has set forth additional guidance in the document attached and incorporated herein entitled "Guidance for Contract Review by the Board of Governors" which describes how the Board will review contracts for which the Chair of the Board of Governors has signatory authority;

NOW THEREFORE, BE IT RESOLVED, that the Expenditure, Contract and Signature Authority Policy 2.403 is hereby adopted;

RESOLVED FURTHER, that the Board agrees to follow the Guidance for Contract Review by the Board of Governors; and

RESOLVED FURTHER, that the Chancellor of Antioch University is hereby authorized to take all necessary actions to carry out the above resolution.

ANTIOCH UNIVERSITY

NEW ENGLAND

Mission

Antioch University provides learner-centered education to empower students with the knowledge and skills to lead meaningful lives and to advance social, economic, and environmental justice.

Vision

Antioch University aspires to be a leading university offering learners and communities transformative education in a global context that fosters innovation and inspires social action.

Purpose

Antioch University New England provides transformative education through scholarship, innovation, and community action for a just and sustainable society.

Values

Antioch University New England is committed to innovative academic excellence, integrating practice with theory in a collaborative learning environment that is attentive to multiple learning styles.

Antioch University New England believes in ecological stewardship and social justice, cultivating local as well as global perspectives to educate students with diverse backgrounds and opinions to become leaders of change.

Antioch University New England values community engagement: using place-based practices to foster scholarship, activism, and service learning; creating organizational integrity through shared governance.

Antioch University New England is part of Antioch University, a national university with campuses in Keene, New Hampshire, Yellow Springs, Ohio, Seattle, Los Angeles, and Santa Barbara. Now in its 50th year, Antioch University New England provides transformative education through scholarship, innovation, and community action for a just and sustainable society.

Antioch University

Financial Report
June 30, 2016

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RSM US LLP

Independent Auditor's Report

Board of Governors
Antioch University
Yellow Springs, Ohio

Report on the Financial Statements

We have audited the accompanying financial statements of Antioch University (the University) 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 years then ended and the related notes to the financial statements (collectively, 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. 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.

THE POWER OF BEING UNDERSTOOD
AUDIT | TAX | CONSULTING

Independent Auditor's Report (Continued)

Opinion

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

RSM US LLP

Columbus, Ohio
December 13, 2016

Antioch University

**Statements of Financial Position
June 30, 2016 and 2015**

	2016	2015
Assets		
Cash and cash equivalents	\$ 2,220,182	\$ 2,870,899
Accounts receivable:		
Students, net	1,183,976	857,923
Grants	17,251	248,213
Other	576,405	626,830
Notes receivable	18,500,000	-
Prepaid expenses	1,855,967	1,984,764
Loans to students, net	5,164,733	5,398,465
Contributions receivable, net	1,358,885	1,560,978
Investments	23,055,336	27,940,072
Land, buildings, and equipment, net	17,511,535	23,249,091
	\$ 71,444,270	\$ 64,737,235
Liabilities and Net Assets		
Accounts payable	\$ 3,525,080	\$ 1,746,446
Accrued benefit liabilities	1,439,422	1,505,079
Other accrued liabilities	4,355,332	3,632,092
Deferred revenue	5,993,895	6,178,142
Notes and bonds payable	9,216,568	16,746,191
Obligation under capital leases	109,904	-
Deposits held for others	255,342	255,869
Advances from government for student loans	4,919,799	4,960,395
	29,815,342	35,024,214
Net Assets		
Unrestricted	27,903,329	15,602,514
Temporarily restricted	9,011,273	9,591,174
Permanently restricted	4,714,326	4,519,333
	41,628,928	29,713,021
	\$ 71,444,270	\$ 64,737,235

See notes to financial statements.

Antioch University

Statement of Activities
Year Ended June 30, 2016

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains and other support:				
Tuition and fees	\$ 59,325,440	\$ -	\$ -	\$ 59,325,440
Less student aid	(1,716,215)	-	-	(1,716,215)
	57,609,225	-	-	57,609,225
Contributions	632,159	964,995	194,045	1,791,199
Contracts and other exchange transactions	3,780,759	-	-	3,780,759
Investment income	662,783	31,697	948	695,428
Net realized and unrealized loss on investments	(335,806)	(182,311)	-	(518,117)
Sales and service of auxiliary enterprises	202,560	-	-	202,560
Gain on sale of land, buildings and equipment	21,544,914	-	-	21,544,914
Other income	1,108,501	-	-	1,108,501
Total revenues and gains (losses)	85,205,095	814,381	194,993	86,214,469
Net assets released from restrictions	1,394,282	(1,394,282)	-	-
Total revenues, gains (losses), and other support	86,599,377	(579,901)	194,993	86,214,469
Expenses:				
Educational and general:				
Instruction	29,109,079	-	-	29,109,079
Research	159,244	-	-	159,244
Public service	1,945,595	-	-	1,945,595
Academic support	7,335,679	-	-	7,335,679
Student services	5,867,033	-	-	5,867,033
Institutional support	27,006,087	-	-	27,006,087
Scholarships and fellowships	2,557,816	-	-	2,557,816
Total educational and general expenses	73,980,533	-	-	73,980,533
Auxiliary enterprises	387,159	-	-	387,159
Total expenses	74,367,692	-	-	74,367,692
Change in net assets before change in fair value of interest rate swap and effect of postretirement changes other than net periodic postretirement cost	12,231,685	(579,901)	194,993	11,846,777
Change in fair value of interest rate swaps	98,091	-	-	98,091
Postretirement changes other than net periodic postretirement cost	(28,961)	-	-	(28,961)
Change in net assets	12,300,815	(579,901)	194,993	11,915,907
Net assets - beginning	15,602,514	9,591,174	4,519,333	29,713,021
Net assets - ending	\$ 27,903,329	\$ 9,011,273	\$ 4,714,326	\$ 41,628,928

See notes to financial statements.

Antioch University

Statement of Activities
Year Ended June 30, 2015

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Revenues, gains and other support:				
Tuition and fees	\$ 59,881,203	\$ -	\$ -	\$ 59,881,203
Less student aid	(1,495,677)	-	-	(1,495,677)
	58,385,526	-	-	58,385,526
Contributions	489,034	1,678,086	94,461	2,261,581
Contracts and other exchange transactions	3,172,580	-	-	3,172,580
Investment income	772,656	87,633	16	860,305
Net realized and unrealized gain (loss) on investments	18,363	(40,519)	-	(22,156)
Sales and service of auxiliary enterprises	275,926	-	-	275,926
Other income	841,760	-	-	841,760
Total revenues and gains (losses)	63,955,845	1,725,200	94,477	65,775,522
Net assets released from restrictions	1,089,924	(1,089,924)	-	-
Total revenues, gains (losses), and other support	65,045,769	635,276	94,477	65,775,522
Expenses:				
Educational and general:				
Instruction	29,504,490	-	-	29,504,490
Research	96,649	-	-	96,649
Public service	979,402	-	-	979,402
Academic support	6,373,612	-	-	6,373,612
Student services	5,798,514	-	-	5,798,514
Institutional support	27,153,206	-	-	27,153,206
Scholarships and fellowships	2,479,362	-	-	2,479,362
Total educational and general expenses	72,385,235	-	-	72,385,235
Auxiliary enterprises	350,040	-	-	350,040
Total expenses	72,735,275	-	-	72,735,275
Change in net assets before change in fair value of interest rate swap and effect of postretirement changes other than net periodic postretirement cost	(7,689,506)	635,276	94,477	(6,959,753)
Change in fair value of interest rate swaps	82,633	-	-	82,633
Postretirement changes other than net periodic postretirement cost	(142,577)	-	-	(142,577)
Change in net assets	(7,749,450)	635,276	94,477	(7,019,697)
Net assets - beginning	23,351,964	8,955,898	4,424,856	36,732,718
Net assets - ending	\$ 15,602,514	\$ 9,591,174	\$ 4,519,333	\$ 29,713,021

See notes to financial statements.

Antioch University

**Statements of Cash Flows
Years Ended June 30, 2016 and 2015**

	2016	2015
Cash flows from operating activities:		
Change in net assets	\$ 11,915,907	\$ (7,019,697)
Adjustments to reconcile change in net assets to net cash used in operating activities:		
Depreciation and amortization	1,769,430	2,061,693
Gain on sale of land, buildings and equipment	(21,544,914)	(200)
Net realized and unrealized loss on investments	518,117	22,156
Change in fair value of interest rate swap	(98,091)	(82,633)
Contributions restricted for permanent investment	(194,045)	(94,461)
Contribution of land	-	(79,000)
Changes in operating assets and liabilities:		
Accounts and grants receivable	(44,666)	(95,790)
Prepaid expenses	(105,714)	(103,234)
Contributions receivable	202,093	(213,795)
Accounts payable, accrued benefit liabilities and other accrued liabilities	2,534,308	125,250
Deferred revenue	(184,247)	957,159
Deposits held for others	(527)	(27,856)
Net cash used in operating activities	(5,232,349)	(4,550,408)
Cash flows from investing activities:		
Proceeds from sales and maturities of investments	18,400,682	9,928,261
Purchases of investments	(14,034,063)	(5,260,319)
Purchases of land, building, and equipment	(714,862)	(554,583)
Proceeds from sales of land, building, and equipment	8,126,206	200
Disbursements of loans to students	(832,412)	(772,901)
Repayments of loans from students	1,066,144	801,931
Net cash provided by investing activities	12,011,695	4,142,589
Cash flows from financing activities:		
Contributions restricted for permanent investment	194,045	94,461
Repayments of principal of indebtedness	(7,529,623)	(1,166,969)
Principal payments on capital lease obligations	(53,889)	-
Net (payments) borrowings of government student loans	(40,596)	44,323
Net cash used in financing activities	(7,430,063)	(1,028,185)
Net decrease in cash and cash equivalents	(650,717)	(1,436,004)
Cash and cash equivalents:		
Beginning	2,870,899	4,306,903
Ending	\$ 2,220,182	\$ 2,870,899
Supplemental disclosures of cash flow activities:		
Cash paid for interest	\$ 355,411	\$ 390,995
Supplemental schedule of noncash investing and financing activities:		
Note receivable issued for sale of land, building, and equipment	\$ 18,500,000	\$ -
Equipment purchased under capital leases	\$ 163,793	\$ -
Contribution of land	\$ -	\$ 79,000

See notes to financial statements.

Antioch University

Notes to Financial Statements

Note 1. Nature of Activities and Significant Accounting Policies

Nature of activities: Antioch University (the University) provides student-centered education to empower students with the knowledge and skills to lead meaningful lives and to advance social, economic, and environmental justice. Students engage in innovative, experiential learning through face-to-face programs offered on five campuses along with online and low-residency programs offered nation-wide. As scholar-practitioners, graduates are focusing their attentions on research and practice: that makes a difference, that fosters innovation and creativity, that builds inclusion and collaboration that expands opportunity and access, ultimately to make the world a better place.

Approximately 4,200 students currently study online or in low-residency programs through the AU Graduate School for Leadership and Change and Antioch University Connected and at the five campuses: Antioch University New England in Keene, New Hampshire; Antioch University Seattle; Antioch University Los Angeles; Antioch University Santa Barbara; and Antioch University Midwest. The University's Chancellor and administrative offices are housed on the campus of Antioch University Midwest in Yellow Springs, Ohio. The Chancellor's Office provides University-wide planning, fiscal review and accountability for all operations and advice to the Board of Governors on University-wide policies.

Basis of accounting: The financial statements of the University have been prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America (GAAP).

Basis of presentation: The financial statement presentation follows the requirements of the Financial Accounting Standards Board (FASB). The University is required to report information regarding its financial position, and activities according to three classes of net assets: unrestricted, temporarily restricted and permanently restricted.

Unrestricted net assets: Net assets that are not subject to donor-imposed stipulations.

Temporarily restricted net assets: Net assets subject to donor-imposed stipulations that may or will be met either by actions of the University and/or the passage of time.

Permanently restricted: Net assets subject to donor-imposed stipulations that will be maintained permanently by the University. Generally, the donors of these assets permit the University to use all or part of the income earned on related investments for general or specific purposes.

The expiration of a donor-imposed restriction on a contribution or on endowment income is recognized in the period in which the restriction expires and, at that time, the related resources are reclassified to unrestricted net assets. A restriction expires when the stipulated time has elapsed, when the stipulated purpose for which the resource was restricted has been fulfilled, or both.

Use of estimates: The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Antioch University

Notes to Financial Statements

Note 1. Nature of Activities and Significant Accounting Policies (Continued)

Fair value of financial instruments: The following methods and assumptions were used to estimate the fair value of each class of financial instruments:

- Cash and cash equivalents, accounts receivable, notes receivable, grants receivable, other accrued liabilities, and deferred revenue: The carrying amounts approximate fair value because of the short maturity of these financial instruments.
- Investments: The fair value of investments is based upon quoted market values.
- Notes and bonds payable: The carrying value of the University's notes and bonds payable approximates fair value as these financial instruments have variable rates that reflect currently available terms and conditions for similar debt.
- Interest rate swaps: Current market pricing models were used to estimate the fair value of the interest rate swap agreement.

Cash and cash equivalents: The University considers temporary investments purchased with an initial maturity of three months or less to be cash equivalents for the statements of financial position and for purposes of preparing the statements of cash flows. In addition, the University maintains cash which may exceed federally insured amounts. The University continually monitors its balances to minimize the risk of loss.

Accounts receivable: Accounts receivable are stated at the amount the University expects to collect from outstanding balances. Management estimates an allowance for doubtful accounts based upon management's review of delinquent accounts and an assessment of the University's historical evidence of collections. Specific accounts are charged to the reserve when management determines that the account is deemed uncollectible. Management has reviewed the detail of accounts receivable and has determined an allowance is necessary at June 30, 2016 and 2015. (See Note 2)

Investments: Investments are recorded at fair value based upon market values or dealer quotes, with changes in market value being recognized as gains and losses during the period in which they occur. Net appreciation on endowment funds is reported as temporarily restricted net assets, unless such net appreciation has been permanently restricted by the donor or by law. Net depreciation on endowment funds below the historical dollar gift of a permanently restricted fund are recorded as a reduction in unrestricted net assets.

Land, buildings, and equipment: Land, buildings, and equipment are recorded at cost at the date of acquisition or fair value at date of donation in the case of gifts. Depreciation is provided on the straight-line basis over the estimated useful lives of the applicable assets, which range from 3 to 20 years. Depreciation expense was \$1,534,919 and \$2,025,964 for the years ended June 30, 2016 and 2015, respectively.

Bond issuance costs: The University capitalized bond discounts and certain issuance costs associated with the issuance of the New Hampshire Health and Education Facilities Authority Adjustable Rate Demand Refunding Revenue Bonds, the Washington State Housing Finance Commission Variable Rate Demand Nonprofit Revenue Bonds, and the 2006 State of Ohio Higher Education Facility Variable Rate Revenue Bonds. The costs are being amortized over the maturities of the bonds. Amortization expense was \$234,511 and \$35,729 for the years ended June 30, 2016 and 2015, respectively. The unamortized balance amounts to \$206,977 and \$441,528 at June 30, 2016 and 2015, respectively, and is included in prepaid expenses in the statements of financial position. Accumulated amortization on bond issuance cost was \$166,398 and \$350,521 at June 30, 2016 and 2015, respectively. (See Note 7).

Note 1. Nature of Activities and Significant Accounting Policies (Continued)

Interest rate swap agreements: Interest rate swap agreements are recognized as either assets or liabilities at their estimated fair value in the statements of financial position with the changes in the fair value reported in current-period change in net assets. These instruments are included on the statements of financial position in other accrued liabilities and the change in the fair value is recorded on the statements of activities as change in fair value of interest rate swaps. The University's interest rate swap agreements are used to manage exposure to interest rate movement by effectively changing the variable rate of the University's bonds payable to a fixed rate.

Valuation of long-lived assets: Long-lived assets and certain identifiable intangible assets are required to be reviewed for impairment whenever events or changes in circumstances indicate that the carrying amount of the asset may not be recoverable. Recoverability of the long-lived asset is measured by a comparison of the carrying amount of the asset to future undiscounted net cash flows expected to be generated by the asset. If such assets are considered to be impaired, the impairment to be recognized is measured by the amount by which the carrying amount of the asset exceeds the estimated fair value of the assets. Assets to be disposed of are reported at the lower of the carrying amount or fair value, less costs to sell. During 2016 and 2015, the University reviewed their assets for potential impairment, and no impairment losses were identified.

Deferred revenue: Deferred revenue represents cash received from students for the following fiscal year but not yet earned. Grant proceeds which have been received but not yet spent according to the grantors terms are also reported as deferred revenue.

Advances from government for student loans: Funds provided by the United States government under the Federal Perkins Loan program are loaned to qualified students and may be reloaned after collections. These funds are ultimately refundable to the government and, therefore, recorded as a liability in the accompanying financial statements.

Revenue recognition:

Tuition and fees: The University records the income from tuition and fees at the beginning of the quarter when classes begin. Tuition for summer quarter is recorded as a percentage of the quarter revenue based upon the number of weeks in each fiscal year. The remainder of tuition received is recorded as deferred revenue.

Contracts and exchange transactions: The University records income and exchange transactions in the period earned.

Auxiliary enterprises: Auxiliary enterprise revenue is recognized when earned based upon a service date.

Contributions: Contributions, including unconditional promises to give, are recognized as revenues in the period received. Conditional promises to give are not recognized until the conditions on which they depend are substantially met. Contributions of assets other than cash are recorded at their estimated fair value at the date of gift. Contributions to be received after one year are discounted at a rate commensurate with the risk involved. Amortization of the discount is recorded as additional contribution revenue and used in accordance with donor-imposed restrictions, if any, on the contributions. An allowance is made for uncollectible contributions based upon management's judgment and analysis of the creditworthiness of the donors, past collection experience and other relevant factors.

In-kind contributions: In-kind contributions are recorded as revenue and expense in the statements of activities at the time those contributions and services are received.

Antioch University

Notes to Financial Statements

Note 1. Nature of Activities and Significant Accounting Policies (Continued)

During 2011, the University entered into a 10-year operating lease for a facility for which the University received a rental rate that was below the fair value for the facility. The University also entered into an interest free loan for improvements to the facility. Management estimated the fair value of the rental rate for the facility by obtaining comparable rental rates for other properties in the area. The difference between the fair value rental rate of the facility and the amount the University is obligated to pay under the agreement has been recorded as an in-kind contribution. Additionally, an in-kind contribution has been recorded for the imputed interest on the loan. At June 30, 2016 and 2015, the present value of the future in-kind rent over the lease and the imputed interest on the loan was recorded as a contribution receivable amounting to \$801,782 and \$977,894, respectively.

Advertising: Advertising costs are expensed as incurred and exclude fundraising costs. Amounts charged to expense were \$1,992,233 and \$2,137,889 for the years ended June 30, 2016 and 2015, respectively.

Federal income taxes: The University is a qualifying organization under Section 501(c)(3) of the Internal Revenue Code (IRC) and is, therefore, exempt from income taxes under IRC Section 501(a) on its normal operations. However, the University is taxed on other unrelated income, if any. The University is subject to federal income tax on rental income.

The University follows FASB guidance on accounting for uncertainty in income taxes, which addresses the determination of whether tax benefits claimed or expected to be claimed on a tax return should be recorded in the financial statements. Under this guidance, the University may recognize the tax benefit from an uncertain tax position only if it is more likely than not that the tax position will be sustained on examination by taxing authorities, based on the technical merits of the position. Examples of tax positions include the tax-exempt status of the University, the continued tax-exempt status of bonds issued by the University, and various positions related to the potential sources of unrelated business taxable income (UBIT). The tax benefits recognized in the financial statements from such a position are measured based on the largest benefit that has a greater than 50 percent likelihood of being realized upon ultimate settlement. The guidance on accounting for uncertainty in income taxes also addresses de-recognition, classification, interest and penalties on income taxes, and accounting in interim periods. At June 30, 2016 and 2015, there were no unrecognized tax benefits identified or recorded as liabilities.

The University files forms 990 and 990-T in the U.S. federal jurisdiction and the required states. With few exceptions, the University is no longer subject to examination by the Internal Revenue Service for years before 2012.

Recent accounting pronouncements: In April 2015, the FASB issued Accounting Standards Update (ASU) 2015-03, Interest— Imputation of Interest (Subtopic 835-30): Simplifying the Presentation of Debt Issuance Costs. This ASU requires that debt issuance costs related to a recognized debt liability be presented in the statement of financial position as a direct deduction from the carrying amount of that debt liability, consistent with debt discounts. This ASU will be effective for the University for fiscal years beginning after December 15, 2015. The adoption of this standard is not expected to have a material impact on our financial statements.

In May 2014, the FASB issued ASU 2014-09, Revenue from Contracts with Customers (Topic 606), requiring an entity to recognize the amount of revenue to which it expects to be entitled for the transfer of promised goods or services to customers. The updated standard will replace most existing revenue recognition guidance in U.S. GAAP when it becomes effective and permits the use of either a full retrospective or retrospective with cumulative effect transition method. In August 2015, the FASB issued ASU 2015-14 which defers the effective date of ASU 2014-09 one year making it effective for annual reporting periods beginning after December 15, 2018. The University has not yet selected a transition method and is currently evaluating the effect that the standard will have on the financial statements.

Antioch University

Notes to Financial Statements

Note 1. Nature of Activities and Significant Accounting Policies (Continued)

In February 2016, the FASB issued ASU 2016-02, Leases (Topic 842), which sets out the principles for the recognition, measurement, presentation and disclosure of leases for both parties to a contract (i.e. lessees and lessors). The new standard requires lessees to apply a dual approach, classifying leases as either finance or operating leases based on the principle of whether or not the lease is effectively a financed purchase by the lessee. This classification will determine whether lease expense is recognized based on an effective interest method or on a straight line basis over the term of the lease, respectively. A lessee is also required to record a right-of-use asset and a lease liability for all leases with a term of greater than 12 months regardless of their classification. Leases with a term of 12 months or less will be accounted for similar to existing guidance for operating leases today. The new standard requires lessors to account for leases using an approach that is substantially equivalent to existing guidance for sales-type leases, direct financing leases and operating leases. The standard is effective on January 1, 2020, with early adoption permitted. The University is in the process of evaluating the impact of this new guidance.

In August 2016, the FASB issued ASU 2016-14, Not-for-Profit Entities, (Topic 958) Presentation of Financial Statements of Not-for-Profit Entities. The objective of this statement is to improve the current net asset classification requirements and information presented in financial statements and notes about an entity's liquidity, financial performance and cash flows. The statement is effective for fiscal years beginning after December 15, 2017. The University has not yet determined the impact this statement will have on its financial statements.

Reclassifications: Certain reclassifications have been made to the prior year amounts to conform to the current year financial statement presentations.

Subsequent events: The University has evaluated subsequent events for potential recognition and/or disclosure through December 13, 2016 the date the financial statements were available to be issued.

Note 2. Receivables

Receivables consist of the following at June 30:

	2016				
	Gross Amount	Allowance	Net	Current Portion	Long-Term Portion
Students	\$ 1,662,805	\$ 478,829	\$ 1,183,976	\$ 1,183,976	\$ -
Grants	17,251	-	17,251	17,251	-
Other	576,405	-	576,405	576,405	-
Student loans	7,125,068	1,960,335	5,164,733	-	5,164,733
	<u>\$ 9,381,529</u>	<u>\$ 2,439,164</u>	<u>\$ 6,942,365</u>	<u>\$ 1,777,632</u>	<u>\$ 5,164,733</u>
	2015				
	Gross Amount	Allowance	Net	Current Portion	Long-Term Portion
Students	\$ 1,234,014	\$ 376,091	\$ 857,923	\$ 857,923	\$ -
Grants	248,213	-	248,213	248,213	-
Other	626,830	-	626,830	626,830	-
Student loans	7,437,635	2,039,170	5,398,465	-	5,398,465
	<u>\$ 9,546,692</u>	<u>\$ 2,415,261</u>	<u>\$ 7,131,431</u>	<u>\$ 1,732,966</u>	<u>\$ 5,398,465</u>

Antioch University

Notes to Financial Statements

Note 3. Contributions Receivable

Contributions receivable consist of the following at June 30:

	2016	2015
Unconditional promises expected to be collected in:		
Less than one year	\$ 380,672	\$ 403,973
One to five years	951,165	990,852
More than five years	33,877	171,183
	<u>1,365,714</u>	<u>1,566,008</u>
Allowance for uncollectible contributions	(6,829)	(5,030)
	<u>\$ 1,358,885</u>	<u>\$ 1,560,978</u>

The amounts are recorded after discounting to the present value of the future cash flows at a rate of 1.01% as of June 30, 2016 and 1.63% as of 2015, for pledge receivables beyond one year.

Note 4. Investments

Investments of the University at June 30, are comprised of the following:

	2016	
	Fair Value	Cost
Cash and money market funds	\$ 455,053	\$ 455,053
Equity securities	13,922,769	11,320,050
Fixed income securities	4,425,079	4,319,919
Treasury bonds	4,252,435	4,346,321
	<u>\$ 23,055,336</u>	<u>\$ 20,441,343</u>
	2015	
	Fair Value	Cost
Cash and money market funds	\$ 612,227	\$ 612,227
Equity securities	16,528,075	12,713,903
Fixed income securities	5,438,175	5,470,810
Treasury bonds	5,361,595	5,473,925
	<u>\$ 27,940,072</u>	<u>\$ 24,270,865</u>

The University invests in a professionally managed portfolio that consists of equity mutual funds, fixed income mutual funds, money market mutual funds, United States Treasury notes and United States Treasury bills. Such investments are exposed to various risks such as interest rate, market and credit. Due to the level of risk associated with such investments and the level of uncertainty related to changes in the value of such investments, it is at least reasonably possible that changes in risks in the near term would materially affect investment balances and the amounts reported in the financial statements.

Antioch University

Notes to Financial Statements

Note 5. Fair Value Measurements

The University follows the FASB guidance regarding fair value measurements. The guidance applies to all financial instruments that are being measured and reported at fair value and establishes a three level hierarchy for disclosure to show the extent and the level of judgment used to estimate fair value measurements. The three categories are defined as follows:

Level 1 — Valuations for assets and liabilities traded in active exchange markets, such as the New York Stock Exchange. Level 1 also includes U.S. Treasury and federal agency securities and federal agency mortgage-backed securities, which are traded by dealers or brokers in active markets. Valuations are obtained from readily available pricing sources for market transactions involving identical assets or liabilities.

Level 2 — Valuations for assets and liabilities traded in less active dealer or broker markets. Valuations are obtained from third party pricing services for identical or similar assets or liabilities.

Level 3 — Valuations for assets and liabilities that are derived from other valuation methodologies, including option pricing models, discounted cash flow models and similar techniques, and not based on market exchange, dealer, or broker traded transactions. Level 3 valuations incorporate certain assumptions and projections in determining the fair value assigned to such assets or liabilities.

For the fiscal years ended June 30, 2016 and 2015, the application of valuation techniques applied to similar assets and liabilities has been consistent. The following is a description of the valuation methodologies used for instruments measured at fair value:

Investments: The fair values of investments, are based on quoted market prices, when available, or market prices provided by recognized broker dealers. If listed prices or quotes are not available, due to the limited market activity of the instrument, fair value is based upon externally developed models that use unobservable inputs.

Interest rate swaps: The fair value of the University's interest rate swaps was provided by valuation experts. Certain derivatives with limited market activity are valued using externally developed models that consider unobservable market parameters.

The following table sets forth by level within the fair value hierarchy the University's financial assets and liabilities that were accounted for at a fair value on a recurring basis as of June 30, 2016 and 2015. The financial assets and liabilities are classified in their entirety based on the lowest level of input that is significant to the fair value measurement. The University's assessment of the significance of a particular input to the fair value measurement requires judgment and may affect the valuation of fair value assets and their placement within the fair value hierarchy levels.

	2016			
	Total	Level 1	Level 2	Level 3
Financial assets:				
Investments:				
Treasury bonds	\$ 4,252,435	\$ 4,252,435	\$ -	\$ -
Equity securities:				
Mutual funds - equity	13,922,769	13,922,769	-	-
Mutual funds - fixed income	4,425,079	4,425,079	-	-
	22,600,283	22,600,283	-	-
Money market funds and cash	455,053			
Total investments	23,055,336			
Total assets	\$ 23,055,336	\$ 22,600,283	\$ -	\$ -
Financial liabilities:				
Interest rate swaps	\$ 807,339	\$ -	\$ 807,339	\$ -
Total liabilities	\$ 807,339	\$ -	\$ 807,339	\$ -

Antioch University

Notes to Financial Statements

Note 5. Fair Value Measurements (Continued)

	2015			
	Total	Level 1	Level 2	Level 3
Financial assets:				
Investments:				
Treasury bonds	\$ 5,361,595	\$ 5,361,595	\$ -	\$ -
Equity securities:				
Mutual funds - equity	16,528,075	16,528,075	-	-
Mutual funds - fixed income	5,438,175	5,438,175	-	-
	<u>27,327,845</u>	<u>27,327,845</u>	-	-
Money market funds and cash	612,227			
Total investments	<u>27,940,072</u>			
Total assets	<u>\$ 27,940,072</u>	<u>\$ 27,327,845</u>	<u>\$ -</u>	<u>\$ -</u>
Financial liabilities:				
Interest rate swaps	\$ 905,420	\$ -	\$ 905,420	\$ -
Total liabilities	<u>\$ 905,420</u>	<u>\$ -</u>	<u>\$ 905,420</u>	<u>\$ -</u>

Note 6. Land, Building, and Equipment

The following is a summary of land, building, and equipment as of June 30:

	2016	2015
Building	\$ 15,000,057	\$ 19,357,093
Building improvements	12,604,662	20,350,521
Equipment	2,809,121	2,711,047
Furniture and fixtures	1,732,152	1,755,900
Land and land improvements	315,760	315,760
Library books	773,583	773,583
Art	70,948	70,948
Vehicles	22,086	22,086
Construction in progress	672,814	-
	<u>34,001,183</u>	<u>45,356,938</u>
Less accumulated depreciation	(16,489,648)	(22,107,847)
Net book value	<u>\$ 17,511,535</u>	<u>\$ 23,249,091</u>

Note 7. Notes and Bonds Payable

The New Hampshire bonds were secured by a letter of credit (LOC) with a bank, which expired on February 16, 2016. On February 1, 2016 the University redeemed the New Hampshire bonds for the redemption price of \$2,360,000. Bond issue costs of \$68,549 were expensed in fiscal 2016 as a result of this transaction.

The Seattle bonds were secured by a LOC which expired on October 31, 2015. On September 30, 2015 the University redeemed the Seattle bonds for the redemption price of \$4,245,000. Bond issue costs of \$137,892 were expensed in fiscal 2016 as a result of this transaction.

Antioch University

Notes to Financial Statements

Note 7. Notes and Bonds Payable (Continued)

The Ohio bonds are secured by a letter of credit (LOC) with a bank, which expires on February 16, 2017. In the event that the remarketing agent is unable to remarket the bonds, the bonds become a demand note under the LOC issued by the bank. If the LOC cannot be renewed and an alternative LOC cannot be obtained, the bonds require immediate repayment. On November 16, 2016, the University received notice from the bank that the letter of credit would not be renewed or extended beyond the expiration date. The University is engaged in securing a short-term borrowing facility from a lender to redeem the Ohio bonds prior to the expiration of the LOC.

The Ohio, New Hampshire and Seattle bonds contain certain restrictive covenants that include, among other things, minimum requirements for annual debt service, liquidity and debt-to-equity ratios. As of June 30, 2016, the University was not in compliance with certain financial covenants; however the lender has waived the noncompliance for the year then ended.

Notes and bonds payable consist of the following at June 30:

	2016	2015
New Hampshire Health and Education Facilities Authority Adjustable Rate Demand Refunding Revenue Bonds (New Hampshire Bonds), Antioch University Issue, Series 2004, secured by gross receipts, due in annual installments of principal beginning December 2005 through December 2024, plus interest at a variable rate. Interest rate at June 30, 2015 was 0.07%.	\$ -	\$ 2,575,000
Washington State Housing Finance Commission Variable Rate Demand Nonprofit Revenue Bonds (Seattle Bonds) Series 2005, secured by deed of trust, annual installments of principal beginning January 2006 through January 2027, plus interest at a variable rate. Interest rate at June 30, 2015 was 0.07%.	-	4,245,000
2006 State of Ohio Higher Education Facility Variable Rate Revenue Bonds (Ohio Bonds), secured by gross receipts, annual installments of principal beginning February 2007 through February 2029, plus interest at a variable rate. Interest rates at June 30, 2016 and 2015 were 0.41% and 0.07%, respectively.	8,810,000	9,320,000
Unsecured \$650,153 loan bearing interest at 4.4% from a financial institution; due in quarterly principal and interest installments of \$44,482 through 2017.	239,177	402,278
Unsecured \$350,000 loan bearing interest at 0% from a foundation; due in monthly principal installments of \$3,044 through 2021.	167,391	203,913
	<u>\$ 9,216,568</u>	<u>\$ 16,746,191</u>

Antioch University

Notes to Financial Statements

Note 7. Notes and Bonds Payable (Continued)

Maturities of the notes and bonds for the years succeeding June 30, 2016 are:

2017	\$ 9,017,442
2018	105,408
2019	36,522
2020	36,522
2021	20,674
	<u>\$ 9,216,568</u>

Interest expense amounted to \$561,513 and \$433,129 in 2016 and 2015, respectively.

As a part of a strategy to manage the University's debt position over time and decrease variable rate risk, the University entered into two interest rate swap agreements during 2010 to exchange the difference between the variable-rate interest rate indexed to the Securities Industry and Financial Markets Association (SIFMA) rate (0.41% and 0.07% at June 30, 2016 and 2015, respectively) and a fixed interest rate (2.99% and 2.91%, respectively). The swaps are calculated on a notional value of \$8,810,000 and \$2,360,000, respectively. The original notional value was \$12,000,000 and \$3,530,000, respectively. The difference between the fixed interest rate and the variable interest rate is settled on a monthly basis. The agreements terminate on December 1, 2019. The University is exposed to credit loss in the event of nonperformance by the counter party, however, the University does not anticipate nonperformance by the counter party. The change in fair value of the interest rate swaps are reflected in the statement of activities. The fair value of the interest rate swaps at June 30, 2016 and 2015 is a liability of \$807,339 and \$905,420, respectively, and is included in other accrued liabilities in the accompanying statements of financial position.

During 2011, the University purchased an interest rate swap to cap its variable interest rate on certain bonds at 2%. The swap was calculated on a notional amount of \$4,245,000. The original notional value was \$5,640,000. The difference between the fixed interest rate and the variable interest rate was settled on a monthly basis. The University was exposed to credit loss in the event of nonperformance by the counter party, however, the University does not anticipate nonperformance by the counter party. The change in fair value of the interest rate swap was reflected in the statement of activities. The fair value of the interest rate cap at June 30, 2015 was \$0. On September 30, 2015, the interest rate cap was terminated.

Note 8. Capital Leases

In 2016 the University entered into leases to lease equipment under capital leases expiring at various dates through June 2019. The assets and liabilities under capital leases are recorded at the lesser of the present value of the lease payments or the fair value of the equipment. The assets are being amortized over three to four years. Amortization of the assets under capital leases was \$43,777 for the year ended June 30, 2016. Accumulated amortization of assets under capital leases was \$43,777 as of June 30, 2016. The interest rate on the capitalized leases is 4.0%.

Antioch University

Notes to Financial Statements

Note 8. Capital Leases (Continued)

The following table is a schedule of the future minimum payments required under the leases, together with their present value as of June 30, 2016:

	<u>Amount</u>
2017	\$ 53,889
2018	53,889
2019	<u>9,295</u>
Total minimum lease payments	117,073
Less: amount representing interest	<u>(7,169)</u>
Present value of minimum lease payments	<u>\$ 109,904</u>

Note 9. Retirement Plans

The University has three defined contribution retirement plans for eligible faculty and non-faculty personnel managed by Teachers Insurance and Annuity Association—College Retirement Equities Fund (TIAA-CREF). Contributions to these plans by the University were \$3,360,832 and \$3,358,010 in 2016 and 2015, respectively. Participants may also contribute at their option to TIAA-CREF through individual retirement annuity contracts.

The University also maintains separate, self-administered, noncontributory pension plans for certain individuals, who were faculty employees at June 30, 1970 or non-faculty personnel at June 30, 1973. Substantially all benefits previously earned under these plans are paid directly by the University and amounted to approximately \$28,091 and \$33,640 in 2016 and 2015, respectively. The unfunded, actuarially determined liability utilizing an average interest assumption of 6.0 percent for benefits earned under these plans was approximately \$28,434 and \$32,731 at June 30, 2016 and 2015, respectively, and is included in accrued benefit liabilities in the accompanying statements of financial position. The net periodic pension benefit cost included as income in the statements of activities amounted to \$4,297 and \$23,415 in 2016 and 2015, respectively.

Note 10. Other Postretirement Benefit Plans

In addition to the University's defined contribution retirement plan, the University has two defined benefit postretirement plans covering most salaried employees. One plan provides medical and prescription drug benefits, and the second provides life insurance benefits. The postretirement health care and prescription drug plan is contributory; with retiree contributions adjusted annually, and contain other cost-sharing features such as deductibles and coinsurance. The accounting for health care and prescription drug plan anticipates future cost-sharing changes to the written plan that are consistent with the University's expressed intent to increase the retiree contribution rate annually for the expected general inflation rate for that year. The University's policy is to pay the cost of retirees' postretirement health care and drug benefit claims as incurred and to pay the premiums to the life insurance plan for participants on an annual basis. Therefore, the plan is unfunded.

In March 2013, the University amended the medical and prescription drug coverage for retirees over the age of 65. In lieu of a \$30 monthly benefit, the University through the support of a third-party, is assisting the retiree in finding a Medicare sponsored medical and prescription drug plan most beneficial to their personal situation. Eligible retirees under 65 may choose to stay on the University's medical plan, with the retiree paying the full cost with no defined benefit provided.

Antioch University

Notes to Financial Statements

Note 10. Other Postretirement Benefit Plans (Continued)

In accordance with FASB guidance, a summary of the changes in the benefit obligation and the resulting funded status of the University's postretirement benefit plans are as follows:

The accumulated postretirement benefit obligation (APBO) was as follows at June 30:

	2016	2015
Retirees	\$ 204,156	\$ 179,973
Fully eligible active plan participants	356,736	461,450
Other active plan participants	417,559	407,075
	<u>\$ 978,451</u>	<u>\$ 1,048,498</u>

The following table sets forth the plan's change in benefit obligation for the year ended June 30:

	2016	2015
Benefit obligation at beginning of year	\$ 1,048,498	\$ 1,024,193
Service cost	53,749	52,310
Interest cost	43,285	42,515
Estimated benefits paid	(47,227)	(48,170)
Actuarial (gain) loss	(119,854)	(22,350)
Benefit obligation at end of year	<u>\$ 978,451</u>	<u>\$ 1,048,498</u>

The following table sets forth the plan's funded status at June 30:

	2016	2015
Benefit obligation, end of year	\$ (978,451)	\$ (1,048,498)
Fair value of assets, end of year	-	-
Unfunded status, end of year	<u>\$ (978,451)</u>	<u>\$ (1,048,498)</u>

The statements of financial position recognizes a liability of \$978,451 and \$1,048,498 for the years ended June 30, 2016 and 2015 respectively, and is included accrued benefit liabilities on the statements of financial position.

Postretirement expense recognized in the statements of activities consists of the following components for the year ended June 30:

	2016	2015
Service cost of benefits earned	\$ 53,749	\$ 52,310
Interest cost on liability	43,285	42,515
Recognition of net gain	(148,815)	(164,927)
Net periodic postretirement benefit (income) cost	<u>\$ (51,781)</u>	<u>\$ (70,102)</u>

Antioch University**Notes to Financial Statements****Note 10. Other Postretirement Benefit Plans (Continued)**

Items not yet recognized as a component of net periodic postretirement expense as of June 30:

	<u>2016</u>	<u>2015</u>
Unrecognized net gain	<u>\$ 1,415,228</u>	<u>\$ 1,444,189</u>

The weighted-average discount rate used in determining the APBO was 4.25% at June 30, 2016 and 2015. The weighted-average annual assumed rate of increase in the per capita cost of covered benefits (i.e., health care-cost trend rate) is 9.0% for 2016 and 2015 and is assumed to decrease ½ percent per year to 5.0% until 2023 and remain at that level thereafter.

A one percentage point change in assumed health care cost trend rates would have had the following effects in fiscal year 2016:

	<u>1% Increase</u>	<u>1% Decrease</u>
Total of service and interest cost	\$ 8,961	\$ (7,723)
Postretirement benefit obligation	\$ 52,826	\$ (46,551)

Estimated future benefit payments reflecting anticipated service, as appropriate, are expected to be paid as follows:

2017	\$ 29,170
2018	37,643
2019	43,062
2020	54,303
2021	61,397
2022-2026	338,521

Note 11. Lease Commitments

Certain of the University's education centers lease their facilities. The University generally pays real estate taxes, insurance and specified maintenance costs. The University also has operating agreements to lease computer equipment and software. These leases are non-cancelable operating agreements for varying periods through 2031, with renewal options for additional periods in some cases. Future minimum rentals under these non-cancelable leases are as follows:

2017	\$ 4,292,258
2018	4,780,698
2019	4,839,734
2020	4,719,522
2021	4,484,172
Thereafter	25,848,061
	<u>\$ 48,964,445</u>

Rental expense for the years ended June 30, 2016 and 2015 was \$3,901,533 and \$3,772,452, respectively.

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds

The University's endowment consists of approximately 30 individual donor restricted endowment funds established for a variety of purposes. As required by GAAP, net assets associated with endowment funds are classified and reported based on the existence of donor-imposed restrictions.

Interpretation of relevant law: Ohio's version of the Uniform Prudent Management of Institutional Funds Act (UPMIFA) became effective June 1, 2009. The University has interpreted UPMIFA as requiring the 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 University classifies as permanently restricted net assets (a) the original value of 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. Beginning June 1, 2009, the portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the University in a manner consistent with the standard prudence prescribed by UPMIFA.

In accordance with UPMIFA, the University will consider the following factors in making a determination to appropriate or accumulate donor restricted endowment funds:

- (1) The duration and preservation of the fund
- (2) The purposes of the donor-restricted endowment fund
- (3) General economic conditions
- (4) The possible effect of inflation and deflation
- (5) The expected total return from income and appreciation of investments
- (6) Other resources of the University
- (7) The investment policies of the University

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 requires the University to retain as a fund of perpetual duration. As of June 30, 2016 and 2015, there were no funds with deficiencies.

Return objectives and risk parameters: The University has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the University must hold in perpetuity. Under this policy, as approved by the Board of Governors, the endowment assets are invested in a manner that is intended to grow in excess of the spending rate in a conservative manner. The University expects its endowment funds, over time, to provide a target return of approximately 7.5% annually. Actual returns in any given year may vary from this amount.

Strategies employed for achieving objectives: To satisfy its long-term rate-of-return objectives, the University 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). The University targets a diversified, periodically rebalanced, asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds (Continued)

Spending policy and how the investment objectives relate to spending policy: The University has a policy of appropriating for distribution each year 3.5% of the moving twelve quarter average value of the endowment, for those funds whose market value is 90% or greater than historic dollar value, as determined at the end of each quarter, and will be incorporated in the following quarter's distribution as income available to programs. For funds which have a market value greater than 80%, but less than 90% of historic dollar value only 1.5% will be appropriated. For funds whose market value is less than 80% of historic dollar value, no funds shall be appropriated. In establishing this policy the University considered the long-term expected return on its endowment. Accordingly, over the long term, the University expects the current spending policy to allow its endowment to grow at an average of 3% annually. This is consistent with the University's objective to maintain the purchasing power of the endowment assets held in perpetuity or for a specified term as well as to provide additional real growth through new gifts and investment return.

Endowment net asset composition by type of fund as of June 30:

	2016			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Donor restricted endowment	\$ -	\$ 4,033,607	\$ 4,305,518	\$ 8,339,125
Board designated endowment	474,127	-	-	474,127
Total	\$ 474,127	\$ 4,033,607	\$ 4,305,518	\$ 8,813,252

	2015			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Donor restricted endowment	\$ -	\$ 4,506,065	\$ 4,111,473	\$ 8,617,538
Board designated endowment	489,029	-	-	489,029
Total	\$ 489,029	\$ 4,506,065	\$ 4,111,473	\$ 9,106,567

Changes in endowment net assets for the year ended June 30:

	2016			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Balance at June 30, 2015	\$ 489,029	\$ 4,506,065	\$ 4,111,473	\$ 9,106,567
Investment return				
Net investment income	11,790	23,485	-	35,274
Net depreciation	(11,233)	(191,970)	-	(203,202)
Total investment return	557	(168,485)	-	(167,928)
Gifts	-	-	194,045	194,045
Amounts allocated for spending	(15,459)	(303,974)	-	(319,433)
Balance at June 30, 2016	\$ 474,127	\$ 4,033,607	\$ 4,305,518	\$ 8,813,252

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds (Continued)

	2015			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Balance at June 30, 2014	\$ 375,997	\$ 4,755,626	\$ 4,017,012	\$ 9,148,635
Investment return				
Net investment income	12,950	80,140	-	93,090
Net appreciation (depreciation)	13,062	(49,899)	-	(36,837)
Total investment return	26,012	30,241	-	56,253
Gifts	-	-	94,461	94,461
Board designated additions	100,000	-	-	100,000
Amounts allocated for spending	(12,980)	(279,802)	-	(292,782)
Balance at June 30, 2015	\$ 489,029	\$ 4,506,065	\$ 4,111,473	\$ 9,106,567

Note 13. Nature and Amount of Temporarily Restricted Net Assets

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

	2016	2015
Instruction	\$ 12,114	\$ 15,923
Research	16,646	2,767
Public Service	221,080	266,289
Academic Support	1,065,919	1,285,811
Student Services	387	1,216
Institutional Support	5,999,528	6,438,666
Scholarships	1,695,599	1,579,495
Construction	-	1,007
Total	\$ 9,011,273	\$ 9,591,174

Note 14. Nature and Amount of Permanently Restricted Net Assets

Permanently restricted net assets are restricted to the following purposes at June 30:

	2016	2015
Academic Support	\$ 129,711	\$ 75,461
Institutional Support	2,903,818	2,894,042
Scholarships	1,272,514	1,142,495
Loans	408,283	407,335
Total	\$ 4,714,326	\$ 4,519,333

Antioch University

Notes to Financial Statements

Note 15. Net Assets Released From Restrictions

Temporarily restricted: Net assets were released from donor-imposed restrictions by incurring expenditures satisfying the restricted purpose or by occurrence of other events specified by the donors for the years ended June 30 as follows:

	2016	2015
Purpose restricted contributions for:		
Instruction	\$ 5,009	\$ 4,180
Research	-	2,000
Public service	357,485	257,178
Academic support	356,030	226,959
Student services	6,786	6,588
Institutional support	171,823	178,634
Scholarships	397,149	314,386
Construction	100,000	100,000
Total net assets released from restriction	\$ 1,394,282	\$ 1,089,924

Note 16. Functional Expenses

The functional classification of expenses is as follows:

	2016	2015
Educational and program services	\$ 52,638,961	\$ 51,887,539
Management and general	19,658,597	18,504,283
Fundraising	2,070,134	2,343,453
Total functional expenses	\$ 74,367,692	\$ 72,735,275

Note 17. Natural Expense Classification

The natural classification of expenses is as follows:

	2016	2015
Salaries and wages	\$ 36,157,313	\$ 35,567,159
Benefits	11,240,543	10,302,758
Total compensation	47,397,856	45,869,916
Travel and entertainment	2,184,881	2,180,530
Student aid services	1,507,027	1,259,238
Plant	6,087,500	5,358,310
Depreciation	1,534,919	2,025,964
Banking and interest	1,243,328	1,171,648
Supplies and services	14,412,181	14,869,670
Total expenses	\$ 74,367,692	\$ 72,735,275

Antioch University

Notes to Financial Statements

Note 18. Commitment and Contingencies

The University is subject to claims and lawsuits in the ordinary course of its business. In the opinion of management, the University has adequate legal defenses and/or adequate insurance coverage for such matters. If not insured, management believes that such matters will not, in the aggregate, have a materially adverse impact on the University's financial position, results of future operations and cash flow.

On September 26, 2016, the University received a Final Program Review Determination (FPRD) from the U.S. Department of Education (Department) as a result of a program review conducted in March 2015. The FPRD contained findings regarding the University's failure to comply with the requirements of the Higher Education Act, particularly, the Clery Act and the Drug Free Schools and Colleges Act (DFSCA). The FPRD is being referred to the Department's Administrative Actions and Appeals Service Group (AAASG) for its consideration of possible adverse action. A reasonable estimate of the liability for fines could fall in a range between \$0 and \$315,000, with no amount within that range a better estimate than any other amount; accordingly, \$0 has been accrued as of June 30, 2016. It is possible, although perhaps unlikely, that there will be no fine. The decision from the AAASG, which is expected to occur within one year, could result in a loss of up to \$315,000. However, there is also an appeals process for any AAASG fine, and the University will carefully review its options for appeal should the need arise.

Note 19. Sale of Building and AEA Program

Seattle Building Sale: In September 2015, the University sold the Seattle building for \$26,500,000. The building proceeds included \$8,000,000 in cash and \$18,500,000 in a promissory note receivable. The buyer paid off the promissory note in August 2016. A portion of the proceeds from the sale were used to retire the Seattle bond for \$4,245,000 on September 30, 2015. There was approximately \$1,000,000 in closing costs paid related to the sale. As of September 30, 2015, the total building and building improvement asset value disposed of was approximately \$4,955,000. The University has maintained use of the building through December 2016. In connection with the sale, the University also entered into non-cancelable operating lease agreement for new building space for a period of 180 months, beginning upon the substantial completion of improvements of the building or December 1, 2016. The lease requires a base rent of approximately \$99,000 per month for the first year, which shall escalate at a rate of 2.75% annually thereafter. In connection with the new lease the University has committed to spend approximately \$6,200,000 to construct certain leasehold improvement. As of June 30, 2016 the University has entered into a contract for approximately \$6,200,000 of the projected budget with construction scheduled to be completed during fiscal 2017.

Antioch University

Notes to Financial Statements

Note 19. Sale of Building and AEA Program (Continued)

Antioch Education Abroad Sale: On January 21, 2016, the University entered into an asset purchase agreement to transfer ownership of certain international study abroad instructional programs referred to as Antioch Education Abroad (AEA) for \$75,000. The sale included certain intangible assets, such as course syllabi and course materials. At June 30, 2015 the University still held \$121,547 of student receivables and prepaid assets and \$179,748 of deferred revenue, benefit liabilities and deposits held for others related to AEA. Revenue and expenses recorded in the accompanying statements of activities for AEA are as follows for the years ended June 30:

	2016			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Revenues, gains and other support	\$ 1,237,737	\$ -	\$ -	\$ 1,237,737
Total expenses	1,051,752	-	-	1,051,752
Change in net assets	\$ 185,985	\$ -	\$ -	\$ 185,985

	2015			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Revenues, gains and other support	\$ 1,327,135	\$ -	\$ -	\$ 1,327,135
Total expenses	1,551,023	-	-	1,551,023
Change in net assets	\$ (223,888)	\$ -	\$ -	\$ (223,888)

ANTIOCH UNIVERSITY

BOARD OF GOVERNORS

(Effective July 1, 2016 – June 30, 2017)

The AU Board of Governors meets regularly three times each year.

Officer Members:

Charlotte M. Roberts, Ph.D., *Chair*
Member since 2010
Founder and Executive Consultant, Blue Fire Partners, Inc.
Sherrills Ford, NC

Howard Coleman, JD, *Vice Chair*
Member since 2006
Partner, Coldstream Capital Management
Bellevue, WA

William R. Groves, JD (*Ex-Officio*)
Interim Chancellor
Antioch University

Members:

Bruce Bedford, Ph.D (Hon)
Member since 2011
Retired, Former Chair, CEO of Paddington Resources
St. Michaels, MD

Maureen Curley, MHSA
Member since 2008
Retired, Former President/CEO Campus Compact
Medford, MA

Katrin Dambrot
Member since 2014
Principal, Dambrot & Company
Mendham, NJ

Lance Dublin
Member since 2013
CEO & Chief Solutions Architect, Dublin Consulting
San Francisco, CA

Enrique Figueroa, Ph.D
Member since 2011
Director, Roberto Hernandez Center
Associate Professor, College of Continuing Education
University of Wisconsin
Madison, WI

Carole Isom-Barnes, Ph.D
Member since 2013
President and Owner, Xperience Leadership, LLC
Huntersville, NC

Lillian Pierson Lovelace, Ph.D (Hon), *Governor Emerita*
Community Volunteer
Santa Barbara, CA

Elsa Luna, MBA
Member since 2012
CFO, Southern California Public Radio
Los Angeles, CA

Holiday Hart McKiernan, JD
Member since 2013
General Counsel and Chief of Staff, Lumina Foundation
Indianapolis, IN

James J. Morley, Jr., M.S.
Member since 2009
Director, Washington Advisory Group/LECG
Annapolis, MD

Paul Mutty, JD
Member since 2014
Sr Vice President and Deputy General Counsel
Starbucks Coffee Company
Seattle WA

Bill Plater, Ph.D
Member since 2015
Higher Education Consultant
Indiana University Public Policy Institute, IUPUI
Indianapolis, IN

Anne Smith
Member since 2014
Chief of Staff, Burning Glass Technologies
Boston, MA

Lawrence D. Stone, Ph.D
Member since 2015 (previously served 2002-14)
Chief Scientist, Metron, Inc.
Reston, VA

Martha Summerville, Ph.D
Member since 2014
President of Summerville Consulting, LLC
Executive Consultant, Facilitator
New Haven, CT

BIOGRAPHICALSKETCH

NAME: JAMES FAUTH

POSITION TITLE: Associate Chair, Clinical Psychology Department;
Director, Center for Behavioral Health Innovation

EDUCATION/TRAINING

INSTITUTION AND LOCATION	DEGREE	DATES	FIELD
Hartwick College	B.A.	05/1993	Psychology
Western Carolina University	M.A.	05/1996	Clinical Psych
The Pennsylvania State University	Ph.D.	08/2000	Counseling Psych

A. Personal Statement

I direct the Center for Behavioral Health Innovation (BHI) at Antioch University New England (AUNE), which works shoulder to shoulder with community stakeholders to improve behavioral health practice and outcomes for underserved populations. My experience includes serving as external evaluator for eleven youth-focused SAMHSA initiatives as well as many other projects funded by HRSA, CDC, DOE, local foundations, and more. Specific to this FOA, I was lead evaluator on NH's FAST Forward System of Care (SoC) project and am currently evaluating NH DOE's FAST Forward 2020 and the Monadnock Region's SoC projects. My areas of expertise are in behavior change and psychotherapy research; utilization focused evaluation; qualitative and quantitative research; implementation science, and population health. I am a member of the American Evaluation Association. I have twice served as a reviewer for large-scale integrated care and behavioral health dissemination, diffusion, and implementation projects for AHRQ. I am Associate Chair of the doctoral program in Clinical Psychology at AUNE, where I teach courses in Integrative Psychotherapy, Program Evaluation, Research Methods, and Population Health.

B. Positions and Honors

2000-2002 University at Buffalo, Counseling, School, and Ed Psych, Assistant Professor
2002-present Antioch University New England, Clinical Psychology, Core Faculty
2002-present Antioch University New England, Center for Behavioral Health Innovation (BHI; formerly the Center for Research on Psychological Services), Director

Selected Honors

2003-2012 Editorial Boards, *Psychotherapy Research* and *Psychotherapy*
2008-2010 President, Faculty Senate, Antioch University New England
2010-2011 Chair, Research Committee, APA Division 29 (Psychotherapy)
2010-present Editorial Board, *Journal of Counseling Psychology* (Editor: Terence Tracey)
2012, 2014 Grant Reviewer, Agency for Healthcare Research and Quality

C. Selected peer-reviewed publications (Selected from 21 publications)

1. **Fauth, J., & Tremblay, G.** (2011). Beyond dissemination and translation: Practice-Based Participatory Research. *Psychotherapy Bulletin*, 46(1), 15-18.
2. Hodges, K. M., Greene, L. R., **Fauth, J., & Mangione, L.** (2012). Processes and outcomes in prevention-focused time-limited groups for girls. *International Journal of Group Psychotherapy*, 62(3), 459–469.
3. Mendenhall, T., Doherty, W., Berge, J., **Fauth, J., & Tremblay, G.** (2013). Community-based participatory research: Advancing collaborative care through novel partnerships. In L. Ronan & M. Tehan (Eds.), *Essentials of Integrated Care: Connecting Systems of Care, Clinical Practice and Evidence-based Approaches* (pp. 99-130). Philadelphia, PA: Springer Science + Business Media
4. Hayes, J. A., Nelson, D. L. B., & **Fauth, J.** (2015). Countertransference in successful and unsuccessful cases of psychotherapy. *Psychotherapy*, 52(1), 127-133.

D. Selected Research Support (selected from >25 funded projects)

1. SAMSHA Dennis Calcutt (PI) 10/16-9/20
Monadnock Region's System of Care project
Role – Lead Evaluator: Evaluate and improve the Monadnock Region's system of care implementation.
2. SAMSHA Mary Steady (PI) 10/16-9/20
NH DOE's System of Care project
Role – Lead Evaluator: Evaluate and improve NH DOE's FAST FORWARD 2020 system of care implementation.
3. SAMSHA
New Hampshire Fast Forward System of Care grant
Role – Lead Evaluator: Evaluate and improve implementation of a system of care for youth with severe emotional disturbance and their families.
4. SAMSHA Mary Steady (PI) 10/13-9/17
New Hampshire Safe Schools Healthy Students
Role – Lead Evaluator: Evaluate and improve DOE's Safe School Health Students implementation in 3 NH school districts.
5. SAMSHA Mary Steady (PI) 10/14-9/19
New Hampshire Project Aware
Role – Co-Evaluator: Evaluate and improve DOE's Project Aware implementation in 3 NH

school districts.

BIOGRAPHICAL SKETCH

NAME George Tremblay	POSITION TITLE Professor and Chair, Dept of Clinical Psychology Co-Director, Center for Behavioral Health Innovation
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EDUCATION/TRAINING

INSTITUTION AND LOCATION	DEGREE (if applicable)	YEAR(s)	FIELD OF STUDY
University of Rhode Island, Kingston RI	B.A.	05/1985	Psychology
University at Albany (SUNY), Albany NY	Ph.D.	06/1996	Clinical Psychology
University of Mississippi & Veterans Affairs Medical Centers, Jackson MI	Pre-doctoral Clinical Residency	1995-96	Clinical Psychology

Personal Statement.

I have spent more than 15 years developing program evaluation capacity in three contexts, first developing the Program Evaluation Team at Antioch New England Institute, then helping to found the independent consulting group PEER Associates in 2003 (peerassociates.net), and finally joining my faculty colleague, Jim Fauth, in building Antioch's Center for Behavioral Health Innovation (BHI) into a regional resource for program evaluation and technical assistance over the last decade. BHI has served as the external evaluator for more than a dozen multi-year, federally-funded initiatives to improve behavioral health outcomes, the majority of which are focused on youth. I have been the lead evaluator for two cycles of funding (under the Garrett Lee Smith Memorial Youth Suicide Prevention Act) for statewide suicide prevention, and a third for campus-based suicide prevention, while contributing to many other projects as well. My area of specialized clinical expertise is multiply stressed and often high conflict families. My primary contributions to BHI's evaluation and quality improvement work are in the domains of behavior change intervention strategies; evaluation planning; methodological expertise (research design, data management, statistical analysis and reporting); and implementation science. I have managed large and complex datasets using SAS and SPSS software, and I teach doctoral courses in Research Methods and Statistics, Cognitive and Behavioral Interventions, and Consultation. I also served on Antioch University's IRB for 15 years, 9 of those as its Chair.

Positions and Honors.**Positions and Employment**

1996 -1999 Research Assistant Professor, University of Missouri, Columbia MO
1999 - 2002 Assistant Professor and Director of Research, Antioch Univ., Keene NH
2003 - 2007 Associate Professor and Director of Research, Antioch Univ., Keene NH
2000 - 2009 Assistant Director, Antioch Psychological Services Center, Keene NH
2007 – 2015 Professor and Director of Research, Antioch Univ., Keene NH
2015 – Professor and Dept Chair, Antioch Univ., Keene NH

Other Experience and Professional Memberships

2012 – present American Evaluation Association
1995 - 2016 Association for Behavioral and Cognitive Therapies
1993 - 2012 American Psychological Association
1996 - 2102 APA Divisions 12 (Clinical Psychology) and 53 (Clinical Child Psychology)
1998 - 2010 Society for a Science of Clinical Psychology

C. Selected peer-reviewed publications (in chronological order).

1. Tremblay, G.C., & Peterson, L. (1999). Prevention of childhood injury: Clinical and public policy issues. *Clinical Psychology Review, 19*, 415-434.
2. Kruse, R.L., Ewigman, B., & Tremblay, G.C. (2001). The zipper: A method for using personal identifiers to link data while preserving confidentiality. *Child Abuse & Neglect, 25*, 1241-1248.
3. Tremblay, G.C. & Landon, B. (2003). Research in prevention and promotion (adults & children). In M. Roberts & S. Ilardi (Eds.), *Methods of research in clinical psychology: A handbook* (pp. 354-373). Oxford, U.K.: Blackwell Publishers.
4. Peterson, L., Tremblay, G.C., Ewigman, B., & Saldana, L. (2003). Multi-level selected primary prevention of child maltreatment. *Journal of Consulting and Clinical Psychology, 71*, 601-612.
5. Fauth, J., Tremblay, G. (2011). Beyond dissemination and translation: Practice-Based Participatory Research. *Psychotherapy Bulletin, 46*(1), 15-18.
6. Mendenhall, T., Doherty, W., Berge, J., Fauth, J., & Tremblay, G. (in press). Community-based participatory research: Advancing collaborative care through novel partnerships. In L. Ronan & M. Tehan (Eds.), *Essentials of Integrated Care: Connecting Systems of Care, Clinical Practice and Evidence-based Approaches*. Philadelphia, PA: Springer Science + Business Media

D. Selected Research Support

SAMHSA	Ken Norton (PI)	10/2014 – 9/2016 and 1/2010 – 9/2013
NEXUS NH Statewide Garrett Lee Smith Suicide Prevention Project Evaluation of process, outcomes and impact of this statewide suicide prevention program directed by NAMI NH, along with contributing to the national cross-site evaluation through monitoring and reporting TRAC, GPRA and other indicators. Role: Evaluator		
SAMHSA	John Pakstis (PI)	8/2012 – 7/2015
UMASS - Lowell Campus Garrett Lee Smith Suicide Prevention Project Evaluation of process, outcomes and impact of UMASS Lowell's campus suicide prevention program, along with contributing to the national cross-site evaluation through monitoring and reporting GPRA and other indicators. Role: Evaluator		
NH Endowment for Health	Jim Fauth (PI)	4/2008 – 9/2011
Integrated Care Evaluation Project Promoting integration of behavioral health services and primary care in rural/underserved NH through evaluation to improve integrated care services through systematic cycles of utilization-focused evaluation at local and cross-site levels. Role: Co-PI		
SAMHSA	NH DHHS (PI)	3/2008 – 4/2009
NH Statewide Strategic Prevention Framework, State Incentive Grant (SPF-SIG) SPF-SIG project targeting underage and binge drinking, across ten regions in NH that engaged in coordinated data gathering, strategic planning, and implementation processes. Included contributing to the national cross-site evaluation. Role: Region G Evaluation Consultant		

BIOGRAPHICAL SKETCH

NAME: **Megan Edwards**

POSITION TITLE: Evaluator

EDUCATION/TRAINING

INSTITUTION AND LOCATION	DEGREE	COMPLETION DATES	FIELD OF STUDY
Vassar College	B.A.	06/1997	Biopsychology
Antioch University New England	Psy.D.	06/2009	Clinical Psychology

A. Personal Statement

I am an evaluator at the Center for Behavioral Health Innovation (BHI) at Antioch University New England (AUNE), which specializes in improving behavioral health practice quality through external facilitation, knowledge translation, and evaluation in underserved settings. My experience includes serving as an evaluator for several SAMHSA and DOE funded youth-focused initiatives in public school settings, as well as other projects funded by HRSA, CDC, and private foundations. I currently serve as lead evaluator for New Hampshire's Safe Schools Healthy Students and Project AWARE initiatives, as well as Laconia School District's School Culture Transformation Grant. I work closely with the NH DOE on these initiatives. Each of these school-based projects includes a focus on early childhood (EC) education access and social-emotional skill development for disabled and underserved children, including implementation of EC universal screening measures, increased enrollment opportunities in EC settings, and enhanced youth behavioral health supports and services. I have content expertise in behavioral health, mental health promotion, prevention, and treatment, utilization-focused evaluation design, and quantitative and qualitative research. I am a member of the American Evaluation Association and have served as adjunct faculty in the Clinical Psychology Department at AUNE, teaching courses in Intervention with Individuals and Families and Psychopathology and Behavioral Disorders.

B. Positions

2010	Consulting Associate, Program Evaluation & Educational Research Associates
2010-present	Antioch University New England, Clinical Psychology, Adjunct Faculty
2011-2014	Staff Psychologist & Assistant Director of Outreach, Wellesley College
2014-present	Evaluator, Center for Behavioral Health Innovation, Antioch University New England

C. Peer-reviewed publications

1. Tremblay, G.C., & **Phillips, M.** (2009). Child, family, and couples therapy. In D.C.S. Richard & S.K. Huprich, Eds., *Clinical psychology: Assessment, treatment, and research* (pp. 329-349). Boston, MA: Elsevier Academic Press
2. Donahoe, P., & **Phillips, M.** (2010). Truth telling. In M. Trotter-Mathison, J.M. Koch, S. Sanger, & T.M. Skovholt (Eds.), *Voices from the field: Defining moments in counselor and therapist development*. New York: Routledge.

D. Selected Research Support

1. U.S. Department of Education
McKenzie Harrington- 10/14-9/17
Bacote (PI)

Laconia School District School Culture Transformation Project

Role – Lead Evaluator: Evaluate and improve behavioral health implementation in Laconia School District.

2. SAMHSA
Mary Steady (PI) 10/12-9/16

New Hampshire Safe Schools Healthy Students

Role – Lead Evaluator: Evaluate and improve behavioral health implementation in three NH school districts, focusing on early childhood, youth behavioral health, family engagement, school climate, and youth risk behaviors.

3. SAMHSA
Mary Steady (PI) 10/13-9/17

New Hampshire Project AWARE

Role – Lead Evaluator: Evaluate and improve behavioral health implementation in three NH school districts, focusing on early childhood, youth behavioral health, family engagement, school climate, and youth risk behaviors.

4. SAMHSA
Ann Ciraldi (PI) 10/12-5/16

UMass Lowell Garrett Lee Smith Suicide Prevention Project

Role – Evaluator: Evaluate and improve university-based suicide prevention program.

KEY ADMINISTRATIVE PERSONNEL

NH Department of Health and Human Services

Contractor Name: Antioch University dba Antioch University New England

Name of Contract: NH DHHS 10-Year Plan

BUDGET PERIOD: SFY 18			PERCENT PAID FROM THIS CONTRACT	AMOUNT PAID FROM THIS CONTRACT
NAME	JOB TITLE	SALARY		
Tremblay/Fauth	Co-Leads	\$138,000	22.00%	\$30,360.00
Edwards	Evaluator	\$85,000	10.00%	\$8,500.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
TOTAL SALARIES (Not to exceed Total/Salary Wages, Line Item 1 of Budget request)				\$38,860.00