

Nicholas A. Toumpas
Commissioner

José Thier Montero
Director

STATE OF NEW HAMPSHIRE MAR24'15 PM 2:08 DAS
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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February 23, 2015

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division of Public Health Services, Bureau of Population Health and Community Services, to exercise a renewal option and enter into an amendment to an existing agreement with the Trustees of Dartmouth College (Vendor # 177157-B013), 11 Rope Ferry Road, by increasing the price limitation by \$576,000, from \$576,000 to \$1,152,000, to continue to provide an administration center for the provision of breast and cervical cancer screening, and to extend the completion date from June 30, 2015 to June 30, 2017, effective July 1, 2015 or date of Governor and Executive Council approval, whichever is later. Governor and Executive Council approved the original agreement June 5, 2013 (Item #94). 59% General Funds, 41% Federal Funds.

Funds are anticipated to be available in State Fiscal Years 2016 and 2017, upon the availability and continued appropriation of funds in the future operating budget, with authority to adjust encumbrances between State Fiscal Years through the Budget Office, without further approval from Governor and Executive Council, if needed and justified.

05-95-90-902010-5659 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS: DIVISION OF PUBLIC HEALTH, BUREAU OF POPULATION HEALTH AND COMMUNITY SERVICES, COMPREHENSIVE CANCER

Fiscal Year	Class/Object	Class Title	Job Number	Current Budget	Increase/Decrease Amount	Revised Modified Budget
SFY 14	102-500731	Contracts for Prog Svc	90080081	\$118,000	\$ 0	\$118,000
	601-500931	State Fund Match	90080007	\$170,000	\$ 0	\$170,000
		Subtotal		\$288,000	\$ 0	\$288,000
SFY 15	102-500731	Contracts for Prog Svc	90080081	\$118,000	\$ 0	\$118,000
	601-500931	State Fund Match	90080007	\$170,000	\$ 0	\$170,000
		Subtotal		\$288,000	\$ 0	\$288,000
SFY 16	102-500731	Contracts for Prog Svc	90080081	\$ 0	\$118,000	\$118,000
	601-500931	State Fund Match	90080007	\$ 0	\$170,000	\$170,000
		Subtotal		\$ 0	\$288,000	\$288,000
SFY 17	102-500731	Contracts for Prog Svc	90080081	\$ 0	\$118,000	\$118,000
	601-500931	State Fund Match	90080007	\$ 0	\$170,000	\$170,000
		Subtotal		\$ 0	\$288,000	\$288,000
		Total		\$576,000	\$576,000	\$1,152,000

EXPLANATION

Funds in this agreement will be used to continue to administer a statewide network of subcontracted sites that will provide breast and cervical cancer screening through the New Hampshire Breast and Cervical Cancer Program, also known as the Let No Woman Be Overlooked Program.

The purpose of this agreement is to continue to provide access to regular breast and cervical cancer screening and diagnostic services to program eligible women. To be eligible for the Let No Woman Be Overlooked Program, a woman must be between the ages of 21-64, who are uninsured or underinsured, and are living at or below 250% of the federal poverty level. Priority for breast and cervical cancer screening shall be for women 50-64; and priority for cervical cancer screening shall be for women who have never had a Pap test or have not had one in over five years. Women who receive abnormal test results will receive additional coverage for diagnostic work-up and case management through initiation of treatment, as needed, at primary care facilities and hospitals statewide. The contractor offers clinical expertise, and will oversee quality assurance of data collection and clinical services and partnership building at all subcontracted sites.

The Centers for Disease Control and Prevention, as co-funder of this program, now requires the Breast and Cervical Cancer Program to address population based education to elevate the importance of these screenings for all women. This amendment makes a stronger commitment to improve screening programs and screening rates by conducting a baseline assessment of all breast and cervical cancer screening for women in New Hampshire, and through implementation of evidence-based strategies to increase screening rates and continual assessment of progress. The Contractor has capacity to comply with this requirement because more women have moved out of the target direct service population and have instead gained access to insurance coverage through the NH Health Protection Program or the Affordable Care Act's Health Insurance Marketplace.

According to the most recent data from the Centers for Disease Control and Prevention, breast cancer is the most frequently diagnosed cancer among women in New Hampshire and in the United States. In the years 2007-2011, there were 5,392 breast cancer cases diagnosed in New Hampshire and 880 deaths reported. In the years 2007-2011, there were 948,863 new cases of breast cancer in the United States and 203,790 deaths. Cervical cancer is one of the most treatable cancers when detected early through a Pap test; as many as 93% of cervical cancer cases could be prevented by screening and human papillomavirus vaccination. During the years 2007-2011, there were 183 cases of cervical cancer and 70 deaths in New Hampshire. In the years 2007-2011, there were 60,269 cases of cervical cancer in the United States and 19,969 deaths.

Should Governor and Executive Council not authorize this Request, the Breast and Cervical Cancer Program will be unable to annually enroll 960 women in a timely and efficient manner in the Let No Woman Be Overlooked Program for regular breast and cervical cancer screening services, and the Department's statewide efforts to increase the rate of breast and cervical cancer screening for all women in New Hampshire will not occur.

The Trustees of Dartmouth College (Dartmouth) was originally selected for this project through a competitive bid process. A Request for Proposals was posted on the Department of Health and Human Services' web site from December 21, 2012 through January 21, 2013. Dartmouth was the only respondent to the Request for Proposals. Internal and external reviewers formed the Department's evaluation team and upon completing the review of Dartmouth's proposal, the reviewers recommended that the contract be awarded to Dartmouth. The Bid Summary is attached.

As referenced in the Governor and Executive Council letter that originally approved this agreement, both the Request for Proposals, Renewals Section and the original agreement contained the option to renew for two additional year(s), contingent upon satisfactory delivery of services, available funding, agreement of the parties, and approval of the Governor and Executive Council. Because Dartmouth has continually well-performed its contractual responsibilities under this agreement, the Department is exercising this option.

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

- 75% of all mammograms will be provided to program eligible women age 50-64 at all sites; and
- 25% of all mammograms will be provided to women under age 50 at all screening sites.
- 20% of newly enrolled women for Pap tests have never had a Pap test or not had a Pap test in over five years at all screening sites.
- Screening services are provided to a minimum of 960 program eligible women each year between all facilities.
- Screening rates are improved at two screening sites due to the Contractor's implementing a policy, system or environmental change.
- At least two-population-based outreach/education activities are implemented.

Area served: Statewide, excluding Manchester because this geographic area will be served by separate contract due to the density of the eligible population in Manchester.



Source of Funds: 59% General Funds, 41% Federal Funds from Centers for Disease Control and Prevention, Investigations and Technical Assistance, Catalog of Federal Domestic Assistance Number, 93.283, Federal Award Identification Number #U58DP003930.

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

Respectfully submitted,



José Thier Montero, MD, MHCDS
Director

Approved by: 
 Nicholas A. Toumpas
Commissioner

Program Name Administration Center for Breast and Cervical Cancer Screening
 Contract Purpose To provide services to maintain an administration center for the provision of breast and cervical cancer screening statewide.
 RFP Score Summary

REF/RFP CRITERIA	Max Pts	Stacey Smith, Concord, NH	Ludmila Anderson, Manchester, NH	Whitney Hammond, Concord, NH				
Avg Capacity	30	30.00	28.00	30.00	0.00	0.00	0.00	0.00
Program Structure	50	50.00	45.00	45.00	0.00	0.00	0.00	0.00
Budget & Justification	15	13.00	13.00	15.00	0.00	0.00	0.00	0.00
Format	5	4.00	5.00	5.00	0.00	0.00	0.00	0.00
Total	100	97.00	91.00	95.00	0.00	0.00	0.00	0.00

BUDGET REQUEST	Year 01	\$288,000	-	-	-	-	-	-
	Year 02	\$288,000	-	-	-	-	-	-
	Year 03	-	-	-	-	-	-	-
TOTAL BUDGET REQUEST		576,000.00	-	-	-	-	-	-
BUDGET AWARDED								
	Year 01	\$288,000	-	-	-	-	-	-
	Year 02	\$288,000	-	-	-	-	-	-
	Year 03	-	-	-	-	-	-	-
TOTAL BUDGET AWARDED		576,000.00	-	-	-	-	-	-

RFP Reviewers				
Name	Job Title	Dept/Agency	Qualifications	
1 Stacey Smith, RN, MA, CCM	Public Health Nurse	NH Department of Health & Human Services	All reviewers have between 1 and 10 years experience in cancer prevention, public health, comprehensive cancer, and breast & cervical cancer.	
2 Whitney Hammond	Program Coordinator	NH Department of Health & Human Services		
3 Ludmila Anderson	Public Health Epidemiologist	Consultant		
4				
5				
6				
7				
8				
9				
10				



**State of New Hampshire
Department of Health and Human Services
Amendment #1 to the Breast and Cervical Cancer Screening Contract**

This 1st Amendment to the Trustees of Dartmouth contract (hereinafter referred to as "Amendment One") dated this 2 day of 23, 2015, is by and between the State of New Hampshire, Department of Health and Human Services (hereinafter referred to as the "State" or "Department") and the Trustees of Dartmouth, (hereinafter referred to as "the Contractor"), a corporation with a place of business at Office of Sponsored Projects, 11 Rope Ferry Road #6210, Hanover, NH 03755-1404.

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on June 5, 2013, Item #94, the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

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

WHEREAS, pursuant to the General Provisions, Paragraph 18, the State may amend the Contract by written agreement of the parties; and

WHEREAS, the State and the Contractor have agreed to extend the term of the agreement and increase the price limitation to support continued delivery of these services;

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

1. Change account number in P-37, Block 1.6, of the General Provisions, to read:

05-95-90-902010-5659-102-500731

05-95-90-902010-5659-601-500931

2. Change completion date in P-37, Block 1.7, of the General Provisions, to read:

June 30, 2017

3. Change price limitation in P-37, Block 1.8, of the General Provisions, to read:

\$1,152,000.

4. Delete Exhibit A and replace with Exhibit A Amendment #1
5. Delete Exhibit B and replace with Exhibit B Amendment #1
6. Add Exhibit B-1 SFY 2016
7. Add Exhibit B-1 SFY 2017
8. Add Exhibit B-2



9. Delete Exhibit C and replace with Exhibit C Amendment #1
10. Add Exhibit C-1 Revisions to General Provisions
11. Delete Exhibit G and replace with Exhibit G Amendment #1

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

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

State of New Hampshire
Department of Health and Human Services

3/4/15
Date

Brook Dupee
Brook Dupee
Bureau Chief

Trustees of Dartmouth College

2/23/15
Date

Christine Bothe
Name: **Christine Bothe**
Title: **Associate Director**
Office of Sponsored Projects

Acknowledgement:

State of New Hampshire County of Grafton on 2/23/15, before the undersigned officer, personally appeared the person identified above, or satisfactorily proven to be the person whose name is signed above, and acknowledged that s/he executed this document in the capacity indicated above.

Heather A. Arnold
Signature of Notary Public or Justice of the Peace

HEATHER A. ARNOLD
Notary Public - New Hampshire
My Commission Expires

Name and Title of Notary or Justice of the Peace

My Commission Expires: August 10, 2016

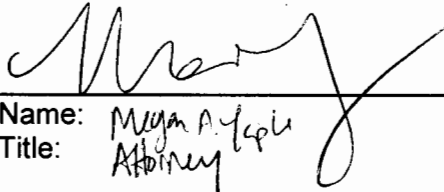
Contractor Initials: cb
Date: 2/23/15



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

OFFICE OF THE ATTORNEY GENERAL

3/23/15
Date


Name: Megan A. Lepore
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:



Exhibit A – Amendment 1

SCOPE OF SERVICES

1. General Provisions

1.1. Required Services

- 1.1.1. The Contractor shall serve as the Administration Center for the NH Breast and Cervical Cancer Program, and as such shall carry out the planning, organization and implementation of all components of the program with the approval of, and in cooperation with, the Department of Health and Human Services, Division of Public Health Services, Breast and Cervical Cancer Program (BCCP).
- 1.1.2. The Contractor shall provide services to establish agreements with other hospitals and health care facilities in New Hampshire to promote, conduct outreach, and provide breast and cervical cancer screening programs and services in their respective communities.
 - 1.1.2.1. Screening services shall include: clinical pelvic examination; clinical breast examination, Pap test and HPV test if appropriate, mammogram if appropriate, and shall follow nationally accepted screening guidelines.
 - 1.1.2.2. Outreach services shall include educating priority populations about the available screening services, including one on one education sessions.
 - 1.1.2.3. Case management services shall be provided for all abnormal screening results.
 - 1.1.2.4. Representatives from the BCCP reserve the right to make on-site monitoring visits to screening sites, upon reasonable prior notice.
- 1.1.3. Additional services to be provided by the Contractor shall include the following:
 - 1.1.3.1. Project Coordinator shall continue to oversee the management of the subcontracted sites, including establishing subcontracts and overseeing the administering of the program's policies and procedures.
 - 1.1.3.2. The establishment of sub contractual agreements, within a mutually agreed timeframe to be approved by the Division of Public Health Services, with a mutually agreed upon number of hospitals or other health care facilities in New Hampshire, to carry out breast and cervical cancer screening services for the specified number of women, within the prioritized population, in their respective communities.
 - 1.1.3.3. Coordinate with the BCCP to provide outreach services to reach the priority population for breast and cervical cancer screening in specified targeted communities statewide.
 - 1.1.3.4. Assure the establishment of a list of primary care providers and specialists at each clinic site who are willing to see uninsured patients with abnormal results.
 - 1.1.3.5. Assure that all providers of clinical services are Medicaid providers.
 - 1.1.3.6. Assure the completion and submission of form(s) to the State office of the BCCP for each woman screened through the BCCP at subcontracted screening sites, including: an enrollment form; a data form describing



Exhibit A – Amendment 1

cervical cancer screening completed, with results; a data form describing breast cancer screening completed, with results; and a diagnostic form for any follow-up completed following positive screen results, assuring that time schedules as outlined in the BCCP Policy and Procedure Manual are met.

- 1.1.3.7. Assure that case management standards outlined in the BCCP Policy and Procedures Manual are met.
- 1.1.3.8. Provide a minimum of two population-based outreach activities, promoting nationally accepted breast and cervical cancer screening recommendations.
- 1.1.3.9. Conduct a baseline assessment of breast and cervical cancer screening rates at each subcontracted site.
- 1.1.3.10. Implement evidence-based strategies to increase screening rates for all women, and continually assess and report rates to NH DHHS BCCP Site Coordinator.
- 1.1.3.11. Implement at least two policy, system or environmental change at two sites that create a demonstrated increase in cancer screening rates.

1.2. Required Subcontracted Services

- 1.2.1. The Contractor shall ensure that the following services are provided through sub contractual agreements, vendor agreements, or memorandums of agreement:
 - 1.2.1.1. Screening services to a minimum of 240 program eligible women per contract quarter for an annual total of 960 women. All screening services shall be provided to women who meet program eligibility criteria.
 - 1.2.1.2. Individualized education sessions performed by licensed health professional(s).
 - 1.2.1.3. Follow-up and diagnostic procedures as clinically indicated to include those procedures approved by the BCCP.
 - 1.2.1.4. Mammography screening services, with no less than 75% of all mammograms provided for women ages 50 to 64, and no more than 25% of all mammograms provided for women under age 50.
 - 1.2.1.5. Cervical cancer screening services, with a prioritized target of 20% of all newly enrolled women either never having had a Pap test or who have not had a Pap test in over five years.
 - 1.2.1.6. Provide outreach services to reach the intended audience, in collaboration with the BCCP.
 - 1.2.1.7. Collaborate with the BCCP to provide updated training and professional information to subcontracted program staff, as needed.
 - 1.2.1.8. Collaborate with the New Hampshire Comprehensive Cancer Collaboration in order to address the breast and cervical cancer objective(s) in the State of NH Comprehensive Cancer Plan.
- 1.2.2. Additional requirements for sub contractual agreements shall include:



Exhibit A – Amendment 1

- 1.2.2.1. All services shall be provided in accordance with the BCCP Policy and Procedure Manual provided to each site.
- 1.2.2.2. All reimbursement shall be based on specified Medicare Current Procedural Terminology (CPT) code rates provided to each subcontracted screening site.
- 1.2.2.3. All mammography facilities utilized shall be Food and Drug Administration (FDA) certified under the Mammography Quality Standards Act (MQSA).
- 1.2.2.4. All pathology laboratories utilized shall meet the standards and regulations promulgated by the Health Care Financing Administration under the Clinical Laboratory Improvement Act (CLIA) of 1988.

1.3. Required Administrative Services

- 1.3.1. The Contractor shall provide administrative services to include the following:
 - 1.3.1.1. Provide for periodic monitoring of clinical quality and data collection as stated in the BCCP Policy and Procedures Manual through ongoing site evaluation visits, chart audits, educational activities, review of patient satisfaction surveys and other related quality assurance activities.
 - 1.3.1.2. Provide updated information to the BCCP regarding: clinic schedules; outreach and promotion taking place at subcontract screening sites; staffing at subcontract screening sites; and other pertinent information as needed.
 - 1.3.1.3. Be available to meet with BCCP staff bi-monthly and as needed throughout the contract period.
 - 1.3.1.4. Notwithstanding Article 2 of the original Agreement (P-37), the Contractor shall comply with minor modifications and/or additions to the work plan and annual report format as requested by the BCCP. The BCCP shall provide the Contractor with advance notice of such changes.
 - 1.3.1.5. Attend Comprehensive Cancer Collaboration meeting (s) as needed.
 - 1.3.1.6. Coordinate the physical arrangements for the BCCP annual meeting. Project Coordinator or designee will attend the annual site coordinator meeting(s).

1.4. Populations Served and Prioritized

- 1.4.1. One on one education sessions shall be available for each woman ages 21-64, who are living at or below 250% of the federal poverty level, and are uninsured or underinsured.
- 1.4.2. Priority for breast cancer screening shall be for women ages 50-64.
- 1.4.3. Priority for cervical cancer screening shall be for women who have never had a Pap test or have not had one in over five years.
- 1.4.4. Outreach and related assessment activities to increase the number of screenings that follow nationally accepted screening recommendations are intended to serve all women in NH.

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Exhibit A – Amendment 1

2. Compliance and Reporting Requirements

2.1. Compliance Requirements

- 2.1.1. 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, the Contractor must 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 10 days of the contract effective date.

2.2. Reporting Requirements

- 2.2.1. The Contractor shall submit monthly enrollment and monthly budget summary reports for all subcontracts.
- 2.2.2. The Contractor shall submit monthly status updates for each site regarding evidence-based interventions/Policy, System or Environment (PSE) change strategies to increase screening rates.
- 2.2.3. The Contractor shall submit monthly narrative update reports of the screening numbers, staffing and billing progress at the subcontract screening sites.
- 2.2.4. The Contractor shall submit baseline screening data for breast and cervical cancer screenings to the BCCP twice per year, from all subcontractors.
- 2.2.5. The Contractor shall provide a list of proposed vendor subcontracts to the DHHS, BCCP Coordinator no later than fourteen (14) days after execution of this Agreement and copies of fully executed subcontract agreements within thirty (30) days after each such subcontract is executed. The Contractor shall notify and obtain the approval of the DHHS, BCCP Coordinator of any proposed change in subcontractor use during the contract period. The Contractor shall provide copies of any resultant executed subcontract agreements to the DHHS, BCCP Coordinator within thirty (30) days thereafter.

3. Performance Measures

- 3.1. The Contractor shall ensure that following performance measures are annually achieved and monitored monthly:

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Exhibit A – Amendment 1

- 3.1.1. At least 75% of all mammograms will be provided to women ages 50-64 at all screening sites;
- 3.1.2. No more than 25% of all mammograms will be provided to women under age 50 at all screening sites;
- 3.1.3. 20% of newly enrolled women for Pap tests have never had a Pap test or have not had a Pap test in over five years at all screening sites;
- 3.1.4. Screening services are provided to a minimum of 960 program eligible women each year between all facilities;
- 3.1.5. Screening rates are improved for all women at all sites regardless of BCCP eligibility;
- 3.1.6. Screening rates are improved at two screening sites due to the Contractor implementing a policy, system or environmental change (PSE);
- 3.1.7. At least two evidence-based population-based outreach/education activities are implemented.
- 3.2. On a monthly basis, the Contractor shall develop and submit to the BCCP a corrective action plan for any performance measure that did not meet monthly benchmarks.
- 3.3. Annually, the Contractor shall develop and submit to the BCCP a corrective action plan for any performance measure that was not achieved.



Exhibit B Amendment #1

Method and Conditions Precedent to Payment

1. The total amount of all payments made to the Contractor for costs and expenses incurred in the performance of services during the period of July 1, 2015 and June 30, 2017 shall not exceed:
 - a. \$288,000 in SFY 2016 and \$288,000 in SFY 2017 to provide services to maintain an administration center for the provision of breast and cervical cancer screening statewide, for a total amount of \$576,000.
 - b. Funding is available as follows:
 - \$236,000 - 100% Federal Funds from the Centers for Disease Control and Prevention, CFDA #93.283, Federal Award Identification Number (FAIN), U58DP003930
 - \$340,000 - 100% General Funds
2. The Contractor agrees to use and apply all contract funds from the State for direct and indirect costs and expenses including but not limited to personnel costs and operating expenses related to the Services, as detailed in the attached SFY 2016 and 2017 budgets (Exhibits B-1). Allowable costs and expenses shall be determined by the State in accordance with applicable state and federal laws and regulations. The Contractor agrees not to use or apply such funds for capital additions or improvements, entertainment costs, or any other costs not approved by the State.
3. This is a cost-reimbursement contract based on an approved budget for the contract period. Reimbursement shall be made monthly based on actual costs incurred during the previous month.
4. Invoices shall be submitted by the Contractor to the State in a form satisfactory to the State for each of the Service category budgets. Said invoices shall be submitted within twenty (20) working days following the end of the month during which the contract activities were completed, and the final invoice shall be due to the State no later than sixty (60) days after the contract Completion Date. Said invoice shall contain a description of all allowable costs and expenses incurred by the Contractor during the contract period.
5. Payment will be made by the State agency subsequent to approval of the submitted invoice and if sufficient funds are available in the Service category budget line items submitted by the contractor to cover the costs and expenses incurred in the performance of services.
6. Notwithstanding paragraph 18 of the General Provisions P-37, an amendment limited to adjustments to amounts between and among account numbers, within the price limitation, may be made by written agreement of both parties and may be made without obtaining approval of the Governor and Executive Council.
7. The Contractor shall have written authorization from the State prior to using contract funds to purchase any equipment with a cost in excess of three hundred dollars (\$300) and with a useful life beyond one year.



Exhibit B Amendment #1

8. The Contractor shall annually provide a match of federal funds provided through this agreement; however both parties agree that the Contractor is not required to provide the full match of three dollars – to – one dollar (3:1) associated with the federal grant supporting this agreement. Match is defined as any service, facility, or equipment provided free, and it shall be provided in accordance with applicable state and federal laws and regulations. The match can be in the form of cash or in-kind services, such as differential screening, clinical, and diagnostic cost, promotional cost, meetings, travel, training (given or attended), transportation, education, or fund raisers related to the *“Let No Woman Be Overlooked Breast and Cervical Cancer Program.”* The Contractor shall annually report the match to the State utilizing the Match Report Form (Exhibit B-2).

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Exhibit B-1 Budget SFY 2016

New Hampshire Department of Health and Human Services

Bidder/Contractor Name: Trustees of Dartmouth

**Administration Center for Breast and Cervical
Budget Request for: Cancer Screening**

Budget Period: 7/1/15 - 6/30/16

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$ 43,493.00	\$ -	\$ 43,493.00	
2. Employee Benefits	\$ 15,005.00	\$ -	\$ 15,005.00	
3. Consultants	\$ -	\$ -	\$ -	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ -	\$ -	\$ -	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ 1,000.00	\$ -	\$ 1,000.00	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ 500.00	\$ -	\$ 500.00	
6. Travel	\$ 1,000.00	\$ -	\$ 1,000.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ -	\$ -	\$ -	
Subscriptions	\$ -	\$ -	\$ -	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ -	\$ -	\$ -	
10. Marketing/Communications	\$ 44,000.00	\$ -	\$ 44,000.00	
11. Staff Education and Training	\$ 1,500.00	\$ -	\$ 1,500.00	
12. Subcontracts/Agreements	\$ 152,320.00	\$ -	\$ 152,320.00	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
Translation	\$ 1,000.00	\$ -	\$ 1,000.00	
Printing	\$ 2,000.00	\$ -	\$ 2,000.00	
Indirect As A Percent of Direct	\$ -	\$ 26,182.00	\$ 26,182.00	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 261,818.00	\$ 26,182.00	\$ 288,000.00	

Indirect As A Percent of Direct

10.0%

NH DHHS
Exhibit B-1 Budget

Contractor Initials: cb

Date: 2/23/15

Exhibit B-1 Budget SFY 2017

New Hampshire Department of Health and Human Services

Bidder/Contractor Name: Trustees of Dartmouth

Administration Center for Breast and Cervical
Budget Request for: Cancer Screening
(Name of RFP)

Budget Period: 7/1/16 - 6/30/17

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$ 44,580.00	\$ -	\$ 44,580.00	
2. Employee Benefits	\$ 15,603.00	\$ -	\$ 15,603.00	
3. Consultants	\$ -	\$ -	\$ -	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ -	\$ -	\$ -	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ 1,000.00	\$ -	\$ 1,000.00	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ 315.00	\$ -	\$ 315.00	
6. Travel	\$ 1,000.00	\$ -	\$ 1,000.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ -	\$ -	\$ -	
Subscriptions	\$ -	\$ -	\$ -	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ -	\$ -	\$ -	
10. Marketing/Communications	\$ 42,500.00	\$ -	\$ 42,500.00	
11. Staff Education and Training	\$ 1,500.00	\$ -	\$ 1,500.00	
12. Subcontracts/Agreements	\$ 152,320.00	\$ -	\$ 152,320.00	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
Translation	\$ 1,000.00	\$ -	\$ 1,000.00	
Printing	\$ 2,000.00	\$ -	\$ 2,000.00	
Indirect As A Percent of Direct		\$ 26,182.00	\$ 26,182.00	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 261,818.00	\$ 26,182.00	\$ 288,000.00	

Indirect As A Percent of Direct

10.0%

NH DHHS
Exhibit B-1 Budget

Contractor Initials: cb

Date: 2/23/15



Exhibit B-2 Match Report Form

Breast and Cervical Cancer Screening Program

MATCH REPORT FORMNew Hampshire
Breast & Cervical Cancer Screening Program
MATCH REPORT FORMNAME: _____
Volunteer ☐ Contractor ☐ Provider ☐

MATCH/YEAR: _____

CONTRACT IN-KIND MATCH: ☐

ADDRESS: _____

*MATCH RATE PER HOUR: ☐ Volunteer - \$20/hr

CITY, ZIP: _____

☐ Manager/Staff - \$40/hr

TELEPHONE: _____

☐ Provider - \$175/hrMATCH DOCUMENTATION

DATE	IN-KIND/CASH	MATCH ACTIVITY	# OF HOURS	MATCH RATE*	CONTRACT MATCH	TOTAL
TOTAL						

T:\OCPH\CDP\Cancer Control\Group Administration & Management\Staff Folders\STACEY\BCCP Site Coordinators\Match Form Blank.doc



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;

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2/23/15



- 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 (EEOP):** The Contractor will provide an Equal Employment Opportunity Plan (EEOP) 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



- 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.



Exhibit C-1

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.
3. **Renewal:**

As referenced in the Request for Proposals, Renewal Section, this competitively procured Agreement has the option to renew for two (2) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council.

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2/23/15



**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- Amendment #1

Contractor Initials

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

2/23/15

New Hampshire Department of Health and Human Services
Exhibit G – Amendment #1



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:

2/23/15
Date

Christine Bothe
Name: **Christine Bothe**
Title: **Associate Director**
Office of Sponsored Projects

Exhibit G- Amendment #1

Contractor Initials cb

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

Date 2/23/15

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 our records show that a special corporate charter was granted to the
TRUSTEES OF DARTMOUTH COLLEGE by the British Crown on December 13, 1769.
I further certify that no fees are required to be paid to this office by this corporation.



IN TESTIMONY WHEREOF, I hereto
set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 21st day of April, A.D. 2014

A handwritten signature in cursive script, reading "William M. Gardner".

William M. Gardner
Secretary of State



BOARD OF TRUSTEES

CERTIFICATE

I, Marcia J. Kelly, hereby certify that I am Assistant Clerk of Trustees of Dartmouth College, a corporation created by Royal Charter and existing under the laws of the State of New Hampshire; that as Assistant Clerk I have custody of the records of meetings of the Board of Trustees of said corporation; and that at a meeting of said Board duly called and held on the 9th day of April, 2011 at which a quorum was present and acting throughout, the following vote was adopted:

VOTED: To approve the Signature and Requisition Authority Policy, effective July 1, 2011 or such earlier date as the Executive Vice President/Chief Financial Officer shall determine. The provisions of the Signature and Requisition Authority Policy shall take precedence over any previous inconsistent vote of the Board of Trustees.

I further certify that said Board voted to adopt amendments to the Signature and Requisition Authority Policy on March 3, 2012 (effective January 1, 2012), September 22, 2013, January 2, 2014, March 8, 2014, and November 8, 2014. The document is available on Dartmouth website at:
<http://www.dartmouth.edu/~control/policies/signature-authority.html>.

I further certify that said vote remains in full force and effect as of the date hereof and is not contrary to any provision of the Charter of said corporation.

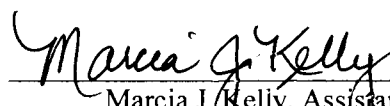
I further certify that attached hereto is a true and correct copy of the Introduction and the Sponsored Activities Administration and Intellectual Property Transactions section (Appendix G) of the said Signature and Requisition Authority Policy.

I further certify that the following persons were appointed to the positions opposite their respective names and continue to serve in said positions as of the dates shown:

Jill Mortali	Director, Office of Sponsored Projects	September 15, 2008
Martin N. Wybourne	Vice Provost for Research	July 1, 2004
Christine Bothe	Associate Director, Office of Sponsored Projects	December 1, 2011
Aarron Clough	Assistant Director, Office of Sponsored Projects	January 1, 2013
Heather A. Arnold	Assistant Director, Office of Sponsored Projects	December 1, 2011

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the corporation this

13rd day of February, 2015.



Marcia J. Kelly, Assistant Clerk
Trustees of Dartmouth College

[Approved by the Board of Trustees April 9, 2011, effective July 1, 2011; amendments approved March 3, 2012 and effective January 1, 2012; amendments approved and effective September 22, 2013; amendments approved and effective January 2, 2014; amendments approved and effective March 8, 2014; amendments approved and effective November 8, 2014].

DARTMOUTH COLLEGE SIGNATURE AND REQUISITION AUTHORITY POLICY

This Policy is intended to insure that commitments of Dartmouth College resources are properly reviewed and approved by authorized employees. The Policy thus identifies which Dartmouth College employees are authorized to enter into transactions with external parties on behalf of Dartmouth and to submit requisitions for purchases through Dartmouth's internal procurement system.

A. General Provisions.

1. Authorized signers and requisitioners under this Policy are responsible for ensuring that:
 - Where required, internal review and approval (including approval by the Board of Trustees or a Board committee, if required) have been obtained;
 - The transaction and its terms are consistent with Dartmouth's program objectives and budgetary authorizations, legal requirements, procurement policies, and the terms of restricted funds (if applicable); and
 - There is no real or perceived conflict of interest on the part of any individual or organization involved in the transaction or, where a real or perceived conflict of interest does exist, the issue has been resolved prior to entering into the transaction, as required by Dartmouth's Conflict of Interest Policy. <http://www.dartmouth.edu/~osp/docs/COIpolicy.pdf>. Resolution of any real or perceived conflict should be documented in writing and kept on file by the responsible department. Questions about possible conflicts should be directed to the Office of the General Counsel.
2. To create an adequate audit trail, approvals shall be memorialized in a memorandum, e-mail or other document that is maintained with the file concerning the transaction. Such documents should be stored and retained (whether in paper or electronic form) in accordance with Dartmouth's Record Retention Policy.
3. Except as provided in this Policy, no College faculty member, staff member or student has authority to enter into any contract or financial commitment on behalf of Dartmouth. Individuals who purport to enter into contracts or financial commitments on behalf of Dartmouth without authority may be personally liable for such contracts or commitments, whether oral or written. Individuals who enter into unauthorized contracts or commitments may also be subject to disciplinary action, up to and including termination.
4. Except as specified in this Policy, or in other College policies or Board of Trustees resolutions, the President holds signature and requisition authority with respect to all educational, financial and administrative matters pertaining to Dartmouth and may delegate such authority to other senior administrators for specified transactions. All delegations of signature and requisition authority by the President must be in writing.
5. Authority delegated to employees under this Policy may also be exercised by higher level employees to whom the designated employees report.

6. To prevent delays in obtaining approvals when senior leaders are not available for extended periods, the following administrators may designate other administrators to exercise their authority under this Policy during their temporary absence:

President's Office Executive Director
Provost
Executive Vice President
Chief Financial Officer (CFO)
Senior Vice President for Advancement
Vice President for Campus Planning & Facilities
Dean of the College
Dean of the Faculty
Dean of Medical School
Dean of Tuck School
Dean of Thayer School

If all persons with signature or requisition authority are temporarily absent, authority for transactions requiring immediate action may be exercised by the Executive Vice President or Provost. Temporary delegations should be emailed to

- Controller's Office Oracle.Processing@dartmouth.edu,
 - the appropriate finance center,
 - Procurement.Services@dartmouth.edu, and
 - the individual delegated temporary authority.
7. All persons designated as having signature authority under this Policy are thereby authorized to execute, acknowledge and deliver to external parties, in the name and on behalf of Dartmouth, any and all agreements, documents or other instruments that they determine to be necessary or appropriate to carry out the transactions authorized thereby.
8. The Executive Vice President and Provost, on the recommendation of the Controller and with the approval of the General Counsel, may delegate authority up to \$1 million and make modifications to the signature authority policy relating to matters of form, including but not limited to changes in titles or positions.
9. This Policy shall be published on Dartmouth's web site, and links shall be included in appropriate College publications including but not limited to the Faculty and Employee Handbooks and the web sites of the Board of Trustees, the Office of the General Counsel, and the Controller).
10. Questions concerning the scope or interpretation of this Policy should be addressed to the Office of the General Counsel.

B. Relationship of this Policy to Procurement Card System, eProcurement System, Invoice Approval Process, Business Expense Reimbursement Policy, and other Policies.

1. **Procurement Card System:** In addition to the authorizations set forth below, College employees may be authorized by departments to make certain types of purchases (generally under \$2,500) through the Procurement Card System. See www.dartmouth.edu/~control/policies/procurement-card-policy.html for a description of the policies and procedures governing the "P-Card" System.
2. **eProcurement System:** Dartmouth's *eProcurement System* provides an electronic mechanism for departments to submit a requisition for a purchase to the Procurement Services Department, which issues a purchase order. In the past, authority to submit requisitions has been determined on department-by-department basis. The Signature and Requisition Authority Policy replaces that practice by identifying authorized requisitioners for each unit and provides guidelines for delegation of authority for general business transactions by grade level or faculty title (see Appendix A).
3. **Invoice Approval Process:** Where a contract or requisition has been approved under this Policy, authority to approve an invoice for goods and services provided under that contract or requisition is granted to employees on the Invoice Approval List maintained by the Controller. Delegations of authority to approve invoices shall be filed with the Controller's Office on a form provided by that office.

See [<http://www.dartmouth.edu/~control/forms/security.html>].

Invoices submitted for payment that are not associated with an approved requisition or contract require approval specified in this policy

4. **Business Expense Reimbursement:** Approval for business expense reimbursements is based on the Dartmouth business expense reimbursement policy. Business Expense Reimbursement forms must be approved by the employee and his/her immediate supervisor or more senior officer in the department who has the authority to approve charges to the particular account(s). The individual supervisor may delegate (in writing) his or her signature authority to another individual. No employee is authorized to approve his or her own, a peer's or a superior's Business Expense Reimbursement form, or charges to an account for which he/she is not authorized to approve expenditures. Area fiscal officers are authorized to approve Business Expense Reimbursement forms charged to College accounts for which they have budget responsibility (except for their own expenses or those incurred by his or her immediate supervisor).

Business Expense Reimbursement forms for non-employees must be approved by the individual and Dartmouth employee who has financial responsibility for the chart string where expenses will be charged.

5. **Joint Venture Policy:** Approval to establish a Joint Ventures is governed by the Joint Venture Policy. As used in the Policy, "Joint Venture" means any joint ownership or contractual arrangement through which there is an agreement for Dartmouth College (the "College"), either directly or indirectly, to jointly undertake with another person or organization a specific business enterprise without regard to (i) whether the College controls the venture or arrangement, (ii) the legal structure of the venture or arrangement, or (iii) whether the venture or arrangement is taxed as a partnership or as an association or corporation for federal income tax purposes. For signature authority regarding joint ventures, see policy at <http://www.dartmouth.edu/~control/policies/index.html>

C. Abbreviations.

AVPIG	Associate Vice President for Individual Giving
CFO	Chief Financial Officer
CIO	Chief Investment Officer
COO	Chief Operating Officer of Division
COOA	Chief Operating Officer for Advancement
CPF	Campus Planning and Facilities
DFTM	Director of Finance and Treasury Management
DIO	Director of Investment Operations
EVP	Executive Vice President
EDGP	Executive Director of Gift Planning
OSP	Office of Sponsored Projects
PI	Principal Investigator
REO	Real Estate Office
RICS	Risk and Internal Controls Services
SIOM	Senior Investment Operations Manager
SVPA	Senior Vice President for Advancement
SVPPA	Senior Vice President for Public Affairs
VPAR	Vice President for Alumni Relations
VPCOMM	Vice President for Communications
VPCP&F	Vice President for Campus Planning and Facilities
VPD	Vice President for Development
VPHR	Vice President Human Resources
VPPIPG	Vice President for Presidential Initiatives and Principal Gifts

D. Delegations of Authority.

Delegations of authority in this Policy are as follows:

Business Transactions – General <i>(This section governs transactions not covered by any of the appendices listed below.)</i>	Appendix A
Financial Management Transactions	Appendix B
Investment Transactions	Appendix C
Development Transactions	Appendix D
Real Estate and Facilities Transactions	Appendix E
Risk Management and Insurance Transactions	Appendix F
Sponsored Activities Administration and Intellectual Property Transactions	Appendix G
Staff Hiring	Appendix H
Medical School Transactions	Appendix I
Procurement Services Department Authority	Appendix J

E. Review by Office of the General Counsel.

1. All transactions covered by Appendix A (Business Transactions – General) and Appendix H (Staff Hiring) with a value exceeding \$500,000 (single year, or aggregate value if multi-year) must be reviewed for legal sufficiency by the Office of the General Counsel. Transactions covered by other appendices must be reviewed and approved by the Office of the General Counsel for legal sufficiency to the extent specified.

2. The Office of Campus Planning & Facilities and the Office of the General Counsel have prepared standard contract forms for the following types of transactions:

- Contracts with Design Professional
- Contracts with Contractors and Construction Managers


Where applicable, the use of such forms is required. Such forms may not be modified without the written approval of the General Counsel or the Associate General Counsel in the Office of Campus Planning & Facilities. Questions concerning the availability of standard forms or other contracting matters should be addressed to the Office of the General Counsel.

F. Documenting Delegations of Authority

Delegations of authority shall be filed with the Controller's Office on a form provided by that office.

See <http://www.dartmouth.edu/~control/forms/security.html>.

Appendix G: Sponsored Activities Administration and Intellectual Property Transactions

Grants (including sub-grants) for external support for research (applications and agreements)	<p><u>Over \$5,000,000</u> Director, OSP, or Sr. Vice Provost for Research</p> <p><u>Up to \$5,000,000</u> Director, Associate Director, or Assistant Director, OSP</p> <p><u>Up to \$2,000,000</u> Director, Associate Director, Assistant Director, Senior Grants Officer, or Grants Officer, OSP</p>
 Contracts (including sub-contracts) for external support for research (applications and agreements)	<p><u>Over \$1,000,000</u> Director, OSP, or Sr. Vice Provost for Research</p> <p><u>Up to \$1,000,000</u> Director or Associate Director, OSP</p> <p><u>Up to \$500,000</u> Director, Associate Director, Assistant Director, or Senior Grants Officer, OSP</p>
Agreements with federal agencies for reimbursement of facilities and administrative costs	<ul style="list-style-type: none"> • Director, OSP, or Sr. Vice Provost for Research; and • EVP or CFO jointly
<p>Purchases of goods and services with grant or contract funds</p> <p><i>Titles (e.g., "COO," "Director of Budget & Fiscal Affairs") refer to the designated position in the school or department that is the recipient of the grant or contract as recorded in the Office of Sponsored Projects.</i></p> <p><i>When a grant or contract has more than one PI, each PI is authorized to exercise the authority under this Policy with respect to the portion of the project for which he or she is responsible.</i></p>	<p>In addition to the delegations set forth below, authorized staff members, and research team members designated in writing by the PI, may make purchases through any procurement mechanism up to the dollar amount permitted under the Procurement Card System, or such lower dollar amount as may be set by the PI.</p> <p><u>Up to \$5,000</u> Any regular employee with purchasing responsibility for the grant</p> <p><u>Up to \$25,000</u></p> <ul style="list-style-type: none"> • PI, Laboratory Manager, or Grant Manager, or PI designee; and • OSP <p><u>Up to \$100,000</u></p> <ul style="list-style-type: none"> • PI; or • Dean's designee with permission of PI (PI and COO, jointly, may delegate authority up to \$100,000 in writing to other staff members); -and- • OSP

	<p><u>Up to \$250,000</u></p> <ul style="list-style-type: none"> • PI; and • Dean's Designee jointly; -and- • OSP <p><u>Over \$250,000</u></p> <ul style="list-style-type: none"> • PI and Dean or Dean's designee, jointly; and • OSP <p><u>Additional Approvals:</u></p> <ul style="list-style-type: none"> • Approval by the General Counsel or Associate General Counsel is also required for transactions over \$500,000
Agreements relating to the transfer of materials used in scientific research	Director or Assistant Director, Technology Transfer Office; in their absence, Director or Associate Director, OSP
Agreements for licenses and options of inventions/patents owned by Dartmouth pursuant to Dartmouth's Patent Policy	Director, Technology Transfer Office (in accordance with Dartmouth Patent Policy)
Agreements for licenses and options of works of authorship/copyrights owned by Dartmouth pursuant to Dartmouth's Copyright Policy	<p>Dean of Libraries with respect to works administered by the Libraries</p> <p>Director, Technology Transfer Office with respect to software</p> <p>General Counsel or Associate General Counsel with respect to all other works</p> <p>* All in accordance with Dartmouth Copyright Policy *</p>
Authority to execute documents pertaining to the registration and protection of intellectual property, including but not limited to powers of attorney, assignments, small entity forms and certifications required by the United States Patent and Trademark Office or patent authorities of foreign countries	Director, Technology Transfer Office
Authority to sign confidentiality and non-disclosure agreements in connection with the licensing (outgoing and incoming) and marketing of intellectual property	Director or Assistant Director, Technology Transfer Office

Engagement of attorneys to represent Dartmouth in connection with the evaluation of inventions and the filing and prosecution of patents	Director, Technology Transfer Office, in consultation with the Office of the General Counsel
State and federal trademark registrations; licenses for the use of College-owned trademarks	General Counsel or Trademark Administrator



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

03/11/15

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

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

PRODUCER Marsh USA Inc. 1717 Arch Street Philadelphia, PA 19103-2797	CONTACT NAME: PHONE (A/C, No, Ext): FAX (A/C, No): E-MAIL ADDRESS:
J09254-DART-CASPR-14-15	INSURER(S) AFFORDING COVERAGE INSURER A: Pinnacle Consortium of Higher Ed VT RRRG INSURER B: Zurich American Insurance Company INSURER C: N/A INSURER D: INSURER E: INSURER F:
INSURED THE TRUSTEES OF DARTMOUTH COLLEGE ATTN: CATHERINE LARK 53 S. MAIN STREET, SUITE 212 HANOVER, NH 03755	NAIC # 11980 16535 N/A

COVERAGES

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

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			PCHE2014-03	07/01/2014	07/01/2015	EACH OCCURRENCE \$ 2,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 2,000,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ 2,000,000 GENERAL AGGREGATE \$ 5,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000 \$
B	AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS UMBRELLA LIAB <input type="checkbox"/> OCCUR EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input type="checkbox"/> RETENTION \$			BAP 9267272-04 SELF-INSURED FOR PHYSICAL DAMAGE	07/01/2014	07/01/2015	COMBINED SINGLE LIMIT (Ea accident) \$ 2,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$ EACH OCCURRENCE \$ AGGREGATE \$ \$ WC STATUTORY LIMITS <input type="checkbox"/> OTH-ER <input type="checkbox"/> E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$
	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N <input checked="" type="checkbox"/> N	N/A				

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

CERTIFICATE HOLDER

The State of New Hampshire
Department of Health and Human Services
129 Pleasant Street
Concord, NH 03301

CANCELLATION

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

AUTHORIZED REPRESENTATIVE
of Marsh USA Inc.

Manashi Mukherjee

Manashi Mukherjee

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ACORD™**CERTIFICATE OF LIABILITY INSURANCE**

7/1/2015

DATE (MM/DD/YYYY)
6/27/2014

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

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

PRODUCER	Lockton Companies 8110 E. Union Avenue Suite 700 Denver CO 80237 (303) 414-6000	CONTACT	
		PHONE (A/C, No. Ext):	FAX (A/C, No.):
		E-MAIL ADDRESS:	
		INSURER(S) AFFORDING COVERAGE	NAIC #
		INSURER A: National Fire Insurance Co of Hartford	20478
		INSURER B: Midwest Employers Casualty Company	23612
		INSURER C: Transportation Insurance Company	20494
		INSURER D:	
		INSURER E:	
		INSURER F:	

COVERAGES DARCO02

CERTIFICATE NUMBER: 10574720

REVISION NUMBER: XXXXXXXX

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

INSR LTR	TYPE OF INSURANCE	ADDL INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
	COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC <input type="checkbox"/> OTHER			NOT APPLICABLE			EACH OCCURRENCE \$ XXXXXXXX DAMAGE TO RENTED PREMISES (Ea occurrence) \$ XXXXXXXX MED EXP (Any one person) \$ XXXXXXXX PERSONAL & ADV INJURY \$ XXXXXXXX GENERAL AGGREGATE \$ XXXXXXXX PRODUCTS - COMP/OP AGG \$ XXXXXXXX \$
	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS			NOT APPLICABLE			COMBINED SINGLE LIMIT (Ea accident) \$ XXXXXXXX BODILY INJURY (Per person) \$ XXXXXXXX BODILY INJURY (Per accident) \$ XXXXXXXX PROPERTY DAMAGE (Per accident) \$ XXXXXXXX \$
	UMBRELLA LIAB <input type="checkbox"/> OCCUR EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input type="checkbox"/> RETENTION \$			NOT APPLICABLE			EACH OCCURRENCE \$ XXXXXXXX AGGREGATE \$ XXXXXXXX \$
A C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N <input checked="" type="checkbox"/> N	N/A	2099375438 (AOS) 2099375472 (CA)	7/1/2014 7/1/2014	7/1/2015 7/1/2015	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTHER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
B	Excess Work Comp	N	N	EWC008364	7/1/2014	7/1/2015	WC - Statutory; EL Limit \$1,000,000

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

CERTIFICATE HOLDER

CANCELLATION

10574720

State of New Hampshire
29 Hazen Drive
Concord NH 03301

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

AUTHORIZED REPRESENTATIVE

Charles M. McDaniel



Dartmouth College

Office of Sponsored Projects
11 Rope Ferry Road #6210
Hanover, NH 03755-1404

TELEPHONE: (603) 646-3007
FAX: (603) 646-3670
EMAIL: sponsored.projects@dartmouth.edu

Dartmouth College Mission

Dartmouth College educates the most promising students and prepares them for a lifetime of learning and of responsible leadership, through a faculty dedicated to teaching and the creation of knowledge.

Since its founding in 1769 to educate Native students, English youth, and others, Dartmouth has provided an intimate and inspirational setting where talented faculty, students, and staff - diverse in background but united in purpose - contribute to the strength of an exciting academic community that cuts easily across disciplines.

Dartmouth is committed to providing the best undergraduate liberal arts experience and to providing outstanding graduate programs in the Geisel Medical School (founded 1797), the Thayer School of Engineering (1867), the Tuck School of Business (1900), and the graduate programs in the Arts and Sciences. Together they constitute an exceptional and rich learning environment. Dartmouth faculty and student research contributes substantially to the expansion of human understanding.

The College provides a comprehensive out-of-classroom experience, including service opportunities, engagement in the arts, and competitive athletic, recreational, and outdoor programs. Pioneering programs in computation and international education are hallmarks of the College. Dartmouth graduates are marked by an understanding of the importance of teamwork, a capacity for leadership, and their keen enjoyment of a vibrant community. Their loyalty to Dartmouth and to each other is legendary and is a sustaining quality of the College.

DARTMOUTH COLLEGE

Financial Statements

2013 - 2014





Independent Auditor's Report

To the Board of Trustees of Dartmouth College:

We have audited the accompanying consolidated financial statements of Dartmouth College ("the College"), which comprise the consolidated statement of financial position as of June 30, 2014 and the related consolidated statements of activities, operating expenses, and cash flows for the year then ended.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of the consolidated 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 consolidated 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 the consolidated financial statements based on our audit. We conducted our audit 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 consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to the College's preparation and fair presentation of the consolidated 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 College'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 consolidated financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of Dartmouth College at June 30, 2014, and the changes in its net assets, its operating expenses and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matter

The summarized consolidated financial statements of the College as of June 30, 2013 and for the year then ended were audited by other auditors whose report, dated October 21, 2013, expressed an unmodified opinion on those statements.

PricewaterhouseCoopers LLP

October 20, 2014

Dartmouth College

Statement of Financial Position

As of June 30, 2014, with comparative information as of June 30, 2013
(in thousands)

	2014	2013
Assets		
Cash and cash equivalents	\$ 200,750	\$ 240,195
Receivables and other assets, net	151,986	153,764
Investment related receivables	14,681	25,242
Pledges receivable, net	97,258	94,711
Investments	5,547,788	4,724,245
Land, buildings, equipment, and construction in progress, net	955,531	944,327
Total assets	<u>\$ 6,967,994</u>	<u>\$ 6,182,484</u>
Liabilities		
Accounts payable and other liabilities	\$ 72,532	\$ 67,985
Investment related payables	22,366	44,911
Deferred revenues and deposits	40,741	41,147
Liability for split-interest agreements	51,876	41,504
Pension and other employment related obligations	390,390	272,450
Bonds, mortgages, and notes payable, net	1,113,333	1,126,787
Interest rate swap liabilities, at fair value	141,219	133,222
Conditional asset retirement obligations	23,144	22,456
Government advances for student loans	20,443	20,332
Total liabilities	<u>1,876,044</u>	<u>1,770,794</u>
Net Assets		
Unrestricted	1,349,963	1,258,727
Temporarily restricted	2,561,992	2,101,508
Permanently restricted	1,179,995	1,051,455
Total net assets	<u>5,091,950</u>	<u>4,411,690</u>
Total liabilities and net assets	<u>\$ 6,967,994</u>	<u>\$ 6,182,484</u>

See accompanying notes to the financial statements.

Dartmouth College

Statement of Activities

For the year ended June 30, 2014, with summarized financial information for the year ended June 30, 2013

(in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total	
				2014	2013
Endowment Activities					
Gifts	\$ 53	\$ 7,779	\$ 135,624	\$ 143,456	\$ 28,047
Net investment return	183,022	592,836	1,595	777,453	404,762
Distributed for spending	(43,940)	(144,606)	-	(188,546)	(185,478)
Other changes	1,465	(1,373)	2,270	2,362	2,529
Amounts transferred (to) from other funds, net	1,456	(2,073)	515	(102)	(2,648)
Change in net assets from endowment activities	142,056	452,563	140,004	734,623	247,212
Operating Activities					
Revenues					
Tuition and fees	320,224	-	-	320,224	304,808
Student scholarships	(128,398)	-	-	(128,398)	(124,223)
Net tuition and fees	191,826	-	-	191,826	180,585
Sponsored research grants and contracts	177,539	-	-	177,539	181,517
Dartmouth College Fund and other gifts	76,767	8,817	-	85,584	90,332
Distributed endowment investment return	180,591	6,452	-	187,043	183,816
Other operating income	152,556	-	-	152,556	131,745
Auxiliaries	72,195	-	-	72,195	65,496
Net assets released from restrictions	20,948	(20,948)	-	-	-
Total revenues	872,422	(5,679)	-	866,743	833,491
Expenses					
Academic and student programs	544,984	-	-	544,984	534,885
Sponsored programs	127,308	-	-	127,308	128,000
General institutional services	97,159	-	-	97,159	92,528
Auxiliaries	83,659	-	-	83,659	79,860
Total expenses	853,110	-	-	853,110	835,273
Change in net assets from operating activities	19,312	(5,679)	-	13,633	(1,782)
Non-operating Activities					
Gifts	-	27,189	544	27,733	37,444
Other non-operating changes, net	30,222	302	-	30,524	30,430
Distributed endowment investment return	235	1,268	-	1,503	1,662
Increase/decrease in outstanding pledges	-	11,778	(9,231)	2,547	(48,065)
Pension and postretirement benefit related changes					
other than net periodic benefit costs	(103,413)	-	-	(103,413)	63,258
Disposals and non-capitalized expenditures	(11,248)	(681)	-	(11,929)	(22,392)
Change in unrealized gain (loss) related to interest rate swap agreements	(7,997)	-	-	(7,997)	83,084
Net assets released from restrictions	9,372	(9,372)	-	-	-
Amounts transferred (to) from endowment, net	12,697	(12,595)	-	102	2,648
Net change in split-interest agreements	-	(4,289)	(2,777)	(7,066)	641
Change in net assets from non-operating activities	(70,132)	13,600	(11,464)	(67,996)	148,710
Change in net assets	91,236	460,484	128,540	680,260	394,140
Net Assets, beginning of year	1,258,727	2,101,508	1,051,455	4,411,690	4,017,550
Net Assets, end of year	\$ 1,349,963	\$ 2,561,992	\$ 1,179,995	\$ 5,091,950	\$ 4,411,690

See accompanying notes to the financial statements.

Dartmouth College

Statement of Operating Expenses

For the year ended June 30, 2014, with summarized financial information for the year ended June 30, 2013
(in thousands)

	Academic & Student Programs	Sponsored Programs	General Institutional Services				Total Expenses	
			Administrative Support	Facilities Operation & Maintenance	Development	Total	Auxiliaries	
							2014	2013
Salaries and wages	\$ 234,535	\$ 56,287	\$ 27,981	\$ 18,149	\$ 18,303	\$ 64,433	\$ 14,149	\$ 369,404
Employee benefits	80,650	15,735	9,273	6,015	6,066	21,354	4,689	122,428
Fellowships and student support	10,908	3,620	-	-	-	-	490	15,018
Materials, equipment, and supplies	34,517	9,040	7,786	2,052	1,712	11,550	16,860	71,967
Purchased services	44,905	39,550	6,792	1,986	6,722	15,500	9,517	109,472
Utilities, taxes, and occupancy	-	-	-	41,724	-	41,724	7,849	49,573
Depreciation	40,261	-	2,772	5,381	47	8,200	9,760	58,221
Lodging, travel, and similar costs	21,093	2,813	1,037	66	2,026	3,129	239	27,274
Interest and amortization	-	-	-	22,953	-	22,953	1,417	24,370
Other expenses	3,220	263	1,250	100	369	1,719	181	5,383
	470,089	127,308	56,891	98,426	35,245	190,562	65,151	853,110
Facilities operation & maintenance	74,895	-	4,935	(98,426)	88	(93,403)	18,508	-
Total expenses for FY14	\$ 544,984	\$ 127,308	\$ 61,826	\$ -	\$ 35,333	\$ 97,159	\$ 83,659	\$ 853,110
Total expenses for FY13	\$ 534,885	\$ 128,000	\$ 60,082	\$ -	\$ 32,446	\$ 92,528	\$ 79,860	\$ 835,273

See accompanying notes to the financial statements.

Dartmouth College

Statement of Cash Flows

For the year ended June 30, 2014, with comparative information for the year ended June 30, 2013
(in thousands)

	2014	2013
Cash flows from operating activities		
Total change in net assets	\$ 680,260	\$ 394,140
Adjustments to reconcile total change in net assets to net cash used by operating activities:		
Depreciation and amortization	58,557	57,984
Change in estimated value of interest rate swap agreements	7,997	(83,084)
Change in estimated pension and post-retirement benefit obligation	110,337	(49,872)
Change in split-interest liability	10,372	-
Change in pledges receivable, net	(2,547)	48,065
Other non-cash transactions	12,141	8,318
Contributions, investment income, and other changes restricted for long-term investment	(152,481)	(63,557)
Net realized and unrealized gains	(849,311)	(442,883)
Changes in operating assets and liabilities:		
Receivables and other assets, net	(5,861)	20,996
Accounts payable and other liabilities	3,347	(5,647)
Deferred revenues and deposits	(406)	3,026
Employment related obligations	7,603	6,342
Net cash used by operating activities	(119,992)	(106,172)
Cash flows from investing activities		
Student loans granted	(8,150)	(6,861)
Student loans repaid	14,389	15,362
Purchases of land, buildings, and equipment	(78,687)	(82,836)
Proceeds from the sale of land, buildings, and equipment	77	473
Net change in split-interest agreements	-	(201)
Net change in unsettled trades	(11,984)	(41,968)
Purchases of investments	(4,270,901)	(4,583,645)
Sales and maturities of investments	4,296,669	4,678,047
Net cash used by investing activities	(58,587)	(21,629)
Cash flows from financing activities		
Proceeds from issuance of debt	-	4,900
Repayment of debt	(13,458)	(6,993)
Change in investments held by bond trustees	-	151
Contributions, investment income, and other changes restricted for long-term investment in:		
Facilities	7,942	23,606
Endowment, life income, and similar funds	144,539	39,951
Changes in government advances for student loans	111	140
Net cash provided by financing activities	139,134	61,755
Net change in cash and cash equivalents	(39,445)	(66,046)
Cash and cash equivalents, beginning of year	240,195	306,241
Cash and cash equivalents, end of year	\$ 200,750	\$ 240,195
Supplemental disclosure of cash flow information		
Cash paid for interest	\$ 52,357	\$ 52,149
Accounts payable related building and equipment additions	\$ 1,888	\$ 382
Contributed securities received	\$ 29,633	\$ 44,900

See accompanying notes to the financial statements.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

A. Summary of Significant Accounting Policies

Description of Organization

Dartmouth College (Dartmouth) is a private, nonprofit, co-educational, nonsectarian institution of higher education with approximately 4,300 undergraduate and 2,100 graduate students. Established in 1769, Dartmouth includes the four-year undergraduate college, with graduate schools of business, engineering, and medicine, and several graduate programs in the Arts and Sciences.

Basis of Presentation

The accompanying consolidated financial statements have been prepared on the accrual basis. Dartmouth's financial statements include the accounts of its wholly owned subsidiaries and certain affiliated organizations over which it has financial control. The wholly owned subsidiaries and financially controlled entities include real estate corporations, which own real estate in the local area; the Dartmouth Education Loan Corporation (DELC), which provides scholarships and low-cost loans to Dartmouth students who are unable to finance their education through other sources; and various separately incorporated foundations, which support activities that enrich the experience of students and the community.

In accordance with U.S. generally accepted accounting principles (GAAP), net assets, revenues, gains, and losses are classified into three categories: unrestricted, temporarily restricted, or permanently restricted. Unrestricted net assets include all resources that are not subject to donor-imposed restrictions and therefore may be used for any purpose in furtherance of Dartmouth's mission. Under the authority of Dartmouth's management and Board of Trustees, in order to support Dartmouth's strategic initiatives, all or a portion of unrestricted net assets may be set aside in segregated Dartmouth-designated reserve accounts and earmarked for use in future years by specific departments, cost centers, or the professional schools, to cover program costs or contingencies. These Dartmouth-designated net assets include funds designated for operating initiatives, facilities, and long-term quasi-endowment. The purposes for which Dartmouth-designated net assets are earmarked may be changed under the authority of Dartmouth's management or Board of Trustees. The use of designated net assets is at the discretion of the responsible department. All expenses are recorded as a reduction of unrestricted net assets.

Temporarily restricted net assets carry donor-imposed restrictions on the expenditure or other use of contributed funds. Temporary restrictions may expire either because of the passage of time or because actions are taken to fulfill the restrictions. Temporarily restricted net assets include unexpended endowment return, unexpended restricted use gifts, term endowment funds, loan funds, certain uncollected pledges, and life income and similar funds. Donor-restricted resources intended for capital projects are released from their temporary restrictions and presented as unrestricted support when the related asset is placed in service. Temporarily restricted endowment distribution and donor-restricted gifts which are received, and either spent or deemed spent within the same fiscal year, are reported as unrestricted.

Permanently restricted net assets are those that are subject to donor-imposed restrictions which will never lapse, thus requiring that the net assets be retained permanently. Based upon a legal interpretation of New Hampshire State Law, Dartmouth has determined that appreciation on restricted endowment funds should be classified as temporarily restricted net assets until such time as the appreciation is appropriated by the Board of Trustees. Investment return from endowment activities that has been appropriated by Dartmouth's Board of Trustees is presented as an increase in operating or non-operating activities according to the unrestricted or temporarily restricted nature of the donor's intended use of the funds. In the case of quasi-endowment funds designated for long-term investment by Dartmouth, investment return that has been appropriated by Dartmouth's Board of Trustees is presented as an increase in unrestricted operating or non-operating activities, depending upon Dartmouth's intended use of the funds. Permanently restricted net assets consist of the original principal of endowment gifts, life income and similar funds, and certain pledges.

Comparative Financial Information

The 2014 financial statements are presented with certain prior-year comparative information summarized in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with GAAP. Accordingly, such information should be read in conjunction with Dartmouth's financial statements for the year ended June 30, 2013, from which the summarized information was derived.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

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 at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. The most significant estimates in these financial statements are the fair value of investments, interest rate swap agreements and bonds payable (for disclosure only), pension and postretirement benefit obligations, conditional asset retirement obligations, liabilities for self-insured programs and split-interest agreements, and allowances for uncollectible accounts and pledges receivable. Actual results could differ materially from these estimates, particularly during periods of investment and/or interest rate volatility.

Statement of Activities

Operating activities presented in the Statement of Activities consist of revenues earned, endowment net investment return appropriated by Dartmouth's Board of Trustees, and expenses incurred in conducting Dartmouth's programs and services. Auxiliary enterprises, primarily the operation of residence halls, dining services, and recreational facilities, are included in operating activities. Expenses such as development, public affairs, and central services and administration are reported as general institutional services. Depreciation and facilities operations and maintenance expenses are allocated to functional classifications of expenses based on the square footage of each building. Interest expense is allocated to functional classifications of expenses based on the use of each building that has been debt financed.

Non-operating activities presented in the Statement of Activities consist of gifts, grants, investment income, other earnings, and endowment investment return appropriated by Dartmouth's Board of Trustees for loan programs and the construction, purchase or sale of capital assets, non-capitalizable construction in progress, net change in life income and similar split-interest agreements, the net change in pledges receivable, the net change in the estimated value of interest rate swap agreements, and postretirement benefit changes other than net periodic benefits costs.

Endowment activities presented in the Statement of Activities consist of gifts that are restricted by donors to invest in perpetuity, amounts designated by Dartmouth's management and Board of Trustees for long-term investment, the net investment return on these invested funds, and the annual distribution of an amount appropriated by Dartmouth's Board of Trustees to support operating and non-operating activities. Other endowment activities include increases in endowment net assets from certain matured split-interest agreements.

Endowment and non-operating activities also include transfers of net assets that occur when donors change the restrictions on certain gifts or when Dartmouth changes the designation of unrestricted funds.

Cash and Cash Equivalents

Cash and cash equivalents consist principally of U.S. treasury funds, money market accounts, certificates of deposit, commercial paper, and liquid short-term investments with maturities of 90 days or less at the date of acquisition. Cash and cash equivalents are carried at cost, which approximates fair value.

Tuition and Fees and Student Scholarships

Tuition and fees revenue is recognized in the fiscal year in which substantially all of the academic program occurs. Tuition and fees revenue from undergraduate enrollment represents approximately 66 percent of tuition and fees revenue. Student scholarships provided by Dartmouth are presented in the Statement of Activities as a reduction in tuition and fees revenue. In addition, Dartmouth acts as an agent for recipients of scholarships from other sponsors in the amounts of \$5,375,000 and \$5,822,000 for the years ended June 30, 2014 and 2013, respectively, which are not presented in the Statement of Activities.

Dartmouth admits students to its undergraduate program without regard to financial need. The financial aid program assists all students with demonstrated need, defined in accordance with a uniform formula, by providing a mix of scholarships, loans and/or employment designed to cover costs of attendance when combined with student and family contributions, based on ability to pay.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Sponsored Research Grants and Contracts

Revenues from government and private sponsored research grants and contracts are recognized when the direct costs associated with the sponsored program are incurred. Revenue from the reimbursement of facilities and administrative costs incurred by Dartmouth on U.S. government grants and contracts is based upon negotiated predetermined cost rates through June 30, 2015. Dartmouth recovered facilities and administrative costs of approximately \$42,754,000 and \$44,241,000 during the years ended June 30, 2014 and 2013, respectively.

Taxes

Dartmouth is exempt from federal income taxes under Section 501(c)(3) of the U.S. Internal Revenue Code (the Code), except with regard to unrelated business income, which is taxed at corporate income tax rates. Dartmouth is also subject to state and local property tax on the value of dormitories and dining and kitchen facilities in excess of \$150,000, as well as on the value of its off-campus rental properties, commercial properties, and other real estate holdings to the extent they are not used or occupied for Dartmouth's tax exempt purposes. Certain Dartmouth real estate entities are exempt from federal income tax under Sections 501(c)(2) and 501(c)(25) of the Code. As of June 30, 2014, tax years ended June 30, 2011 through June 30, 2013 remain open and are subject to federal and state taxing authority examination. Dartmouth believes it has taken no significant uncertain tax positions.

Affiliation with Dartmouth-Hitchcock Medical Center

Dartmouth, through the Geisel School of Medicine (Geisel), is a member of the Dartmouth-Hitchcock Medical Center (DHMC), a confederation of health care organizations intended to coordinate medical education and health care delivery for the residents of New Hampshire and Vermont. DHMC is a nonprofit, tax-exempt corporation organized under New Hampshire State Law. The other members of DHMC are: (i) Mary Hitchcock Memorial Hospital (Hitchcock Hospital), (ii) Dartmouth-Hitchcock Clinic (Clinic), and (iii) Veterans Administration Medical Center of White River Junction, Vermont (VAMC). The staff of the Clinic serves as the primary resource for Geisel clinical faculty, with the Hitchcock Hospital and the VAMC acting as principal sites of clinical instruction for Geisel students. Each member of DHMC is a separately organized, governed, and operated institution, with Dartmouth having no ownership interest in any other member.

Certain costs, including salaries, facilities use (including construction planning and management, and facilities operation and maintenance), and direct and indirect research, incurred by Geisel and the other members of DHMC are shared among the members based on negotiated allocations of the costs on an annual or project specific basis. The members of DHMC, excluding the VAMC, are also parties to a Condominium Ownership Agreement that governs the ownership and operation of the DHMC facilities. During the years ended June 30, 2014 and 2013, Dartmouth paid approximately \$26.4 million and \$27.6 million, respectively, and received approximately \$30.0 million and \$28.5 million, respectively, in connection with these arrangements.

Insurance

Dartmouth maintains several insurance arrangements with the objective of providing the most cost effective and comprehensive coverage for most insurable risks. Both conventional and alternative insurance coverage approaches, including utilization of appropriate deductible or self-insured retention amounts, are in place to cover trustee errors and omissions and employment practices, crime bond, commercial general and automobile liability, pension trust fiduciary errors and omissions liability, and property losses. Workers' compensation losses are covered by a self-insured retention and excess insurance program. Dartmouth currently participates in three risk retention groups that provide general liability and professional and medical malpractice liability insurance.

Dartmouth's annual premium payments for conventional insurance coverage are included in operating expenses. Estimated liabilities for losses under Dartmouth's deductible and/or self-insurance retention limits are reflected in the Statement of Financial Position, which includes estimates for known losses and for losses incurred but not yet reported. Insurance reserves are based on actuarial analysis and/or estimates of historical loss experience, and while management believes that the reserves are adequate, the ultimate liabilities may be different than the amounts provided.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Gifts and Pledges Receivable

Total contributions to Dartmouth include gifts that are received and the net change in pledges receivable during a period. Gifts, pledges and pledge payments are recognized as increases in the appropriate category of net assets in the period the gift or pledge is received. The net change in total pledges is recorded as a net increase (decrease) in non-operating activities in the Statement of Activities. Contributions of capitalizable assets other than cash are recorded at their estimated fair value at the date of gift. Pledges are stated at the estimated present value of future cash flows, net of an allowance for uncollectible amounts. Conditional promises to give are not recognized until the conditions on which they depend are substantially met.

Investments

Investments are reported at fair value in accordance with GAAP. Purchases and sales of securities are recorded on the trade date, and realized gains and losses are determined on the basis of the average cost of securities sold. Cash and cash equivalents designated for investment purposes is included in investments and may include money market funds, foreign currency held for investment purposes, and fixed income securities with an original or remaining maturity of three months or less when purchased. Advance contributions to commingled fund investments and redemptions receivable from commingled fund investments at June 30, 2014 are included within Investments as presented on the Statement of Financial Position.

For investments held directly by Dartmouth for which an active market with quoted prices exists, the market price of an identical security is used as fair value. Fair values for shares in commingled funds are based on the quoted market value or share prices reported as of the last business day of the fiscal year. Dartmouth's interest in certain other commingled funds and private partnership interests are reported at the net asset value (NAV) as determined by the external fund manager. As permitted by GAAP, Dartmouth uses NAV as a practical expedient to estimate the fair value of Dartmouth's ownership interest, unless it is probable that all or a portion of the investment will be sold for an amount different from NAV. Dartmouth performs due diligence procedures related to these investments to support recognition at fair value at fiscal year-end. Because many of these investments are not readily marketable, the estimates of fair value involve assumptions and estimation methods which are uncertain, and therefore the estimates could differ from actual results.

Commencing in fiscal year 2014, Dartmouth extended its accounting closing process related to receiving valuations from private investment managers. This extension allowed Dartmouth to improve the accuracy of reporting private investment values at fiscal year-end. As a result of this extension, a previously unreported unrealized gain from June 30, 2013 of \$59,432,000 was recorded within the \$777,453,000 net investment return for the year ended June 30, 2014 on the Statement of Activities. Dartmouth assessed the impact of the \$59,432,000 out-of-period unrealized gain adjustment on both the 2013 and 2014 fiscal years and has concluded that it is immaterial.

Directly held real estate is reflected at fair value in accordance with Dartmouth's valuation policy. The valuation policy includes: the estimated price that would be received from the sale of the asset in an orderly transaction between market participants, prices determined by independent external appraisals for at least one third of the properties in a given year, or at cost which approximates fair value for properties held for less than a year or which are being actively developed.

Total investment return (interest, dividends, rents, royalties, and net realized and unrealized gains and losses) earned by Dartmouth's endowment investments is included in endowment activities on the Statement of Activities, while the net income earned by the non-endowment investments is included in other operating or non-operating income on the Statement of Activities. Dividend income is recognized net of applicable withholding taxes on the ex-dividend date. Non-cash dividends are recorded at the fair value of the securities received. Interest income and expenses are recorded net of applicable withholding taxes on the accrual basis of accounting. Dartmouth amortizes bond premiums and accretes bond discounts using the effective yield method and when cash collection is expected. Fees charged by external investment managers are generally based on contractual percentages of the fair market value of assets under management or on annual total investment return and are, in most cases, netted against investment return. However, certain expenses paid directly by Dartmouth for investment management and custody services, including certain internal costs, amounted to approximately \$11,947,000 and \$12,970,000 for the years ended June 30, 2014 and 2013, respectively, and have been netted against endowment return and other operating and non-operating income in the accompanying Statement of Activities.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

The asset allocation of Dartmouth's investment portfolio involves exposure to a diverse set of markets. The investments within these markets involve various risks such as price, interest rate, market, sovereign, currency, liquidity, and credit risks. Additionally, the investments in real assets and direct real estate expose Dartmouth to a unique set of risks such as operational, environmental, and political risks. Dartmouth anticipates that the value and composition of its investments may, from time to time, fluctuate substantially in response to any or all of the risks described herein.

Endowment

Dartmouth's endowment and similar funds consist of gifts restricted by donors and unrestricted net assets designated by management and the Board of Trustees for long-term support of Dartmouth's activities, and the accumulated investment return on these gifts and designated net assets. Accumulated investment return consists of endowment net investment return that has not been appropriated by the Board of Trustees for expenditure to support Dartmouth's operating and non-operating activities. Generally, only a portion of accumulated net investment return is made available for spending each year in accordance with a Board of Trustees-approved endowment utilization policy and New Hampshire State Law. However, certain donor restricted endowment funds do allow for the expenditure of principal, and Dartmouth-designated endowment funds are unrestricted net assets that may be re-designated for authorized expenditures.

Giving consideration to the New Hampshire Uniform Prudent Management of Institutional Funds Act (UPMIFA), Dartmouth classifies as permanently restricted net assets all endowment funds that must be retained permanently in accordance with stipulations imposed by a donor at the time of a gift, plus the original value of assets donated to permanent endowment, along with any investment earnings that are directed by the donor to be reinvested in perpetuity (i.e., historic book value). The remaining 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 in a manner consistent with the standard of prudence prescribed by UPMIFA.

Unrestricted endowment net assets include Dartmouth funds and certain unrestricted gifts from donors, and any accumulated investment return thereon, which may be expended; however, by trustee or management designation, these net assets may remain invested in the endowment for the long-term support of Dartmouth activities. Investment return on unrestricted endowment net assets and the annual distribution of a portion of accumulated investment return to operating and non-operating activities are presented as changes in unrestricted net assets in the Statement of Activities. Temporarily restricted endowment net assets include certain expendable endowment gifts, and any retained income and appreciation thereon, which are restricted by the donor to a specific purpose or by law. When the temporary restrictions on these funds have been met, the gifts ordinarily remain in the endowment by trustee designation to continue supporting the same activities as those specified by the donors, but the net assets are reclassified to unrestricted endowment net assets. Investment return on temporarily and permanently restricted net assets are generally presented as changes in temporarily restricted net assets in the Statement of Activities.

Split-Interest Agreements

Certain donors have established irrevocable split-interest agreements with Dartmouth, primarily charitable gift annuities, pooled life income funds, and irrevocable charitable remainder trusts, whereby the donated assets are invested and distributions are made to the donor and/or other beneficiaries in accordance with the agreement for a specified period of time, after which time the remaining assets and future investment return are retained by Dartmouth. At the discretion of the donor, Dartmouth may or may not serve as trustee for the split-interest agreement.

Dartmouth has recorded the estimated fair value of the investments associated with irrevocable split-interest agreements and an estimated liability, using a discount rate of 2.2% for FY14 and 1.2% for FY13, for the net present value of the future cash outflows to beneficiaries of the agreements for which Dartmouth serves as trustee. When Dartmouth is not the trustee of the assets associated with a split-interest agreement, a receivable for Dartmouth's beneficial interest is established when Dartmouth is notified of the trust's existence and when the third-party trustee has provided Dartmouth with sufficient reliable information to estimate the value of the receivable, which the College considers a Level 3 measurement. Dartmouth requests information regularly from third-party trustees for financial reporting purposes; however, these trustees are not obligated to provide Dartmouth with the information necessary to estimate fair value and record the asset. Dartmouth respects the privacy of donors and trustees in these limited instances. Dartmouth reports the net change in split-interest agreements as a non-operating change in net assets in the Statement of Activities.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Land, Buildings, Equipment, and Construction in Progress

Land, buildings, equipment, and construction in progress are recorded at cost at the date of acquisition or, if acquired by gift, at the estimated fair value as of the date of the gift. Purchases, construction, and renovations of assets which exceed Dartmouth's specified dollar threshold and have a useful life greater than one year are capitalized, while scheduled maintenance and minor renovations of less than that amount are charged to operations.

Land, buildings, and equipment are reflected net of accumulated depreciation calculated on a straight-line basis over the following estimated economic lives.

Buildings and building components	10 - 50 years
Depreciable land improvements	15 - 20 years
Equipment	5 - 20 years

Depreciation expense for facilities that are primarily used for sponsored research is based on the estimated economic lives of each component.

Collections

Dartmouth's collections include works of art, literary works, historical treasures, and artifacts that are maintained in its museum and libraries. These collections are protected and preserved for public exhibition, education, research, and the furtherance of public service. Each of the items is cataloged, preserved, and cared for, and activities verifying their existence and assessing their condition are performed continuously. The collections are subject to a policy that requires proceeds from their sale to be used to acquire other items for collections.

The collections, which were acquired through purchases and contributions since Dartmouth's inception, are not recognized as assets in the Statement of Financial Position. Purchases of collection items are recorded in the Statement of Activities as non-operating decreases in unrestricted net assets in the year in which the items are acquired or in temporarily restricted net assets if the assets used to purchase the items are restricted by donors. Contributed collection items are not recorded in the financial statements.

B. Receivables and Other Assets

Receivables and other assets consisted of the following at June 30 (in thousands):

	2014	2013
Student accounts	\$ 3,039	\$ 2,334
Sponsored research grants and contracts	19,667	20,162
Other accounts	46,396	44,008
Notes and student loans	68,800	75,039
Less: allowance for uncollectible accounts	(4,047)	(2,979)
Receivables, net	\$ 133,855	\$ 138,564
Prepaid costs, inventories, and other assets	18,131	15,200
Total receivables and other assets, net	\$ 151,986	\$ 153,764

Federally sponsored student loans with mandated interest rates and repayment terms are subject to significant restrictions as to their transfer and disposition. Amounts received from the Federal government to fund a portion of the Perkins student loans are ultimately refundable to the Federal government and are classified as government advances for student loans in the Statement of Financial Position. Due to the nature and terms of student loans funded by the Federal government, and restricted and unrestricted Dartmouth funds, it is not practical to estimate the fair value of such loans. All other receivables are carried at estimated net realizable value.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

C. Gifts and Pledges Receivable

Gifts and pledge payments received during the years ended June 30 were as follows (in thousands):

	2014	2013
Gifts to support operations	\$ 85,584	\$ 90,332
Gifts for:		
Facilities and student loans	8,012	23,626
Other restricted uses	12,875	2,713
Endowment	143,456	28,047
Split-interest agreements	6,846	11,105
Total gifts and pledge payments	\$ 256,773	\$ 155,823

Unconditional pledges as of June 30 are expected to be realized in the following periods, discounted at rates ranging from 0.07% to 6.2% (in thousands):

	2014	2013
In one year or less	\$ 53,056	\$ 60,024
Between one year and five years	50,313	47,921
Six years and after	5,038	1,531
Gross pledges receivable	\$ 108,407	\$ 109,476
Less: present value discount	(3,700)	(3,083)
Less: allowance for uncollectible pledges	(7,449)	(11,682)
Pledges receivable, net	\$ 97,258	\$ 94,711

The change in net pledges receivable is presented as a non-operating activity in the Statement of Activities.

D. Investments

Investments at fair value consisted of the following at June 30 (in thousands):

	2014	2013
Endowment investments	\$ 4,535,783	\$ 3,802,047
Split-interest agreement investments	125,245	111,744
Operating and other investments	886,760	810,454
Total investments	\$ 5,547,788	\$ 4,724,245

The framework for measuring fair value utilizes a hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The three levels of the fair value hierarchy are as follows:

Level 1 - Quoted prices (unadjusted) in active markets for identical investments as of the reporting date. The type of investment in Level 1 includes actively listed equities, US Treasury securities, and exchange traded and registered funds all held directly by Dartmouth, and excludes listed equities and other securities held indirectly through commingled funds.

Level 2 - Pricing inputs, including broker quotes, are generally those other than exchange quoted prices in active markets, which are either directly or indirectly observable as of the reporting date, and fair value is determined through the use of models or other valuation methodologies. The type of investments in Level 2 includes fixed income securities, derivatives, and commingled funds that are valued using NAV and are redeemable within 90 days as of the reporting date.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Level 3 - Pricing inputs are unobservable for the investment and include situations where there is little, if any, market activity for the investment. The inputs into the determination of fair value require significant management judgment or estimation. The type of investments in Level 3 includes illiquid partnership interests, directly held real estate, and other commingled funds that are valued using NAV and are redeemable more than 90 days from the reporting date.

The inputs or methodology used to value or classify investments for financial reporting purposes is not necessarily an indication of the risk associated with investing in those investments.

The following table summarizes Dartmouth's assets that are reported at fair value by their fair value hierarchy classification as of June 30, 2014 (in thousands):

	Level 1	Level 2	Level 3	Total
Assets:				
Investments:				
Cash and cash equivalents	\$ 246,979	\$ -	\$ -	\$ 246,979
Fixed income ¹	199,019	223,254	458	422,731
Global equity:				
US equity	587,875	243,987	374,479	1,206,341
International	18,014	231,936	-	249,950
Emerging markets	48,548	136,360	10,735	195,643
Marketable alternative strategies	-	218,858	869,982	1,088,840
Private equity/venture capital	-	-	1,033,804	1,033,804
Real assets:				
Real estate	17,108	-	571,217	588,325
Other real assets	75,536	-	256,412	331,948
Other investments	-	116	7,683	7,799
Contribution in Advance	40,000	-	-	40,000
Redemption Receivable	135,428	-	-	135,428
Total investments	<u>\$ 1,368,507</u>	<u>\$ 1,054,511</u>	<u>\$ 3,124,770</u>	<u>\$ 5,547,788</u>

¹ Fixed income includes privately held bonds.

The following table lists specified investment terms by asset category for Dartmouth's interest in certain commingled funds and private partnership interests that are reported at NAV as of June, 30, 2014 (in thousands):

	Redemption Terms	Days Notice	Unfunded Commitment	Remaining Life
Global equity:				
US equity ¹	Ranges from quarterly to bi-annually	60 - 90	\$ -	Not applicable
International	Ranges from monthly to quarterly	6 - 60	-	Not applicable
Emerging markets	Ranges from monthly to bi-annually	30 - 120	-	Not applicable
Marketable alternative strategies ²	Ranges from quarterly to every three years	60 - 180	-	Not applicable
Private equity/venture capital	Illiquid	Not applicable	310,148	1 - 12 years
Real assets:				
Real estate	Illiquid	Not applicable	126,232	1 - 12 years
Other real assets	Illiquid	Not applicable	109,430	1 - 20 years
Total			<u>\$ 545,810</u>	

¹ US equity includes funds that have restrictions on the ability to fully redeem up to five years.

² Marketable alternative strategies includes funds that have restrictions on the ability to fully redeem up to five years, excluding illiquid securities and special investments.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

The following table summarizes Dartmouth's assets that are reported at fair value by their fair value hierarchy classification as of June 30, 2013 (in thousands):

	Level 1	Level 2	Level 3	Total	Redemption or Liquidation	Days' Notice
Assets:						
Investments:						
Cash and cash equivalents	\$ 238,098	\$ -	\$ -	\$ 238,098	Daily	1
Fixed income ¹	165,274	234,258	1	399,533	Daily-Monthly	1
Global equity:						
US equity ²	459,670	260,862	219,113	939,645	Daily- Bi-annual	1-90
International	16,841	130,827	-	147,668	Daily - Monthly	1-10
Emerging markets ³	42,425	131,686	18,271	192,382	Daily - Annual	1-120
Marketable alternative strategies ⁴	-	193,253	825,199	1,018,452	Quarterly- Annual	30-180
Private equity/venture capital	-	-	902,367	902,367	Illiquid	Not Applicable
Real assets:						
Real estate	13,637	191,804	381,806	587,247	Daily - Illiquid	1 Day - Not Applicable
Other real assets	60,917	-	229,091	290,008	Daily - Illiquid	1 Day - Not Applicable
Other investments	-	1,797	7,048	8,845	Not Applicable	Not Applicable
Total investments	<u>\$ 996,862</u>	<u>\$ 1,144,487</u>	<u>\$ 2,582,896</u>	<u>\$ 4,724,245</u>		

¹ Fixed income includes privately held bonds.

² US equity includes funds that may have restrictions on the ability to fully redeem up to five years, excluding special investments and other securities that are non-marketable.

³ Emerging markets includes a fund that has a lock-up expiring on or before April 2015.

⁴ Marketable alternative strategies include two funds having initial lock-ups expiring on or before April 2014. Other funds may have restrictions on the ability to fully redeem up to three years, excluding illiquid securities and special investments.

At June 30, 2013, Dartmouth's outstanding commitments to limited partnerships totaled \$437,444,000. The anticipated draw down for these commitments is typically between 1 and 5 years with remaining fund lives typically between 1 and 12 years. The structure of these investments is such that there is no ability to redeem, and therefore these investments are considered illiquid.

The following tables present Dartmouth's activity for the fiscal years ended June 30, 2014 and 2013 for investments measured at fair value in Level 3 (in thousands):

	Marketable Alternative Strategies	Private Equity/Venture Partnerships	Real Assets	Other Assets	Total
Balance as of June 30, 2013	\$ 825,199	\$ 902,367	\$ 610,897	\$ 244,433	\$ 2,582,896
Acquisitions / purchases	124,500	90,065	40,041	31,713	286,319
Distributions / sales	(148,197)	(248,541)	(170,277)	(13,485)	(580,500)
Transfers In	41,913	-	193,571	62,380	297,864
Transfers Out	(77,925)	-	-	(25,536)	(103,461)
Investment income and realized gain	57,510	140,856	69,662	4,506	272,534
Change in unrealized gain on investments	46,982	149,057	83,735	89,344	369,118
Balance as of June 30, 2014	<u>\$ 869,982</u>	<u>\$ 1,033,804</u>	<u>\$ 827,629</u>	<u>\$ 393,355</u>	<u>\$ 3,124,770</u>

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

	Marketable Alternative Strategies	Private Equity/Venture Partnerships	Real Assets	Other Assets	Total
Balance as of June 30, 2012	\$ 689,325	\$ 961,640	\$ 650,290	\$ 213,201	\$ 2,514,456
Acquisitions / purchases	103,000	75,721	50,990	23,101	252,812
Distributions / sales	(71,755)	(250,820)	(140,622)	(27,977)	(491,174)
Investment income and realized gains	57,928	139,423	57,711	10,262	265,324
Change in unrealized gain (loss) on investments	46,701	(23,597)	(7,472)	25,846	41,478
Balance as of June 30, 2013	<u>\$ 825,199</u>	<u>\$ 902,367</u>	<u>\$ 610,897</u>	<u>\$ 244,433</u>	<u>\$ 2,582,896</u>

Included in Other Assets in the above tables are fixed income, global equity, and other investments.

Transfers between levels of the fair value hierarchy are reported at the beginning of the reporting period in which they occur. Transfers from Level 3 to Level 2 are primarily due to changes in liquidity provisions of certain commingled funds available within 90 days of the measurement date. Transfers from Level 2 to Level 3 are primarily due to Dartmouth's evaluation of the liquidity terms of certain commingled funds. Effective July 1, 2013, Dartmouth considers its directly held real estate investments to be Level 3 investments based on the provision of additional transparency into the observability of inputs.

The following table provides quantitative information about the significant unobservable inputs used in the valuation of directly held real estate as of June 30, 2014. Investments in real estate represent the total asset value of each of the underlying property investments. Significant changes in any one third party appraisal input would likely not result in a significant change in fair value measurement to the directly held real estate portfolio, however, actual results could differ materially from these estimates particularly during periods of investment and/or interest rate volatility.

Valuation Technique	Fair Value ¹	Unobservable Inputs	Input Value(s)
Third party appraisal-income approach & comparable sales	\$ 183,007	Capitalization rate	6.50 – 9.00%
Tax assessed value – adjusted annually	19,484	Discount rate	8.00 – 12.00%
Net present value	1,229	State/Local equalization ratios	.947 - .993
Cost	593	Discount rate	3.17%
Total	<u>\$ 204,313</u>	Not applicable	Not applicable

¹The fair value may be determined using multiple valuation techniques.

The Fixed Income portfolio includes strategies based on capital preservation and predictable yield as well as more opportunistic strategies focused on generating return through price appreciation. These strategies generally include corporate debt securities, government securities, mortgage backed and asset backed securities and other financial instruments. The structures of these investments include directly held securities as well as investments through commingled funds and derivatives.

The Global Equity portfolio includes managers who primarily invest in public long-only and long/short equity securities with portfolios that are directionally exposed to the market. The structures of these investments include directly held securities as well as investments through commingled funds.

The Marketable Alternative Strategies portfolio includes investments in commingled funds whose managers employ discrete and blended strategies, including long/short equity, absolute return, market neutral, distressed and credit strategies. Funds with marketable alternative strategies generally hold securities or other financial instruments for which a ready market exists, and may include stocks, bonds, put or call options, swaps, futures, currency hedges, and other financial instruments.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Dartmouth also invests in venture capital, private equity, real estate, other real assets, and other debt related strategies through private limited partnerships, which are illiquid. These investments often require the estimation of fair value by the general partner in the absence of readily determinable market values. The private portfolio is based primarily in the United States but includes managers who may invest globally. Real Estate investments also include real estate investment trust securities held through publically traded mutual funds as well as directly held real estate. Other real asset investments, in addition to natural resource limited partnerships, include an exchange traded fund with underlying exposure to commodities.

The following table sets forth the fair value of Dartmouth's derivative instruments by contract type as of June 30, 2014 and gains/losses related to derivative activities for the year ended June 30, 2014 (in thousands):

	Notional Exposure		Fair Value ¹		Net Gain/Loss ²
	Long	Short	Asset	Liability	
Foreign currency forward contracts	\$ 46,175	\$ (27,290)	\$ 327	\$ (581)	\$ (456)
Fixed income futures contracts	25,776	(67,458)	98	(71)	(712)
Interest rate swaps	-	-	-	-	170
Credit default swaps	8,421	(8,445)	58	(980)	(436)
Total	<u>\$ 80,372</u>	<u>\$ (103,193)</u>	<u>\$ 483</u>	<u>\$ (1,632)</u>	<u>\$ (1,434)</u>

¹ The net fair value of these derivative instruments is included in the Statement of Financial Position as investments at fair value.

² The net gain/loss from these derivative instruments is presented in the operating and non-operating sections of the Statement of Activities as other operating income and other non-operating changes.

From time to time Dartmouth enters into foreign currency forward contracts and government bond futures and forwards to efficiently manage portfolio exposures to global currencies and interest rates. These instruments may be used to hedge the portfolio from unwanted currency and interest rate risk, but also to efficiently implement active duration and relative value currency strategies. Dartmouth is obligated to pledge to the appropriate broker cash or securities to be held as collateral, as determined by exchange margin requirements for futures contracts held. At June 30, 2014 and 2013, the fair value of Dartmouth's pledged collateral on futures contracts for investment purposes was \$426,000 and \$965,000 respectively and is included in investments on the Statement of Financial Position. At June 30, 2013, Dartmouth held forward contracts to buy foreign currencies in the amount of \$12,554,000 and to sell foreign currencies in the amount of \$7,482,000. The difference between the estimated notional value of open futures contracts to sell and purchase securities was a net long position of \$18,551,000 as of June 30, 2013.

From time to time Dartmouth enters into swap contracts for investment purposes. Interest rate swap contracts are used to efficiently manage portfolio exposures to interest rates. These instruments may be used to hedge the portfolio from unwanted interest rate risk, but also to efficiently implement active duration strategies. The notional amount of contracts that pay based on fixed rates and receive based on variable rates was \$15,100,000 at June 30, 2013. The fair value of the contracts at June 30, 2013 was \$274,000 and is included in the Statement of Financial Position as investments at fair value. The gain on these contracts was \$274,000 and is presented in the operating and non-operating sections of the Statement of Activities for June 30, 2013.

Credit default swaps are used to simulate long or short positions or to reduce credit risk where exposure exists. The buyer of a credit default swap is obligated to pay to the seller a periodic stream of payments over the term of the contract in return for a contingent payment upon occurrence of a contracted credit event. The seller of a credit default swap bears the obligation to pay the buyer upon occurrence of a contracted credit event in return for a periodic stream of fixed payments from the buyer over the term of the contract. As of June 30, 2013, the total notional amount of credit default swap contracts for protection purchased was \$9,529,000 and the notional amount related to protection sold was \$3,247,000. The fair value of the buy contracts at June 30, 2013 was approximately (\$67,000) and the sell contracts was (\$217,000) and are included in the Statement of Financial Position as investments at fair value. At June 30, 2013, the loss on the buy contracts was \$34,000 and loss on the sell contracts was \$107,000 and are presented in the operating and non-operating sections of the Statement of Activities.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

E. Endowment

The changes in fair value of net assets held in endowment and similar funds for the years ended June 30 were as follows (in thousands):

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Endowment net assets, June 30, 2013	\$ 894,595	\$ 1,854,632	\$ 984,369	\$ 3,733,596
Investment return:				
Investment income	7,224	23,949	-	31,173
Net gain in fair value:				
Realized	67,381	218,790	-	286,171
Unrealized	108,417	350,097	1,595	460,109
Total investment return	183,022	592,836	1,595	777,453
Gifts	53	7,779	135,624	143,456
Distribution of endowment return to all funds	(43,940)	(144,606)	-	(188,546)
Other changes, net	2,921	(3,446)	2,785	2,260
Endowment net assets, June 30, 2014	\$ 1,036,651	\$ 2,307,195	\$ 1,124,373	\$ 4,468,219

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Endowment net assets, June 30, 2012	\$ 833,511	\$ 1,700,362	\$ 952,511	\$ 3,486,384
Investment return:				
Investment income	7,432	24,078	-	31,510
Net gain in fair value:				
Realized	63,875	201,499	-	265,374
Unrealized	25,848	80,972	1,058	107,878
Total investment return	97,155	306,549	1,058	404,762
Gifts	30	811	27,206	28,047
Distribution of endowment return to all funds	(43,979)	(141,499)	-	(185,478)
Other changes, net	7,878	(11,591)	3,594	(119)
Endowment net assets, June 30, 2013	\$ 894,595	\$ 1,854,632	\$ 984,369	\$ 3,733,596

Other changes include additions to the endowment from the maturity of split-interest agreements and net transfers resulting from changes in donor restrictions or Dartmouth designations.

Included in temporarily restricted endowment net assets at the end of the year is the remaining amount of expendable accumulated appreciation on permanent endowment funds of \$1,927,893,000 and \$1,536,709,000 at June 30, 2014 and 2013, respectively.

Endowment net assets consist of the following as of June 30, 2014 (in thousands):

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ -	\$ 2,225,159	\$ 1,124,373	\$ 3,349,532
Board-designated endowment funds	1,036,651	82,036	-	1,118,687
Total endowment net assets	\$ 1,036,651	\$ 2,307,195	\$ 1,124,373	\$ 4,468,219

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Endowment net assets consist of the following as of June 30, 2013 (in thousands):

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ (12)	\$ 1,783,681	\$ 984,369	\$ 2,768,038
Board-designated endowment funds	894,607	70,951	-	965,558
Total endowment net assets	<u>\$ 894,595</u>	<u>\$ 1,854,632</u>	<u>\$ 984,369</u>	<u>\$ 3,733,596</u>

From time to time, the fair values of assets associated with individual donor restricted endowment funds may fall below the level that the donor or UPMIFA requires to retain as a fund of perpetual duration. In accordance with GAAP, events of this nature are reported as reductions in unrestricted net assets and were \$0 and (\$12,000) as of June 30, 2014 and 2013, respectively. These events were a result of market declines since the endowment funds were established. A Board of Trustees policy limits the distribution from these funds to current income only, except in cases where the donor directs otherwise.

Dartmouth employs a total return endowment utilization policy that establishes the amount of investment return made available for spending each fiscal year. The amount appropriated for expenditure each year is independent of the actual return for the year, but the appropriated amount cannot exceed the total accumulated return in an individual fund at the time of distribution. The Board approves the formula that determines the amount appropriated from endowment each year. The resulting FY14 endowment distribution of \$188,546,000 represents a 5.0% distribution rate when measured against the previous year's June 30th endowment market value. Investment return earned in excess of the amount appropriated annually is reinvested in the funds, but can be appropriated in future years in accordance with the utilization policy. The net appreciation on most of the permanently and temporarily restricted endowment funds is reported together with temporarily restricted net assets until such time as all or a portion of the appreciation is appropriated for spending in accordance with the utilization policy and applicable state law.

The overall investment performance objective for the endowment is to generate real (inflation-adjusted) returns net of investment expenses sufficient to support Dartmouth's current operating needs while maintaining the long-term purchasing power of the endowment. Historical averages indicate that an annual return between 8% - 10% is needed to meet this goal. The Investment Committee of the Board of Trustees has determined that a well-diversified mix of assets offers the best opportunity for maximum return with acceptable risk over time. Dartmouth relies on a total return strategy in which investment returns are achieved through both capital appreciation (both realized and unrealized) and current yield (interest and dividends). Investment decisions are made with a view toward maximizing long-term return opportunities while maintaining an acceptable level of investment risk and liquidity.

F. Land, Buildings, Equipment, and Construction in Progress

Land, buildings, equipment, and construction in progress balances at June 30 were as follows (in thousands):

	2014	2013
Land	\$ 19,158	\$ 19,082
Buildings	1,147,098	1,124,809
Land improvements	109,407	109,087
Equipment and software	<u>292,518</u>	<u>281,520</u>
Land, buildings, and equipment	\$ 1,568,181	\$ 1,534,498
Less: accumulated depreciation	(708,562)	(659,012)
Construction in progress	<u>95,912</u>	<u>68,841</u>
Total net book value	<u>\$ 955,531</u>	<u>\$ 944,327</u>

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Dartmouth has conditional asset retirement obligations arising from legal obligations to perform certain activities in connection with the retirement, disposal, or abandonment of assets, including asbestos abatement, leasehold improvements, hazardous materials, and equipment disposal and cleanup. The liability was initially recorded at fair value, and is adjusted for accretion expense, and changes in the amount or timing of cash flows. The corresponding asset retirement costs are capitalized as part of the carrying values of the related long-lived assets and depreciated over the useful lives of the assets.

G. Bonds, Mortgages, and Notes Payable

Indebtedness at June 30 consisted of the following (in thousands):

	Fiscal Year			
	Maturity	Interest Rate	2014	2013
New Hampshire Health and Education Facilities Authority (NHHEFA):				
Tax-Exempt Fixed Rate:				
Series 2009	2019 – 2039	3.30% - 4.77%	\$ 198,875	\$ 198,875
Tax-Exempt Variable Rate:				
Series 2002	2032	.03% - .14%	101,000	101,000
Series 2003	2023	.03% - .11%	76,600	83,700
Series 2007A	2031	.01% - .11%	89,710	89,755
Series 2007B	2041	.01% - .11%	75,000	75,000
Subtotal tax-exempt bonds			\$ 541,185	\$ 548,330
Taxable Bonds:				
NHHEFA Variable Rate:				
Series 2007C	2041	.06% - .12%	30,000	30,000
Fixed Rate				
Series 2009	2019	4.75%	250,000	250,000
Series 2012A	2042	4.00%	70,000	70,000
Series 2012B	2043	3.76%	150,000	150,000
Subtotal taxable bonds			\$ 500,000	\$ 500,000
Subtotal bonds			\$ 1,041,185	\$ 1,048,330
Mortgages on real estate investments:				
Fixed Rate	2017 - 2037	4.34% - 5.61%	49,003	50,317
Taxable commercial paper note:				
Variable Rate		.11% to .13%	18,900	23,900
Subtotal bonds, mortgages and notes payable			\$ 1,109,088	\$ 1,122,547
Original issue premium, net			4,245	4,240
Total bonds, mortgages, and notes payable, net			\$ 1,113,333	\$ 1,126,787

Included in interest and amortization presented on the Statement of Operating Expenses is interest expense on debt (including payments on interest rate swap agreements) used to finance facilities projects of \$24,462,000 and \$24,324,000, and on other operating indebtedness of \$154,000 and \$152,000 for the years ended June 30, 2014 and 2013, respectively. In addition, interest paid on debt used to finance facilities projects of \$199,000 and \$464,000 was capitalized in connection with various construction projects for the years ended June 30, 2014 and 2013, respectively.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Interest expense on debt used to finance student loans totaled \$1,406,000 and \$1,406,000 for the years ended June 30, 2014 and 2013, respectively, and is presented as a deduction from other non-operating earnings in the Statement of Activities. Interest expense on other non-operating indebtedness totaled \$23,297,000 and \$23,460,000 for the years ended June 30, 2014 and 2013, respectively, and is presented as a deduction from other non-operating earnings in the Statement of Activities. Interest expense on mortgages and debt used to finance endowment-related real estate projects totaled \$2,664,000 and \$2,625,000 for the years ended June 30, 2014 and 2013, respectively, and is presented as a deduction in endowment net investment return in the Statement of Activities. Total interest expense included in the Statement of Activities is \$51,983,000 and \$51,967,000 for the years ended June 30, 2014 and 2013, respectively.

The aggregate amounts of principal due for each of the next five years ending June 30 and thereafter are as follows (in thousands):

<u>June 30</u>	<u>Principal Due</u>
2015	\$ 27,781
2016	9,154
2017	27,627
2018	9,909
2019	268,208
Thereafter	<u>766,409</u>
Total	<u>\$ 1,109,088</u>

Principal due after June 30, 2019, includes the following "balloon" payments due on Dartmouth's indebtedness (in thousands):

<u>June 30</u>	<u>Indebtedness</u>	<u>Payment</u>
2027	NHHEFA Series 2007A bonds	\$ 31,820
2028	NHHEFA Series 2009 bonds	\$ 32,190
2028	NHHEFA Series 2007A bonds	\$ 52,060
2029	NHHEFA Series 2009 bonds	\$ 20,000
2031	NHHEFA Series 2007A bonds	\$ 5,120
2032	NHHEFA Series 2002 bonds	\$ 101,000
2036	NHHEFA Series 2007B bonds	\$ 18,000
2039	NHHEFA Series 2009 bonds	\$ 138,765
2041	NHHEFA Series 2007B bonds	\$ 57,000
2041	NHHEFA Series 2007C bonds	\$ 30,000
2042	2012 Series A bonds	\$ 70,000
2043	2012 Series B bonds	\$ 150,000

The estimated fair value of the bonds was approximately \$1,095,409,000 and \$1,070,035,000 as of June 30, 2014 and 2013, respectively. The fair value for fixed-rate debt is based on estimates of the prevailing market yield and resulting price for each maturity of debt. The market yield is impacted by several factors including credit, length of maturity, coupon, and optional redemption provisions. Variable rate debt is valued at par since the rate is reset frequently and the bonds are puttable by the investor and callable by the borrower at any time. Dartmouth considers this to be a Level 2 measurement.

The NHHEFA bonds are a general obligation collateralized only by Dartmouth's pledge of full faith and credit and by funds held from time to time by the trustee for the benefit of the holders of the bonds under the respective bond resolutions. Dartmouth has agreed to certain covenants with respect to encumbrance or disposition of its core campus.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

During fiscal year 2009, Dartmouth entered into six interest rate swap agreements. Information related to these interest rate swap agreements as of June 30, 2014, including the fixed interest rate paid by Dartmouth and percent of LIBOR BBA (1 month) received on the notional principal, is presented in the table below (in thousands):

Expiration Date	Notional Amount	Fixed Interest Rate %	% of LIBOR BBA
06/01/2032	\$ 100,000	3.75	67
06/01/2041	\$ 100,000	3.73	70
06/01/2027	\$ 31,930	3.77	72
06/01/2028	\$ 52,660	3.78	72
06/01/2042	\$ 100,000	3.73	70
06/01/2043	\$ 165,000	3.74	70

The fair value of these agreements at June 30, 2014 and 2013, based on various factors contained in the interest rate swap agreements and certain interest rate assumptions, was approximately \$141,219,000 and \$133,222,000, respectively, and is considered a Level 2 measurement. The increase of \$7,997,000 in the liability for the year ended June 30, 2014 is presented as an unrealized loss and the decrease of \$83,084,000 in the liability for the year ended June 30, 2013 is presented as an unrealized gain in the non-operating section of the Statement of Activities. Net payments or receipts under the swap agreements associated with facilities debt are reflected as interest expense. These financial instruments involve counter-party credit exposure.

Dartmouth maintains stand-by bond purchase agreements with financial institutions totaling approximately \$372,300,000 to provide alternative liquidity to support its variable rate demand bonds in the event that the bonds cannot be remarketed. Financing obtained through these stand-by credit agreements to fund the repurchase of such bonds would bear interest rates different from those associated with the original bond issues, and mature over a three or a five year period following repurchase. The agreements have various maturity dates between August 2014 and December 2016. There were no amounts outstanding at June 30, 2014 and 2013 under these agreements.

Dartmouth has a \$75,000,000 line of credit with a maturity date of December 29, 2014. There have been no borrowings under this line of credit.

H. Pension and Other Employment Related Obligations

Liabilities for retirement and postretirement medical benefits, salaries, wages, and other benefits under employment agreements consisted of the following at June 30 (in thousands):

	2014	2013
Retirement and postretirement benefits	\$ 358,284	\$ 242,222
Compensated absences, severance plans, and other commitments	20,244	18,518
Self-insured benefits	11,862	11,710
Total employment related obligations	\$ 390,390	\$ 272,450

In fiscal year 1998, Dartmouth revised its pension benefit for staff and non-union service employees, giving each participant a one-time option to either remain in the defined benefit plan or enroll in the defined contribution plan effective January 1, 1998. Staff and non-union service employees hired since that date receive retirement benefits under the defined contribution plan. Effective January 1, 2006, all union employees are enrolled in the defined contribution plan.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

Dartmouth's postretirement medical benefits consist of medical insurance coverage for retirees. Employees hired prior to July 1, 2009 that are 55 or older and have at least ten continuous years of service in a benefits-eligible position immediately prior to retirement are currently eligible for a subsidy toward the purchase of Retiree Medical Benefits. The subsidy amount was based on the employee's annual salary, age, and years of service as of June 30, 2009. For retirees under the age of 65, the medical insurance options are the same as for active employees. At age 65, the retiree would enroll in the Dartmouth College Medicare Supplement (DCMS) plan. New employees hired on or after July 1, 2009 are eligible to participate in a Retirement Savings Match and are eligible to purchase the retiree group medical insurance at full cost if they qualify at retirement.

Information pertaining to the pension and postretirement benefits at June 30 include (in thousands):

	Pension Benefits		Postretirement Benefits	
	2014	2013	2014	2013
Change in benefit obligation:				
Beginning of year	\$ 120,696	\$ 120,920	\$ 226,449	\$ 274,684
Service cost	2,538	2,708	5,423	7,809
Interest cost	5,558	5,059	12,174	13,435
Benefits paid	(7,681)	(6,261)	(5,364)	(4,209)
Actuarial (gain)/loss	13,105	(1,730)	97,881	(65,270)
End of year	<u>\$ 134,216</u>	<u>\$ 120,696</u>	<u>\$ 336,563</u>	<u>\$ 226,449</u>
Change in estimated fair value of plan assets:				
Beginning of year	\$ 113,931	\$ 112,518	\$ -	\$ -
Actual return on plan assets	18,979	3,674	-	-
Employer contributions	2,000	4,000	5,364	4,209
Benefits paid	(7,681)	(6,261)	(5,364)	(4,209)
End of year	<u>\$ 127,229</u>	<u>\$ 113,931</u>	<u>\$ -</u>	<u>\$ -</u>
Funded status (plan assets less than benefits obligation)	<u>\$ (6,987)</u>	<u>\$ (6,765)</u>	<u>\$ (336,563)</u>	<u>\$ (226,449)</u>
Net periodic benefit (income) cost included the following:				
Service cost	\$ 2,538	\$ 2,708	\$ 5,423	\$ 7,809
Interest cost	5,558	5,059	12,174	13,435
Expected return on assets	(6,365)	(6,358)	-	-
Amortization of prior service cost (credit)	240	240	(7,644)	(7,644)
Recognized net actuarial loss	2,364	3,218	-	3,127
Net periodic benefit cost	<u>\$ 4,335</u>	<u>\$ 4,867</u>	<u>\$ 9,953</u>	<u>\$ 16,727</u>
Weighted-average assumptions:				
Discount rate used to determine net periodic benefit cost	4.80%	4.40%	5.45%	4.95%
Expected return on plan assets	6.50%	6.80%	-	-
Rate of compensation increase	3.00%	3.00%	-	-
Discount rate used to determine benefit obligations	4.30%	4.80%	4.70%	5.45%

The increase in the post-retirement benefit obligation is due to the change in discount rate presented above and the use of an updated mortality table which is reflected in the 2014 actuarial loss of \$97,881,000.

The estimated net cost for the defined benefit plan that will be amortized into net periodic cost in fiscal 2015 is \$2,532,000. The estimated net (income) for postretirement benefits that will be amortized into net periodic cost in fiscal 2015 is (\$1,094,000).

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

The increase (decrease) in unrestricted net assets resulting from the change in pension and post-retirement benefit obligations consisted of the following (in thousands):

	Pension Benefits	Post-retirement Benefits	Total 2014	Total 2013
Amounts recognized in non-operating activities:				
Net actuarial gain (loss)	\$ (491)	\$ (97,881)	\$ (98,372)	\$ 64,317
Amortization of gain	2,364	-	2,364	6,345
Amortization of prior service cost (credit)	240	(7,644)	(7,404)	(7,404)
Total non-operating gain (loss)	2,113	(105,525)	(103,412)	63,258
Amounts recognized in operating activities:				
Net periodic benefit cost	(4,335)	(9,953)	(14,288)	(21,594)
Total gain (loss)	<u>\$ (2,222)</u>	<u>\$ (115,478)</u>	<u>\$ (117,700)</u>	<u>\$ 41,664</u>

The following table summarizes the defined benefit pension plan investments by their fair value hierarchy classification as of June 30, 2014 (in thousands):

	Level 1	Level 2	Level 3	Total
Cash and cash equivalents	\$ 897	\$ -	\$ -	\$ 897
Global equity	-	32,345	-	32,345
Fixed income ¹	-	90,210	-	90,210
Limited partnerships ²	-	-	3,777	3,777
Total investments	<u>\$ 897</u>	<u>\$ 122,555</u>	<u>\$ 3,777</u>	<u>\$ 127,229</u>

The following table summarizes the defined benefit pension plan investments by their fair value hierarchy classification as of June 30, 2013 (in thousands):

	Level 1	Level 2	Level 3	Total
Cash and cash equivalents	\$ 649	\$ -	\$ -	\$ 649
Global equity	-	41,434	-	41,434
Fixed income ¹	-	67,936	-	67,936
Limited partnerships ²	-	-	3,912	3,912
Total investments	<u>\$ 649</u>	<u>\$ 109,370</u>	<u>\$ 3,912</u>	<u>\$ 113,931</u>

¹ This category includes fixed income commingled funds and other financial instruments related to fixed income products.

² This category includes investments in venture capital, private equity, and other real asset private partnerships.

The following table presents activity for the fiscal year ended June 30, 2014 and 2013 for the defined benefit pension plan investments measured at fair value in Level 3 (in thousands):

	Limited Partnerships
Balance as of June 30, 2013	\$ 3,912
Acquisitions / purchases	150
Distributions / sales	(831)
Investment return	570
Change in unrealized losses on investments	(24)
Balance as of June 30, 2014	<u>\$ 3,777</u>

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

	Limited Partnerships
Balance as of June 30, 2012	\$ 4,148
Acquisitions / purchases	173
Distributions / sales	(853)
Investment return	500
Change in unrealized losses on investments	(56)
Balance as of June 30, 2013	<u>\$ 3,912</u>

The overall investment strategy of the defined benefit pension plan (the Plan) is to utilize an asset mix that is designed to meet the near and longer term benefit payment obligations of the Plan. Over time, the asset mix may include global equity and fixed income exposures. Global equity exposure is designed to capture the equity market performance of developed markets while fixed income exposure provides a predictable yield as well as a hedge against changing interest rates by holding corporate bonds and other financial instruments. Other types of investments may include private equity, venture capital, and other private real asset partnerships that employ different underlying strategies. Outside investment advisors are utilized to manage the Plan assets and are selected based on their investment style, philosophy, and past performance. Dartmouth's investment office is responsible for managing the asset allocation and investment risk management of the Plan.

Dartmouth makes annual contributions to maintain funding for the defined benefit plan on an actuarially recommended basis. Dartmouth currently expects to contribute between \$2 million and \$4 million to the defined benefit plan in fiscal year 2015.

Benefit payments, which reflect expected future service, as appropriate, are expected to be paid in each of the next five years ending June 30 and thereafter as follows (in thousands):

	Pension Benefits	Postretirement Benefits
2015	\$ 10,000	\$ 7,928
2016	9,400	8,808
2017	9,300	9,837
2018	9,600	11,063
2019	9,600	13,490
Years 2020 -2023	46,900	85,217

Assumed health care cost trend rates have a significant effect on the estimated amounts reported for the postretirement benefit plan. The medical cost trend rates for pre-age 65 and post-age 65 retirees, respectively, are assumed to be 7.1% and 7.0% in year 2015, decrease gradually to 5% and 5% in fiscal year 2023 and 2023, respectively, and remain level thereafter. Dartmouth's estimate of postretirement benefit expense and obligations also reflects the impact of the Medicare Prescription Drug Improvement and Modernization Act, which provides for tax-free subsidies to employers that offer retiree medical benefit plans with qualifying drug coverage.

A one percentage point increase (decrease) in assumed health care cost trend rates would have the following effect (in thousands):

Increase (decrease) in total of service and interest cost components	\$ 5,182	\$ (4,003)
Increase (decrease) in postretirement benefit obligation	\$ 64,734	\$ (50,728)

Dartmouth also maintains defined contribution retirement plans for its employees. These benefits are individually funded and are subject to various vesting requirements. Under these arrangements, Dartmouth makes monthly contributions to individual self-directed retirement investment accounts for the participants. These contributions for the years ended June 30, 2014 and 2013 were \$23,967,000 and \$24,721,000, respectively. Dartmouth also maintains deferred compensation plans. The liabilities for the plans are included in pension and other employment related obligations in the Statement of Financial Position.

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

I. Other Operating Income

The major components of other operating income for the years ended June 30 were as follows (in thousands):

	2014	2013
Medical School clinical services and other support	\$ 55,244	\$ 51,304
Foreign study and continuing education programs	13,317	13,244
Student activities and other program revenues	11,037	11,011
Athletics revenues	4,387	4,523
Hopkins Center and Hood Museum revenues	1,525	1,838
Other revenues	17,444	16,084
Investment income	49,602	33,741
Total other operating income	\$ 152,556	\$ 131,745

J. Net Assets

Additional information pertaining to Dartmouth's net assets at June 30 is presented below (in thousands):

	2014			
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Detail of net assets:				
Operating funds	\$ 351,467	\$ 79,736	\$ -	\$ 431,203
Pledges	-	81,460	15,798	97,258
Postretirement and pension benefit obligations	(343,550)	-	-	(343,550)
Third-party charitable trusts	-	6,096	3,816	9,912
Facilities and capital	425,180	23,807	-	448,987
Interest rate swap agreements	(141,219)	-	-	(141,219)
Student loan funds	21,434	21,913	-	43,347
Life income, annuity, and similar funds	-	41,785	36,008	77,793
Endowment funds	1,036,651	2,307,195	1,124,373	4,468,219
Total net assets	\$ 1,349,963	\$ 2,561,992	\$ 1,179,995	\$ 5,091,950

	2013			
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Detail of net assets:				
Operating funds	\$ 348,479	\$ 77,312	\$ -	\$ 425,791
Pledges	-	69,681	25,030	94,711
Postretirement and pension benefit obligations	(233,214)	-	-	(233,214)
Third-party charitable trusts	-	7,135	6,048	13,183
Facilities and capital	368,247	30,229	-	398,476
Interest rate swap agreements	(133,222)	-	-	(133,222)
Student loan funds	13,842	28,399	-	42,241
Life income, annuity, and similar funds	-	34,120	36,008	70,128
Endowment funds	894,595	1,854,632	984,369	3,733,596
Total net assets	\$ 1,258,727	\$ 2,101,508	\$ 1,051,455	\$ 4,411,690

Dartmouth College
Notes to Financial Statements
For the years ended June 30, 2014 and 2013

K. Commitments and Contingencies

Outstanding commitments on uncompleted construction contracts total \$36,762,000 at June 30, 2014.

All funds expended by Dartmouth in connection with government sponsored grants and contracts are subject to audit by governmental agencies. The ultimate liability, if any, from such audits, is not expected to have a material adverse effect on Dartmouth's financial position.

In conducting its activities, Dartmouth from time to time is the subject of various claims and also has claims against others. The ultimate resolution of such claims is not expected to have either a material adverse or favorable effect on Dartmouth's financial position.

L. Related Party Transactions

Members of Dartmouth's Board of Trustees and senior management may, from time to time, be associated, either directly or indirectly, with companies doing business with Dartmouth. Dartmouth has a written conflict of interest policy that requires annual reporting by each Trustee, as well as senior management. Additionally, Dartmouth has a policy on Pecuniary Benefit Transactions and Related Party Investments. This policy supplements the Dartmouth College Conflict of Interest Policy with regard to pecuniary benefit transactions, as defined by New Hampshire law, including but not limited to Dartmouth's investment in investment vehicles in which Trustees have a financial interest. These policies include, among other things, that no member of the Board of Trustees can participate in any decision in which he or she (or an immediate family member) has a material financial interest. When such relationships exist, measures are taken to mitigate any actual or perceived conflict, including requiring that such transactions be conducted at arm's length, for good and sufficient consideration, based on terms that are fair and reasonable to and for the benefit of Dartmouth, and in accordance with applicable conflict of interest laws.

M. Subsequent Events

For purposes of determining the effects of subsequent events on these financial statements, management has evaluated events subsequent to June 30, 2014 and through October 20, 2014, the date on which the financial statements were issued, and has concluded that there were no subsequent events requiring adjustment or disclosure.

Dartmouth College Board of Trustees 2014-2015

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Professor of History in the Faculty of Arts and Sciences, Harvard University
Carol K. Pforzheimer Professor, Radcliffe Institute for Advanced Study

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Technology Crossover Ventures

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Executive Editor and Columnist
Roll Call

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Academic Dean, Director of College Counseling, and
Chair of the Math Department
Bronx Center for Science and Mathematics

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President, Chief Executive Officer, and Director
Liberty Media/Liberty Interactive

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John B. Replogle '88
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Seventh Generation

John Rich '80
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Drexel University

Laurel J. Richie '81
President
WNBA, LLC

Steven Roth '62
Chairman, Vornado Realty Trust

Peggy Epstein Tanner '79
Seeds of Peace

Diana Lancaster Taylor '77
Managing Director
Wolfensohn & Co. LLC

Benjamin F. Wilson '73
Managing Principal
Beveridge & Diamond, P.C.

CURRICULUM VITAE

Debra L. Birenbaum, M.D

Address:

Work: Department of Obstetrics and Gynecology
Dartmouth Hitchcock Medical Center
One Medical Center Drive
Lebanon, NH 03756
(603) 653-9384, fax (603) 650-0902
Debra.L.Birenbaum@Hitchcock.ORG

Education:

1978-1982
Temple University School of Medicine
Doctor of Medicine

1974-1978

University of Pennsylvania College of Arts and Science
Bachelor of Arts - History
Graduation with Distinction

Postgraduate Training:

July 1982 - June 1986
Department of Obstetrics and Gynecology
University of Michigan Medical Center
Ann Arbor, MI

Licensure and Certification:

Diplomate, National Board of Medical Examiners, 1983

Diplomate, American Board of Obstetrics and Gynecology, December 1991

Recertification: 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012

New Hampshire License #8151; Issued 7/12/89

Professional Positions:

September, 1989 - Present

Staff Physician, Department of Obstetrics and Gynecology
Dartmouth Hitchcock Medical Center

Assistant Professor, Department of Obstetrics and Gynecology
Geisel School of Medicine at Dartmouth

Planned Parenthood of Northern New England
July 1990-December 2009

July 1, 1988 - June 30, 1989

Pelvic Surgery Fellow
State University of New York
Health Science Center at Syracuse
Crouse Irving Memorial Hospital
736 Irving Avenue
Syracuse, New York 13210

July 1, 1987 - June 30, 1988

Instructor
Department of Obstetrics and Gynecology
Washington University
School of Medicine
4911 Barnes Hospital Plaza
St. Louis, MO 63110

March 1987 - June 30, 1988

Attending Physician, Labor and Delivery
St. Louis Regional Medical Center
5535 Delmar Boulevard
St. Louis, MO 63112

Professional Memberships:

1992: Fellow, American College of Obstetrics and Gynecology

New Hampshire Medical Society

Fellow, International Society for Study of Vulvovaginal Disease, 2/2006

Councilor, North American Chapter of the ISSVD, 2009-2012

Research Projects

Administrative and Screening Center for Cervical and Breast Cancer, State of New Hampshire, PI
3/05 to present

TWT DP0517: A Multi-Center Prospective Clinical Study to Evaluate the Performance and Clinical Predictive Value of the Invader® HPV HR Molecular Assay and Invader®

HPV 16/18 Molecular Assay for the Detection of Human Papillomavirus in Cervical Cytology Samples, Hologic, Inc, PI
1/07- 4/11

A Multicenter, Open-Label, Randomized Study of the Contraceptive Efficacy and Safety of Amphora Gel Compared to Conceptrol Vaginal Gel, PI,
8/11-7/13

The Coos County Women's Project, The VT-NH Affiliate of Susan G. Komen, PI, 4/12-9/13

Lectures:

Oct 26, 2001: Vulvar Disease Symposium, Course Co-chair, Manchester, NH

May 3, 2004: Benign Vulvar Disease, given in Update in Women's Health Conference, Lebanon NH

May 14, 2004: Vulvar Disease Symposium, Course Co-chair, Manchester NH

May 2, 2005: Vulvar II, given in Update in Women's Health Conference, Lebanon NH

June 9, 2005: NH section of ACOG, Vulvar Update, Manchester NH

November 11, 2005: Recurrent Vulvovaginal Candidiasis, Innovations and Reflections in Women's Health Care, Bedford NH

May 1, 2006, Vulvodynia, given at Update in Women's Health Conference, Lebanon NH

March 30, 2007, Lichen Sclerosus, given at Vulvovaginal Disease 2007, Boston MA

May 7, 2007, Selected Topics in Benign Vulvar Disease, given at Provocative Issues in Women's Health, Lebanon NH

May 23, 2007, Update of Vulvar Dermatoses, Grand Rounds, Monadnock Community Hospital, Peterborough, NH

June 28, 2007, Update of Vaginitis, Cheshire Medical Center, Keene NH

May 9, 2008, Vulvovaginal Disease Pearls for the Busy Practitioner, Northeast Regional Nurse Practitioner Conference, Manchester NH

February 26, 2009, Selected Topics in Vulvar Disease, Dick's House, Dartmouth College Student Health Service, Hanover NH

September 29, 2009, Update of Vulvar Dermatoses, DHMC GIM mid level providers

November 19, 2009, Update on Vulvovaginal Disease, Grand Rounds, Dept of OB/GYN, DHMC

May 7, 2010, Course Co-chair, Vulvar Disease Symposium, Manchester NH
The Itchy Lichens: Lichen Sclerosus and Lichen Simplex Chronicus

October 1, 2010, The Wet Mount, ISSVD, Chicago IL

October 26, 2011, Vulvar Disease Update, Grand Rounds, Dept of OB/GYN, DHMC

September 7, 2012 Lichen Sclerosus, 21st Biennial Conference on Diseases of the Vulva and Vagina, Chicago IL

September 20, 2013 Course Co Director, Vulvar Disease Update, Bedford NH
Lichen Sclerosus Update
Update on Recurrent Yeast, Recurrent Bacterial Vaginosis, and Trichomoniasis

September 6 2014, Recurrent Bacterial Vaginosis, 22nd Biennial Conference on Diseases of the Vulva and Vagina, Chicago IL

Workshop

Vulvodynia, ISSVD World Conference, September 2008, Edinburgh, Scotland

Presentations

High Prevalence of Thyroid Disease in Patients with Lichen Sclerosus, presented @ ISSVD World Conference, February 2006, Queenstown, NZ

Abstracts

Small TA, Whiteside JL, Grimes C, MacKenzie T, Birenbaum D, Inter examiner Agreement of Microscopic Assessment of Saline-Prepared Vaginal Fluid, ACOG Annual Meeting, 5/08

Birenbaum DL, Whiteside JL, Operative Repair of Vaginal Stenosis Secondary to Vaginal Lichen Planus, 3rd Biennial Meeting of NA ISSVD, Chicago IL, 9/9/12

Awards

2007 APGO Excellence in Teaching Award

Current Teaching Responsibilities

4th year medical student elective in outpatient gynecology with emphasis on benign vulvar disease.

Preceptor for 3rd year medical students

Preceptor for OB/GYN residents in colposcopy clinic and vulvar disease clinic

Peer Reviewer

Up to Date, Inc.

Bibliography:

Ayers, J.W., Birenbaum, D.L., Menon, K.M. Luteal Phase Dysfunction in Endometriosis: Elevated Progesterone levels in peripheral and ovarian veins during the follicular phase. Fert Steril, 47(6):925-9, 1987.

Young W.W, Hamilton LA, Barthold JC, Birenbaum D, Long P,Dion M. An Objective Structured Clinical Exam in a Multisite Obstetrics and Gynecology Clerkship. Teaching and Learning in Medicine 7:177-81. 1995

Cheng,S., Chapman S., Margesson, L., *Birenbaum, D.*, Genital ulcers caused by Epstein-Barr virus, J Am Acad Dermatol. 2004 Nov;51(5):824-6.

Birenbaum, D.L, Young, R.C, High Prevalence of Thyroid Disease in Patients with Lichen Sclerosus, J Reprod Med 2007; 52: 28-30

Whiteside, JL, Small, TA, MacKenzie, TA, Grimes, CL, Shore, LE, Birenbaum D. Interobserver Reliability of Microscopic Assessment of Saline-Prepared Vaginal Fluid, J Lower Gen Tract Dis; 2010, 1-4

Thorstensen K, Birenbaum D. Recognition and Management of Vulvar Dermatologic Conditions: Lichen Sclerosus, Lichen Planus, and Lichen Simplex Chronicus. J Midwifery Women's Health. 2012; 57(3): 260-275.

CURRICULUM VITAE AND BIBLIOGRAPHY

Date Prepared: July 1, 2014

Name: Marlene Beth Goldman

Current Position: Professor and Vice Chair for Research,
Department of Obstetrics & Gynecology
Professor, Department of Community and Family Medicine
Geisel School of Medicine at Dartmouth

PART I: General Information

Director, Division of Clinical Research
Vice Chair for Research
Department of Obstetrics & Gynecology
Dartmouth-Hitchcock Medical Center
One Medical Center Drive
Lebanon, NH 03756

E-Mail: Marlene.B.Goldman@dartmouth.edu
Phone (603) 653-9304
Fax: (603) 650-0906

Education:

1970	A.B.	Colby College (Biology)
1978	M.S.	Harvard University (Epidemiology)
1984	Sc.D.	Harvard University (Epidemiology)

Academic Appointments:

2006-	Professor Departments of Obstetrics and Gynecology and Community and Family Medicine Dartmouth Medical School
2000-2006	Associate Professor of Obstetrics, Gynecology & Reproductive Biology Harvard Medical School
1994-2000	Associate Professor of Epidemiology Department of Epidemiology Harvard School of Public Health
1989-1994	Assistant Professor of Epidemiology Department of Epidemiology Harvard School of Public Health
1984-1989	Research Associate Department of Epidemiology Harvard School of Public Health

M. B. GOLDMAN

1987-1988	Adjunct Assistant Professor, Environmental Health Program College of Civil Engineering, Tufts University
1986	Lecturer, Environmental Health Program College of Civil Engineering, Tufts University
1980-1984	Teaching Fellow, Department of Epidemiology Harvard School of Public Health, Boston, MA

Other Professional Positions and Visiting Appointments:

1998-1999	Health Sciences Fellow, Bunting Fellowship Program Radcliffe Institute for Advanced Study, Harvard University
1993-1999	Visiting Professor, Master of Public Health Program Institute for Social and Preventive Medicine University of Basel, Switzerland
Jan - Feb, 1995	Guest Researcher, Reproductive Epidemiology Branch National Institute of Environmental Health Sciences
March - May, 1995	Guest Researcher, Radiation Epidemiology Branch National Cancer Institute
1987-1989	Consultant, Division of Disease Control State of Maine Bureau of Health
1984-1989	Consultant, Epidemiology Unit Massachusetts Eye & Ear Infirmary

Major Administrative Responsibilities:

2013-	Vice Chair for Research
2006-	Director of Clinical Research, Division of Clinical Research Department of Obstetrics & Gynecology Dartmouth-Hitchcock Medical Center
2004-2006	Director of Epidemiology & Outcomes Research Division of Reproductive Endocrinology Dept. of Obstetrics & Gynecology Beth Israel Deaconess Medical Center
2002-2002	Director and Principal Research Scientist Institute for Research on Women's Health New England Research Institutes

M. B. GOLDMAN

1991-1998 Reproductive Epidemiology Concentration Director
Department of Epidemiology
Harvard School of Public Health

Committee Assignments:

DARTMOUTH COLLEGE AND DARTMOUTH-HITCHCOCK MEDICAL CENTER:

2010- Principal Investigator Advisory Group, Clinical Trials Office, DHMC

2006- Committee for the Protection of Human Subjects

2006-7 Center for the Evaluative Clinical Sciences, MPH Subcommittee of the Long-range Curriculum Committee

2006- Department of Obstetrics and Gynecology
Executive Leadership Team
Promotion Committee
Research Committee (Chair)
Resident Education Committee
Faculty Committee

2006- Investigator, Cancer Epidemiology and Chemoprevention Research Program, Norris Cotton Cancer Center

BETH ISRAEL DEACONESS MEDICAL CENTER:

2003-2006 Committee on Clinical Investigations, East Campus

HARVARD SCHOOL OF PUBLIC HEALTH:

1998-1999 Committee on Educational Policy (CEP), Chair

1996-1998 Committee on Educational Policy, Vice-Chair

1997 CEP Subcommittee on Departmental Concentrations, Chair

1997 CEP Subcommittee on the Core Curriculum, Chair

1997-1999 Interdepartmental Program on Women, Gender, and Health, Founding Member

1994-1996 Faculty Council (elected)

1996 Faculty Council Subcommittee on Diversity, Chair

1994 Population and International Health Faculty Search Committee

1993-1994 Committee on the Core Curriculum in Biostatistics and Epidemiology

M. B. GOLDMAN

1991-1994 Committee on Admissions and Degrees, Master's Subcommittee

1991-1993 Committee on the Concerns of Women Faculty

NEW ENGLAND RESEARCH INSTITUTES:

2001-2002 Institutional Review Board

RADCLIFFE INSTITUTE FOR ADVANCED STUDY:

2000 Health Sciences Selection Committee

REGIONAL COMMITTEE SERVICE:

1996-1997 Massachusetts Action for Women, Women's Health Subcommittee

1988-1989 Woburn Health Effects Board and Task Force
Massachusetts Department of Public Health

NATIONAL COMMITTEE ASSIGNMENTS:

2013- Advisory Board, Reproductive Medicine Network, *Eunice Kennedy Shriver*
National Institute of Child Health and Human Development

2013 NIEHS Board of Scientific Counselors, Ad hoc Member, Review of the
Reproductive Epidemiology Branch, June 2-4, 2013, Research Triangle Park,
NC

2010-2011 Scientific Program Committee, American Society for Reproductive Medicine

2008- 2012 Chartered Member, Population Sciences and Epidemiology IRG, Infectious
Diseases, Reproductive Health, Asthma, and Pulmonary Conditions (IRAP)
Study Section, NIH (ad hoc, '06-'08).

2005-7 Department of Defense, AHRQ and RAND Health, Clinical Advisory Panel on
Outcome Measures for Effective Teamwork in Inpatient Care

2001 Disease, Disability and Injury Prevention and Control Special Emphasis Panel,
Centers for Disease Control and Prevention, National Institute for Occupational
Safety and Health, "Endocrine Disruptors: Epidemiologic Approaches,"
February 1-2, 2001

2000-2003 Board of Directors, American College of Epidemiology

2000 External Review Committee for FY2000 Intramural Projects, National Institute of

M. B. GOLDMAN

Occupational Safety and Health, Centers for Disease Control and Prevention

- 1999 Epidemiology in the Twenty-first Century, Workshop on the Future of Environmental Epidemiology, Facilitator on Infertility, National Institute of Environmental Health Sciences, National Institutes of Health
- 1999-2004 Program Planning Committee, American College of Epidemiology
- 1999-2001 Poster Committee, Chair, American College of Epidemiology
- 1999-2005 Education Committee, American College of Epidemiology
- 1999 Ad hoc Study Section, Radiation Effects Branch, National Cancer Institute
- 1998 Peer Review Panel, "Effects of Exposure to Endocrine Disrupting Chemicals During Development on Human Health," U.S. Environmental Protection Agency, National Center for Environmental Research and Quality Assurance, and National Institute of Environmental Health Sciences
- 1998-2001 Planning Committee, Congress of Epidemiology 2001
- 1998-2001 Poster Committee, Co-Chair, Congress of Epidemiology 2001
- 1996-2001 Epidemiology Section Program Planning Committee, American Public Health Association
- 1996 Special Emphasis Panel, "Endocrine Disrupting Chemicals and Women's Health Outcomes," National Institute of Environmental Health Sciences
- 1994-1995 Cancer Collaborative Research Review Committee (Biometry and Epidemiology), National Cancer Institute
- 1995 Special Emphasis Panel, "Support Services for Studies of Emergent Cancer," National Cancer Institute
- 1993 Ad Hoc Contracts Technical Review Group, "Case-Control Study of Cutaneous Melanoma," National Cancer Institute
- 1992 Special Review Committee, Small Grants Program for Epidemiology, National Cancer Institute

Professional Societies:

American College of Epidemiology, 1997-present
Local Host 2004 Annual Meeting
Program Planning Committee, 1999-2004 (invited)

Education Committee, 1999-2006 (appointed)

M. B. GOLDMAN

Board of Directors, 2000-2003 (elected)
Promotion to Fellow, 2000

American Public Health Association, 1977-present
Epidemiology Section Council, 1996-1999 (elected)
Governing Council, 1999-2001 (elected)
Awards Committee, 2001 (appointed)

American Society for Reproductive Medicine (elected), 1993-present
2011, Program Planning Committee

Society for Epidemiologic Research, 1977-present

Society for Gynecologic Investigation (elected), 2007-present

Society for Pediatric and Perinatal Epidemiologic Research, 2002-present

International Society for Environmental Epidemiology, 2004-present

Academy Health, 2004

Community Service Related to Professional Work:

2012-	Board of Trustees, Concord Feminist Health Center, Concord, NH
2013-14	Vice-Chair
2014-15	Chair
1995-1997	Advisory Board Member, Southern Jamaica Plain Health Center Brigham & Women's Hospital

Editorial Boards and Journal Reviews:

Associate Editor, American Journal of Epidemiology (1996-present)

Ad Hoc Reviewer:

American Journal of Preventive Medicine
American Journal of Public Health
Annals of Epidemiology
Cancer
Cancer Causes and Control
Cancer Research
Epidemiology
Fertility and Sterility
International Journal of Epidemiology
Journal of the American Medical Association
Journal of the National Cancer Institute
Journal of Toxicology and Environmental Health

M. B. GOLDMAN

New England Journal of Medicine
Paediatric and Perinatal Epidemiology
Radiation Research

Leadership Training:

- | | |
|------|--|
| 2005 | Leadership Development for Physicians and Scientists, Harvard Medical School |
| 2003 | Center for Faculty Development Leadership Course for Junior Faculty, Beth Israel Deaconess Medical Center. |

Awards and Honors:

- | | |
|-----------|---|
| 2006 | Distinguished Service Award, American College of Epidemiology |
| 2000 | FREDDIE Award for the videotape " <i>Mammograms for Life</i> ," Time Inc. Health's 2000 International Health and Medical Film Competition |
| 1999 | Award of Excellence in Medical Science from the Association of American Publishers for 100-chapter textbook " <i>Women and Health</i> " |
| 1998-1999 | Health Sciences Fellow, Mary Ingraham Bunting Institute, Radcliffe Institute for Advanced Study, Harvard University |
| 1995 | Junior Faculty Sabbatical Award (competitive) |
| 1991-1992 | Mellon Foundation Faculty Development Award |
| 1992 | Bok Teaching Innovation Grant, Office for Professional Education, Harvard School of Public Health |
| 1979 | Society for Epidemiologic Research Student Workshop |
| 1976-1984 | Exxon Corporation Fellowship in Epidemiology |
| 1967-1969 | Charles A. Dana Scholar, Colby College |

PART II: Research and Teaching Contributions

A. Narrative Report

- The major focus of my research is the cause of human infertility. I have R01 funding to conduct a prospective study on the role of nutrition and oxidative stress in conception. I was co-investigator for two NIH-funded randomized clinical trials to identify optimal treatment strategies for infertility. In the first of these, the efficacy and cost-effectiveness of conventional stepwise infertility therapy was compared to an accelerated treatment arm that proceeded directly from three cycles of ovulation induction with clomiphene citrate and intrauterine insemination to IVF. The second



Nicholas A. Toumpas
Commissioner

José Thier Montero
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES

29 HAZEN DRIVE, CONCORD, NH 03301-6527
603-271-4886 1-800-852-3345 Ext. 4886
Fax: 603-271-0539 TDD Access: 1-800-735-2964



April 3, 2013

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

APPROVED F/C _____
DATE _____
APPROVED G&C # 94
DATE 6/5/13
NOT APPROVED _____

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division of Public Health Services, Bureau of Population Health and Community Services, Chronic Disease Prevention and Screening Section, Breast and Cervical Cancer Program to enter into an agreement with Trustees of Dartmouth College (Vendor # 177157-B013), 11 Rope Ferry Road #6210, Hanover, NH 03755 in an amount not to exceed \$576,000.00, to provide an administration center for the provision of breast and cervical cancer screening, to be effective July 1, 2013 or date of Governor and Council approval, whichever is later, through June 30, 2015.

Funds are anticipated to be available in the following account for SFY 2014 and SFY 2015 upon the availability and continued appropriation of funds in the future operating budgets, with authority to adjust amounts within the price limitation and amend the related terms of the contract without further approval from Governor and Executive Council.

05-95-90-902010-5659 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS:
DIVISION OF PUBLIC HEALTH, BUREAU OF POPULATION HEALTH AND COMMUNITY SERVICES,
COMPREHENSIVE CANCER

Fiscal Year	Class/Object	Class Title	Job Number	Total Amount
SFY 14	102-500731	Contracts for Prog Svc	90080081	\$118,000.00
SFY 14	601-500931	State Fund Match	90080007	\$170,000.00
			Subtotal	\$288,000.00
SFY 15	102-500731	Contracts for Prog Svc	90080081	\$118,000.00
SFY 15	601-500931	State Fund Match	90080007	\$170,000.00
			Subtotal	\$288,000.00
			Total	\$576,000.00

EXPLANATION

Funds in this agreement will be used to administer a statewide network of subcontracted sites that will provide breast and cervical cancer screening through the New Hampshire Breast and Cervical Cancer Program. The purpose of this agreement is to provide access to regular breast and cervical cancer screening and diagnostic services to program eligible women. To be eligible for the New Hampshire Breast and Cervical Cancer Program a woman must be between the ages of 21-64, low income, uninsured or underinsured and living at or below 250% of the federal poverty level. Priority for breast and cervical cancer screening shall be women age 50-64, and priority for cervical cancer screening shall be women who have never had a Pap test or have not had one in over five years. Women who receive abnormal test results will receive additional coverage for diagnostic work-up and case management through initiation of treatment, as needed, at primary care facilities and hospitals statewide. The contractor offers clinical expertise and will oversee quality assurance of data collection and clinical services and partnership building at all subcontracted sites.

-----According to the Centers for Disease Control and Prevention, breast cancer is the most frequently diagnosed cancer among women in New Hampshire and in the United States. In the years 2004-2008, there were 5,060 breast cancer cases diagnosed in New Hampshire and 902 deaths reported. In the years 2004-2008, there were 1,010,435 cases of breast cancer in the United States and 204,779 deaths. Cervical cancer is one of the most preventable cancers when precancerous cells are detected through a Pap test. During the years 2004-2008, there were 215 cases of cervical cancer and 84 deaths in New Hampshire. In the years 2004-2008, there were 62,577 cases of cervical cancer in the United States and 19,779 deaths.

Should the Governor and Executive Council not authorize this request, the Breast and Cervical Cancer Program will be unable to enroll 1,300 women in a timely and efficient manner into the program for regular breast and cervical cancer screening services.

Trustees of Dartmouth College was selected for this project through a competitive bid process. A Request for Proposals was posted on the Department of Health and Human Services' web site from December 21, 2012 through January 21, 2013. In addition, a bidder's conference was held on January 9, 2013.

There was one response to the request for proposals. Three reviewers evaluate the proposal, including two internal reviewers from the Department of Health and Human Services and one external reviewer. Each reviewer has between one and ten years experience in cancer prevention, public health, comprehensive cancer and breast and cervical cancer. Areas of specific expertise include breast and cervical cancer programs; cancer surveillance; and epidemiology. The strengths and weaknesses of the proposal were discussed and reviewers recommended that the application be funded. The Bid Summary is attached.

As referenced in the Request for Proposals, Renewals Section, this competitively procured Agreement has the option to renew for two additional year(s), contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council. These services were contracted previously with this agency in SFY 2012 in the amount of \$288,000.00 and SFY 2013 in the amount of \$288,000.00. This represents level funding.

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

- 75% of all mammograms will be provided to program eligible women age 50-64 at all sites; and
- 25% of all mammograms will be provided to women under age 50 at all screening sites.

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
April 3, 2013
Page 3

- 20% of newly enrolled women for Pap tests have never had a Pap test or not had a Pap test in over five years at all screening sites.
- Provide screening services to a minimum of 325 eligible women per quarter for an annual total of 1,300 women.
- Provide a minimum of two population-based outreach activities, promoting nationally accepted breast and cervical cancer screening guidelines.

Area served: Statewide excluding Manchester because this geographic area will be served by a separate contract due to the density of the eligible population in Manchester.

Source of Funds: 41% Federal Funds from Centers for Disease Control and Prevention and 59% General Funds.

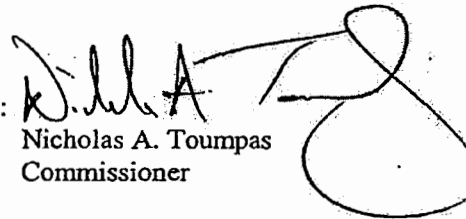
In the event that the Federal Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



José Thier Montero, MD
Director

Approved by:



Nicholas A. Toumpas
Commissioner

JTM/tf

Program Name Administration Center for Breast and Cervical Cancer Screening
 Contract Purpose To provide services to maintain an administration center for the provision of breast and cervical cancer screening statewide.
 RFP Score Summary

RFA/RFP CRITERIA	Max Pts	Stacey Smith, Concord, NH	Ludmila Anderson, Manchester, NH	Whitney Hammond, Concord, NH					
Agcy Capacity	30	30.00	28.00	30.00	0.00	0.00	0.00	0.00	0.00
Program Structure	50	50.00	45.00	45.00	0.00	0.00	0.00	0.00	0.00
Budget & Justification	15	13.00	13.00	15.00	0.00	0.00	0.00	0.00	0.00
Format	5	4.00	5.00	5.00	0.00	0.00	0.00	0.00	0.00
Total	100	97.00	91.00	95.00	0.00	0.00	0.00	0.00	0.00

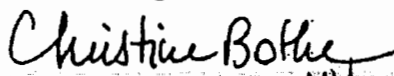
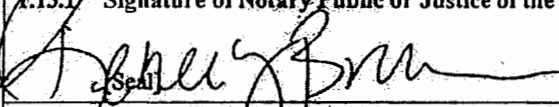

BUDGET REQUEST	Year 01								
	Year 02								
	Year 03								
TOTAL BUDGET REQUEST		576,000.00	-	-	-	-	-	-	-
BUDGET AWARDED	Year 01								
	Year 02								
	Year 03								
TOTAL BUDGET AWARDED		576,000.00	-	-	-	-	-	-	-

RFP Reviewers		Name	Job Title	Dept/Agency	Qualifications
1		Stacey Smith, RN, MA, CCM	Public Health Nurse	NH Department of Health & Human Services	All reviewers have between 1 and 10 years experience in cancer prevention, public health, comprehensive cancer, and breast & cervical cancer.
2		Whitney Hammond	Program Coordinator	NH Department of Health & Human Services	
3		Ludmila Anderson	Public Health Epidemiologist	Consultant	
4					
5					
6					
7					
8					
9					
10					

Subject: Administration Center for Breast and Cervical Cancer Screening**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 Division of Public Health Services		1.2 State Agency Address 29 Hazen Drive Concord, NH 03301-6504	
1.3 Contractor Name Trustees of Dartmouth College		1.4 Contractor Address Office of Sponsored Projects 11 Rope Ferry Rd. #6210 Hanover, NH 03755-1404	
1.5 Contractor Phone Number 603-653-9312	1.6 Account Number 010-090-5659-102-500731	1.7 Completion Date June 30, 2015	1.8 Price Limitation \$576,000
1.9 Contracting Officer for State Agency Lisa L. Bujno, MSN, APRN Bureau Chief		1.10 State Agency Telephone Number 603-271-4501	
1.11 Contractor Signature 		1.12 Name and Title of Contractor Signatory Christine Bothe Associate Director Office of Sponsored Projects	
1.13 Acknowledgement: State of <u>NH</u> , County of <u>Grafton</u> On <u>3/24/13</u> before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.			
1.13.1 Signature of Notary Public or Justice of the Peace  Seal			
1.13.2 Name and Title of Notary or Justice of the Peace ROBERT T. BROWN, Commissioner of Deeds My Commission Expires May 21, 2019			
1.14 State Agency Signature 		1.15 Name and Title of State Agency Signatory Lisa L. Bujno, Bureau Chief	
1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.17 Approval by the Attorney General (Form, Substance and Execution) By: <u>James R. Herrick</u> Attorney On: <u>13 May 2013</u>			
1.18 Approval by the Governor and Executive Council By: _____ On: _____			

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

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

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

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

4. CONDITIONAL NATURE OF AGREEMENT.

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

5. CONTRACT PRICE/PRICE LIMITATION/PAYMENT.

5.1 The contract price, method of payment, and terms of payment are identified and more particularly described in EXHIBIT B which is incorporated herein by reference.

5.2 The payment by the State of the contract price shall be the only and the complete reimbursement to the Contractor for all expenses, of whatever nature incurred by the Contractor in the performance hereof, and shall be the only and the complete compensation to the Contractor for the Services. The State shall have no liability to the Contractor other than the contract price.

5.3 The State reserves the right to offset from any amounts otherwise payable to the Contractor under this Agreement those liquidated amounts required or permitted by N.H. RSA 80:7 through RSA 80:7-c or any other provision of law.

5.4 Notwithstanding any provision in this Agreement to the contrary, and notwithstanding unexpected circumstances, in

no event shall the total of all payments authorized, or actually made hereunder, exceed the Price Limitation set forth in block 1.8.

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

6.1 In connection with the performance of the Services, the Contractor shall comply with all statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal opportunity laws. In addition, the Contractor shall comply with all applicable copyright laws.

6.2 During the term of this Agreement, the Contractor shall not discriminate against employees or applicants for employment because of race, color, religion, creed, age, sex, handicap, sexual orientation, or national origin and will take affirmative action to prevent such discrimination.

6.3 If this Agreement is funded in any part by monies of the United States, the Contractor shall comply with all the provisions of Executive Order No. 11246 ("Equal Employment Opportunity"), as supplemented by the regulations of the United States Department of Labor (41 C.F.R. Part 60), and with any rules, regulations and guidelines as the State of New Hampshire or the United States issue to implement these regulations. The Contractor further agrees to permit the State or United States access to any of the Contractor's books, records and accounts for the purpose of ascertaining compliance with all rules, regulations and orders, and the covenants, terms and conditions of this Agreement.

7. PERSONNEL.

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

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

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

8. EVENT OF DEFAULT/REMEDIES.

ch
3/26/13

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

8.1.1 failure to perform the Services satisfactorily or on schedule;

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

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

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

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

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

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

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

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

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

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

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

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

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

12. ASSIGNMENT/DELEGATION/SUBCONTRACTS.

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

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

14. INSURANCE.

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

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

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

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

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

identified in block 1.9, or his or her successor, no less than ten (10) days prior written notice of cancellation or modification of the policy.

15. WORKERS' COMPENSATION.

15.1 By signing this agreement, the Contractor agrees, certifies and warrants that the Contractor is in compliance with or exempt from, the requirements of N.H. RSA chapter 281-A ("Workers' Compensation").

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

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

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

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

19. CONSTRUCTION OF AGREEMENT AND TERMS.

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

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

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

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

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

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

NH Department of Health and Human Services

Exhibit A

Scope of Services

Administration Center for Breast and Cervical Cancer Screening

CONTRACT PERIOD: July 1, 2013 or date of G&C approval, whichever is later, through June 30, 2015

CONTRACTOR NAME: Trustees of Dartmouth College

ADDRESS: Office of Sponsored Projects
11 Rope Ferry Rd. #6210
Hanover, NH 03755-1404

Associate Director: Christine Bothe
TELEPHONE: 603-646-3097

The Contractor shall:

The Contractor shall provide services to establish agreements with other hospitals and health care facilities in New Hampshire to provide breast and cervical cancer screening programs in their respective communities. Outreach to the prioritized population, education and screening services shall be included in the breast and cervical cancer screening programs. Screening services shall include: clinical pelvic examination; clinical breast examination; Pap test if appropriate, following nationally accepted screening guidelines, mammogram if appropriate following nationally accepted screening guidelines, and case management of all abnormal screening results. One-on-one education sessions shall be available for each woman attending the screening program. The intended population for clinical services shall be women ages 21 to 64, who are living at or below 250% of the federal poverty level, and are uninsured or underinsured. Priority for breast cancer screening shall be women ages 50 – 64, and priority for cervical cancer screening shall be women who have never had a Pap test or have not had one in over five years.

The Contractor shall carry out the planning, organization and implementation of all components of the program with the approval of, and in cooperation with, the Department of Health and Human Services, Division of Public Health Services, Breast & Cervical Cancer Program (BCCP). Representatives from the BCCP reserve the right to make on-site monitoring visits to screening sites, upon reasonable prior notice.

1. Overall services to be provided by the Contractor shall include the following:

- 1.1 The hiring of a Project Coordinator to oversee the management of the subcontracted screening sites, including establishing subcontracts and overseeing the administering of the program policies and procedures.
- 1.2 The establishment of sub contractual agreements, within a mutually agreed timeframe to be approved by the Division of Public Health Services, with a mutually agreed upon number of hospitals or other health care facilities in the state, to carry out breast and cervical cancer screening services for a specified number of women, within the prioritized population, in their respective communities.
- 1.3 Coordinate with the BCCP to provide outreach services to reach the priority population for breast and cervical cancer screening in specified targeted communities statewide.

- 1.4 Assure the establishment of a list of primary care providers and specialists at each clinic site who are willing to see uninsured patients with abnormal results.
- 1.5 Assure that all providers of clinical services are Medicaid providers.
- 1.6 Assure the completion and submission of form(s) to the state office of the BCCP for each woman screened through the BCCP at subcontracted screening sites, including an enrollment form, data form describing cervical cancer screening completed, with results; a data form describing breast cancer screening completed, with results, and a diagnostic form for any follow-up completed following positive screening results, assuring time schedules as outlined in the Breast and Cervical Cancer (BCCP) Policy and Procedures Manual.
- 1.7 Assure that case management standards outlined in the BCCP Policy and Procedures Manual are met.
- 1.8 Provide a minimum of two population-based outreach activities, promoting nationally accepted breast and cervical cancer screening recommendations.

2. The following services shall be provided through sub contractual agreements, vendor agreements, or memorandums of agreement:

- 2.1 Provide screening services to a minimum of 325 eligible women per quarter for an annual total of 1,300 women.
- 2.2 Individualized education sessions performed by licensed health professional(s).
- 2.3 Follow-up and diagnostic procedures as clinically indicated to include those procedures approved by the BCCP.
- 2.4 All screening services shall be provided to women who meet program eligibility criteria.
- 2.5 All mammography screening services shall be prioritized for women ages 50 to 64, with no less than 75% of all mammograms provided for women ages 50 to 64 and no more than 25% of all mammograms provided for women under age 50.
- 2.6 All cervical cancer screening services shall be prioritized with a target of 20% of all newly enrolled women either never having had a Pap test or not had a Pap test in five years.
- 2.7 All services shall be provided in accordance with the BCCP Policy and Procedure Manual provided to each screening site.
- 2.8 All reimbursement shall be based on specified Medicare Current Procedural Terminology (CPT) code rates provided to each subcontracted screening site.
- 2.9 Provide outreach services to reach the intended audience, in collaboration with the BCCP.
- 2.10 Collaborate with the BCCP to provide updated training and professional information to subcontracted program staff, as needed.
- 2.11 All mammography facilities utilized shall be Food and Drug Administration (FDA) certified under the Mammography Quality Standards Act (MQSA).
- 2.12 All pathology laboratories utilized shall meet the standards and regulations promulgated by the Health Care Financing Administration under the Clinical Laboratory Improvement Act (CLIA) of 1988.
- 2.13 Collaborate with the New Hampshire Comprehensive Cancer Collaboration in order to address the breast and cervical cancer objective in the State of NH Comprehensive Cancer Plan.

3. The Contractor shall provide administrative services to include the following:

- 3.1 Provide updated information to the BCCP of: clinic schedules; outreach and promotion taking place at subcontract screening sites; staffing at subcontract screening sites; and other pertinent information as needed.
- 3.2 Provide monthly narrative update reports of the screening numbers, staffing and billing progress at the subcontract screening sites.
- 3.3 Be available to meet with BCCP staff bi-monthly and as needed throughout the contract period.
- 3.4 The contractor shall comply with minor modifications and/or additions to the workplan and annual report format as requested by the BCCP. The BCCP shall provide the contractor with advance notice of such changes and the contractor is not expected to incur any substantial costs relative to such changes.
- 3.5 Collaborate with the Comprehensive Cancer Collaboration to provide for administrative support as needed.
- 3.6 Coordinate the physical arrangements for the BCCP annual meeting. Project Coordinator or designee will attend annual site coordinator meeting.

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NH Department of Health and Human Services

Exhibit B

Purchase of Services
Contract Price

Administration Center for Breast and Cervical Cancer Screening

CONTRACT PERIOD: July 1, 2013 or date of G&C approval, whichever is later, through June 30, 2015

CONTRACTOR NAME: Trustees of Dartmouth College

ADDRESS: Office of Sponsored Projects
11 Rope Ferry Rd. #6210
Hanover, NH 03755-1404

Associate Director: Christine Bothe
TELEPHONE: 603-646-3097

Vendor #177157-B013

Job #90080081
#90080007

Appropriation #010-090-5659-102-500731
#010-090-5659-601-500931

1. The total amount of all payments made to the Contractor for cost and expenses incurred in the performance of the services during the period of the contract shall not exceed:

\$288,000 in SFY 2014 and \$288,000 in SFY 2015 to provide services to maintain an administration center for the provision of breast and cervical cancer screening statewide, funded from 41% federal funds from the Centers for Disease Control (CDC) CFDA#93.283 and 59% general funds.

TOTAL: \$576,000

2. The Contractor agrees to use and apply all contract funds from the State for direct and indirect costs and expenses including, but not limited to, personnel costs and operating expenses related to the Services, as detailed in the attached budgets. Allowable costs and expenses shall be determined by the State in accordance with applicable state and federal laws and regulations. The Contractor agrees not to use or apply such funds for capital additions or improvements, entertainment costs, or any other costs not approved by the State.
3. This is a cost-reimbursement contract based on an approved budget for the contract period. Reimbursement shall be made monthly based on actual costs incurred during the previous month.
4. Invoices shall be submitted by the Contractor to the State in a form satisfactory to the State for each of the Service category budgets. Said invoices shall be submitted within twenty (20) working days following the end of the month during which the contract activities were completed, and the final invoice shall be due to the State no later than sixty (60) days after the contract Completion Date. Said invoice shall contain a description of all allowable costs and expenses incurred by the Contractor during the contract period.
5. Payment will be made by the State agency subsequent to approval of the submitted invoice and if sufficient funds are available in the Service category budget line items submitted by the Contractor to cover the costs and expenses incurred in the performances of the services.
6. The Contractor may amend the contract budget for any Service category through line item increases, decreases, or the creation of new line items provided these amendments do not exceed the contract price for that particular Service category. Such amendments shall only be made upon written request to and written approval by the State. Budget revisions will not be accepted after June 20th of each contract year.

7. The Contractor shall have written authorization from the State prior to using contract funds to purchase any equipment with a cost in excess of three hundred dollars (\$300) and with a useful life beyond one year.

The remainder of this page is intentionally left blank.

NH Department of Health and Human Services

Exhibit C

SPECIAL PROVISIONS

1. **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:
2. **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.
3. **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.
4. **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.
5. **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.
6. **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.
7. **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.
8. **Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractor's costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party fundors 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 fundors, the Department may elect to:

- 8.1 Renegotiate the rates for payment hereunder, in which event new rates shall be established;

8.2 Deduct from any future payment to the Contractor the amount of any prior reimbursement in excess of costs;

8.3 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:

9. **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:

9.1 **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.

9.2 **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 recipient), records regarding the provision of services and all invoices submitted to the Department to obtain payment for such services.

9.3 **Medical Records:** Where appropriate and as prescribed by the Department regulations, the Contractor shall retain medical records on each patient/recipient of services.

10. **Audit:** Contractor shall submit an annual audit to the Department within nine months 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.

10.1 **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.

10.2 **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.

11. **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 directed 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.

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.

12. **Reports: Fiscal and Statistical:** The Contractor agrees to submit the following reports at the following times if requested by the Department

12.1 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.

12.2 Final Report: A final report shall be submitted within sixty (60) 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.

13. **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.

14. **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:

14.1 The preparation of this (report, document, etc.), was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, Division of Public Health Services, with funds provided in part or in whole 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.

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 government 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. Insurance: Select either (1) or (2) below:

As referenced in the Request for Proposal, Comprehensive General Liability Insurance Acknowledgement Form, the Insurance requirement checked under this section is applicable to this contract:

Insurance Requirement for (1) - 501(c) (3) contractors whose annual gross amount of contract work with the State does not exceed \$500,000, per RSA 21-I:13, XIV, (Supp. 2006): The general liability insurance requirements of standard state contracts for contractors that qualify for nonprofit status under section 501(c)(3) of the Internal Revenue Code and whose annual gross amount of contract work with the state does not exceed \$500,000, is comprehensive general liability insurance in amounts of not less than \$1,000,000 per claim or occurrence and \$2,000,000 in the aggregate.

- ☐ (1) The contractor certifies that it IS a 501(c) (3) contractor whose annual total amount of contract work with the State of New Hampshire does not exceed \$500,000.

Insurance Requirement for (2) - All other contractors who do not qualify for RSA 21-I:13, XIV, (Supp. 2006), Agreement P-37 General Provisions, 14.1 and 14.1.1. Insurance and Bond, shall apply: 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, both for the benefits of the State, the following insurance: comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$250,000 per claim and \$2,000,000 per incident or occurrence.

- ☒ (2) The contractor certifies it does NOT qualify for insurance requirements under RSA 21-I:13, XIV (Supp. 2006).

17. Renewal:

As referenced in the Request for Proposals, Renewals Section, this competitively procured Agreement has the option to renew for two additional year(s), contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council.

The remainder of this page is intentionally left blank.

18. 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.

19. 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.

SPECIAL PROVISIONS – 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.

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: Whenever 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 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.

NH Department of Health and Human Services

Standard Exhibit D

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 to 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

ALTERNATIVE I – FOR GRANTEEES OTHER THAN INDIVIDUALS

**US DEPARTMENT OF HEALTH AND HUMAN SERVICES – CONTRACTORS
US DEPARTMENT OF EDUCATION – CONTRACTORS
US DEPARTMENT OF AGRICULTURE – CONTRACTORS**

This certification is required by the regulations implementing Sections 5151-51-5160 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 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 certification 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**

- 1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - (a) 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;
 - (b) Establishing an ongoing drug-free awareness program to inform employee's about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) 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);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and

- (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;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d) (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 has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted
 - (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
 - (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;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- 2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

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

Check ☐ TRUSTEES OF
DARTMOUTH COLLEGE

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

July 1, 2013

From: or date of G&C Approval, whichever is later To: June 30, 2015

Contractor Name

Period Covered by this Certification

Christine Bothe
Associate Director

Office of Sponsored Projects

Name and Title of Authorized Contractor Representative

Christine Bothe
Contractor Representative Signature

3/26/13
Date

NH Department of Health and Human Services

Standard Exhibit E

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

Contract Period: July 1, 2013
or date of G&C Approval, whichever is later, through June 30, 2015

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 civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Christine Bothe 3/26/13 Christine Bothe
Contractor Signature Contractor Associate Director Title
TRUSTEES OF
Contractor Name DARTMOUTH COLLEGE Date
Office of Sponsored Projects

NH Department of Health and Human Services

Standard Exhibit F

**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 transition. 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 transition," "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 rule 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 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 Transaction", "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 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

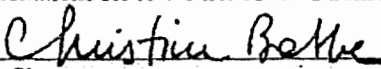
1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - b. have not within a three-year period preceding this proposal (contract) been convicted 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;
 - c. 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 1 b of this certification; and
 - d. 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.
2. 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

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:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (b) 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).

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 Signature	Christine Bothe Associate Director Office of Sponsored Projects _____ Contractor Representative Title
_____ Contractor Name	TRUSTEES OF DARTMOUTH COLLEGE _____ Date
3/26/13	
NH Department of Health and Human Services	

Standard Exhibit G

CERTIFICATION REGARDING THE AMERICANS WITH DISABILITIES ACT COMPLIANCE

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 make reasonable efforts to comply with all applicable provisions of the Americans with Disabilities Act of 1990.

<u>Christine Bothe</u>	Christine Bothe Associate Director
Contractor Signature	Contractor Title

<u>TRUSTEES OF DARTMOUTH COLLEGE</u>	<u>3/26/13</u> Date
Contractor Name	Date

NH Department of Health and Human Services

STANDARD EXHIBIT H

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.

Christine Bothe
Contractor Signature

Christine Bothe
Associate Director
Office of Sponsored Projects
Contractor's Representative Title

**TRUSTEES OF
DARTMOUTH COLLEGE**

Contractor Name

3/26/13
Date

NH Department of Health and Human Services

STANDARD EXHIBIT I
HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY 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 and those parts of the HITECH Act 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.

BUSINESS ASSOCIATE AGREEMENT

(1) Definitions.

- a. "Breach" shall have the same meaning as the term "Breach" in Title XXX, Subtitle D. Sec. 13400.
- 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.
- i. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 164.501 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 164.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

- l. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.501.
- 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, unreasonable, 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) **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, the Business Associate shall not, and shall ensure that its directors, officers, employees and agents, do 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 HITECH Act, Subtitle D, Part 1, Sec. 13402 of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.
- d. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.
- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

(3) Obligations and Activities of Business Associate.

- a. Business Associate shall report to the designated Privacy Officer of Covered Entity, in writing, any use or disclosure of PHI in violation of the Agreement, including any security incident involving Covered Entity data, in accordance with the HITECH Act, Subtitle D, Part 1, Sec.13402.
- b. The Business Associate shall comply with all sections of the Privacy and Security Rule as set forth in, the HITECH Act, Subtitle D, Part 1, Sec. 13401 and Sec.13404.
- c. 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.
- d. 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)b and (3)k herein. The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard provision #13 of this Agreement for the purpose of use and disclosure of protected health information.
- e. 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.
- f. 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.
- g. 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.

- h. 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.
- i. 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.
- j. 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.
- k. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

(4) Obligations of Covered Entity

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

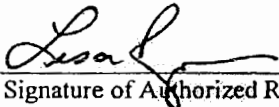
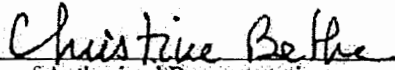
(5) Termination for Cause

In addition to standard provision #10 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, and the HITECH Act as 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 and the HITECH Act.
- 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 k, the defense and indemnification provisions of section 3 d and standard contract provision #13, shall survive the termination of the Agreement.

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

<div>DIVISION OF PUBLIC HEALTH SERVICES</div> <div>The State Agency Name</div>		<div>TRUSTEES OF DARTMOUTH COLLEGE</div> <div>Name of Contractor</div>
<div></div> <div>Signature of Authorized Representative</div>	<div></div> <div>Signature of Authorized Representative</div>	
<div>LISA L. BUJNO, MSN, APRN</div> <div>Name of Authorized Representative</div>	<div>Christine Betho Associate Director Office of Sponsored Projects</div> <div>Name of Authorized Representative</div>	
<div>BUREAU CHIEF</div> <div>Title of Authorized Representative</div>	<div></div> <div>Title of Authorized Representative</div>	
<div>5/14/13</div> <div>Date</div>	<div>3/26/13</div> <div>Date</div>	

NH Department of Health and Human Services

STANDARD EXHIBIT J

**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 Sub-award and Executive Compensation Information*), the Department of Health and Human Services (DHHS) must report the following information for any sub-award 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:
 - a. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
 - b. 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 Sub-award 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.

Christine Bothe
(Contractor Representative Signature)

Christine Bothe
Associate Director
Office of Sponsored Projects
(Authorized Contractor Representative Name & Title)

TRUSTEES OF
DARTMOUTH COLLEGE
(Contractor Name)

3/26/13
(Date)

NH Department of Health and Human Services

STANDARD EXHIBIT J

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:

04-102-7822

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, sub-grants, 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: _____

Name: _____

Amount: _____

Name: _____

Amount: _____

Name: _____

Amount: _____

Name: _____

Amount: _____

KEY ADMINISTRATIVE PERSONNEL

NH Department of Health and Human Services
Division of Public Health Services

Agency Name: Trustees of Dartmouth College

Name of Bureau/Section: Administrative Center for Breast and Cervical Cancer Screening

BUDGET PERIOD: SFY 16 (7/1/15 - 6/30/16)			
Name & Title Key Administrative Personnel	Annual Salary of Key Administrative Personnel	Percentage of Salary Paid by Contract	Total Salary Amount Paid by Contract
Debra Birenbaum, Assistant Professor, Medical Director	\$249,561	0.00%	\$0.00
Marlene Goldman, Professor, Division Director	\$171,730	0.00%	\$0.00
Valerie Thompson, Program Coordinator	\$43,493	100.00%	\$43,492.80
	\$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)			\$43,492.80

BUDGET PERIOD: SFY 17 (7/1/16 - 6/30/17)			
Name & Title Key Administrative Personnel	Annual Salary of Key Administrative Personnel	Percentage of Salary Paid by Contract	Total Salary Amount Paid by Contract
Debra Birenbaum, Assistant Professor, Medical Director	\$262,039	0.00%	\$0.00
Marlene Goldman, Professor, Division Director	\$180,317	0.00%	\$0.00
Valerie Thompson, Program Coordinator	\$44,580	100.00%	\$44,580.00
	\$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)			\$44,580.00

Key Administrative Personnel are top-level agency leadership (President, Executive Director, CEO, CFO, etc.), and individuals directly involved in operating and managing the program (project director, program manager, etc.). These personnel MUST be listed, even if no salary is paid from the contract. Provide their name, title, annual salary and percentage of annual salary paid from the agreement.