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Frank Edelblut
Commissioner

Christine Brennan
Deputy Commissioner

STATE OF NEW HAMPSHIRE
DEPARTMENT OF EDUCATION
101 Pleasant Street
Concord, N.H. 03301
TEL. (603) 271-6133
FAX (603) 271-1953

May 22, 2018

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

REQUESTED ACTION

Authorize the New Hampshire Department of Education, Bureau of Student Wellness to exercise a renewal option on a **sole source** contract with Antioch University New England, Keene, NH (vendor code 177687), by increasing the price limitation by \$413,926.42 from \$413,637.00 to \$827,563.42 to continue working in partnership with the NHDOE in developing and implementing a comprehensive evaluation plan for the System of Care (SOC), effective upon Governor and Council approval from July 1, 2018 through June 30, 2019. This contract was originally approved by Governor and Council on August 23, 2017 (Item#82). 100% federal funds.

Funds to support this request are available in the account titled System of Care (SOC) as follows;

| | |
|--------------------------------------|--------------|
| 06-056-056-562010-50600000-072-50973 | <u>FY'19</u> |
| Grants Federal | \$413,926.42 |

EXPLANATION

The DOE would like to exercise this renewal option on a **sole source** contract. This contract was originally sole sourced, due to the federal grant requirement that the agency identify the evaluation team prior to submitting the application. A request for a Letter of Commitment (RFC) was advertised on the Office of Student Wellness website and the Department of Education website, Office of Student Wellness on March 23 through March 31, 2016.

In FY '2018, Antioch University collected and provided data on existing NH System of Care (SOC), data processes. They created a process that included the NHDOE, local districts and required regions, in the development of specific tools, and surveys that will be used to collect required data related to their project outcomes. Tools and surveys adhered to National Culturally and Linguistically Appropriate Services (CLAS) Standards. They created a process for obtaining IRB approval for consent, HIPAA and disclosure forms prior to the start of the evaluation effort. Antioch established a tracking system to guide school behavioral health staff to conduct follow-up assessments and used evaluation reports to monitor

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

May 22, 2018

Page Two

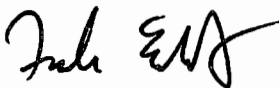
program implementation and improve processes as needed. Technical Assistance was provided to support seven LEAs (Local Education Agency).

The purpose of this contract renewal is to systematically assess the ongoing status of the SOC grant by providing timely information for creating strategic plans, measuring progress, and keeping the project focused on the overall objectives. Specifically, the project evaluator is responsible for contributing to and ensuring the successful local and regional implementation effort through process and outcome data collection and regular feedback of information. The project evaluation is designed to determine achievement of the goals, objectives and outcomes of the grant and if adjustments need to be made to the project. The project evaluator ensures that NH Department of Education (NHDOE) and seven (7) Local Education Agencies (LEAs) data goals are being met and will coordinate all data collection and implementation strategies among the SEA and the three (3) regions across the state. The project evaluator collects and submits all data to ensure efficient and confident transfer of all data and execution of data analyses and interpretation. The project evaluator supports the NHDOE and the seven local school districts in authoring manuscripts for peer-reviewed publications and presentations of project findings. The evaluation plan describes the specific strategies used to implement both process and outcome evaluations.

Antioch University New England is evaluated by the Department through the monitoring of the services provided. In addition, they submit reports to the Department on the progress in meeting the objectives of the contract. There are two (2) more yearly options to renew on this contract then there will be a final report due from the vendor within six (6) months of ending services.

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

Respectfully submitted,



Frank Edelblut
Commissioner of Education

FE:TLS
Enclosures

**AMENDMENT TO
PROFESSIONAL SERVICES CONTRACT**

Now come the New Hampshire Department of Education, Bureau of Student Wellness, hereinafter "the Agency," and Antioch University New England, Keene, NH, hereinafter "the Contractor", and, pursuant to an agreement between the parties that was approved by Governor and Council on August 23, 2017 (Item #82) hereby agree to modify same as follows:

1. Amend Section 1.7 by removing June 30, 2018 and replacing with June 30, 2019.
2. Amend Section 1.8 by removing \$413,637.00 and replacing with \$ 827,563.42
3. Remove Exhibit A (Scope of Service) and replace with Exhibit A-1 (Scope of Service).
4. Remove Exhibit B (Budget) and replace with Exhibit B-1 (Budget).
5. All other provisions of this agreement shall remain in full force and effect.
5. This renewal option shall be effective on July 1, 2018.

This modification of an existing agreement is hereby incorporated by reference to the existing agreement by the parties and must be attached to the said agreement.

IN WITNESS WHEREOF, the parties, hereto have set their hands as of the day and year first above written.

THE STATE OF NEW HAMPSHIRE
Department of Education
(Agency)

Division of Commissioner's Office

By: [Signature]
Commissioner of Education Date

ANTIOCH UNIVERSITY NEW ENGLAND
Name of Corporation (Contractor)

By: [Signature], Provost 5/3/18
Signature, Title Date

STATE OF N.H.

County of Cheshire

On this the 3rd day of May, 2018 before me, BARBARA ANDREWS, the undersigned officer, personally appeared _____ known to me (or satisfactory proven) to be the person whose name is subscribed to the within instrument and acknowledged that he/she executed the same for the purposes therein contained.

In witness whereof, I hereto set my hand and official seal.

[Signature]
Notary Public/Justice of the Peace

PATRICIA A. HITCHNER, Notary Public
My Commission Expires March 9, 2021
Commission Expires

Approved as to form, substance and execution by the Attorney General this 29th day of May, 2018

[Signature]
Division of Attorney General Office

Approved by the Governor and Council this _____ day of _____, 20__

By: _____

EXHIBIT A - 1

Scope of Services

The Center for Behavioral Health Innovation (BHI) at Antioch University New England will provide to the New Hampshire Department of Education external evaluation of the System of Care (SOC) Expansion and Sustainability Cooperative Agreement Substance Abuse and Mental Health Services Administration (SAMHSA) FOA # SM-16-009 as required by the Performance Measures and Government Performance and Results Act (GPRA) and as specified in the evaluation plan. The evaluation will include collecting and reporting the required GPRA performance measures according to the specifications of the funder (Substance Abuse and Mental Health Services Administration). The evaluation will also include additional performance measures of “local” interest, including fidelity, outcomes, and cost-utility of Multi-Tiered Systems of Support and Wraparound implementation. BHI will provide training and technical assistance on all aspects of the evaluation. BHI will conduct analyses, create dashboards, and facilitate data-based decision making and quality improvement at all levels of program functioning.

BHI will be utilizing staff, external contractors, specialized technology, and various tools to conduct the evaluation. These items are described in Exhibit B with the associated cost.

- Collect and provide data on existing processes.
- Create a process that includes the NHD OE, local districts and required regions, in the development of specific tools and surveys that will be used to collect data related to project outcomes. Tools and surveys must adhere to National Culturally and Linguistically Appropriate Services (CLAS) Standards.
- Create a process for obtaining IRB approval for consent, HIPAA, and disclosure forms prior to the start of the evaluation effort.
- Track and prompt data entry and assessments.
- Provide technical assistance and support to seven Local Area Agencies (LEA's).
- Report on the performance measures.
- Submit quarterly reports to the DOE.
- Create evaluation products and reports as required.

EXHIBIT B - 1

Budget

| Item | Description | FY'19 |
|--|--|---|
| Faculty Co-Lead Evaluators Dr. Megan Edwards Dr. Jim Fauth | Will dedicate a combined 30 hours/week to the project. They will be ultimately responsible for the design and implementation of the evaluation and all evaluation-related products. Their hourly professional charge rate including benefits and indirect costs is \$93.08 per hour. | \$139,619.03 |
| Evaluation Coordinators/Data Analysts Lisa Colby Dotson John Erdmann Johanna Wilson-White Kate Evarts | The evaluation coordinators/data analysts will dedicate a combined total of 39 hour/week to the project. They will coordinate the evaluation, liaise with districts, manage and analyze data, and supervise graduate research assistants. Their hourly charge rate including benefits and indirect costs is \$85.00 per hour. | \$154,932.28 |
| Graduate Evaluation Assistants Doctoral Clinical Psychology Students | Evaluation assistants will assist with data collection, coding, analysis, and reporting, under the supervision of staff. | \$25,760.00 |
| Travel/Meetings | Travel for project and evaluation meetings and to meet with staff at each participating LEA. Mileage is reimbursed at the GSA approved rate. Number and frequency of trips will vary. | \$6,000.00 |
| Instruments, Technology and Analytic Supplies See note 1 for detail | Team Observation Measure Wraparound Fidelity Index QuickBase (20 Users) Tableau BOX.com Subscription | \$1,200.00 \$1,200.00 \$20,000.00 \$2,500.00 \$4,200.00 |
| <u>Contractual</u> NAMI | NAMI NH will furnish dedicated specialized data analysis services. Patrick Roberts will support data collection and management and liaise with SAMSHA's data systems, a role in which he has extensive experience. | \$12,152.00 |
| NH Center for Public Policy Studies (NHCPPS) | The UNH Institute for Health Policy and Practice will collect care utilization and expenditure data from Medicaid and project records, performance measures will include number, rate and costs associated with outpatient, emergency department, inpatient/residential, and out of district placement utilization by enrolled and not-enrolled but otherwise similar youth. | \$13,000.00 |
| Consumer Raters | Stipends to youth participants/family members involved in the wrap-around services who assist in the evaluation process. | \$5,000.00 |
| Other/Unanticipated Expenses | We anticipate that there will be a need to adapt/respond to changes in intervention strategies and/or project staff requests. | \$3,400.00 |

| | | |
|-----------------------|---|---------------------|
| Indirect Costs | Indirect Cost base = \$96,012.00 - Includes modified total direct costs not included in loaded personnel charge rates. IRC Rate = 26% (Antioch University New England's full federally negotiated indirect cost rate is 47% of Modified Total Direct Costs). | \$24,963.12 |
| Totals | | \$413,926.42 |

Note 1:

Team Observation Measure (TOM) – consists of indicators of high quality wraparound practice as expressed during a child and family team meeting and a format for recording whether or not each indicator was in evidence during the wraparound team meeting session, as well as translating indicators into a total fidelity score for the session. Subscribers to TOM also receive access and use of WFAS Online Data Entry and Reporting System. TOM is a program service to support the Wraparound Fidelity Assessment System, a multi-method approach to assessing the quality of individualized care coordination for children and youth with complex needs and their families developed by the Wraparound Evaluation and Research Team (WERT), UW School of Medicine.

Wraparound Fidelity Index – Short Version (WFI-EZ) is a brief, self-administered survey that measures adherence to the Wraparound principles. The WFI-EZ was developed in 2011 to offset the burden of conducting lengthy interviews for the full WFI-4 protocol, and to include items that assess satisfaction. Respondents (caregivers, youth, facilitators, and team members) answer questions in three categories: Experiences in Wraparound (25 items), Satisfaction (4 items), and Outcomes (9 items).

Tableau - data visualization software to create and share evaluation analyses and dashboards.

BOX encrypted platform for sharing sensitive evaluation data in a confidential and HIPAA compliant manner.

QuickBase – Secure, encrypted, web-based project database software.

Limitation on Price: This Contract will not exceed \$413,926.42.

Source of Funding: Funding for this contract is 100% Federal Funds from the account titled System of Care (SOC), as follows:


Account: 06-056-056-562010-50600000-072-509073
Grants Federal

FY' 19
\$413,926.42

Method of Payment:

Payment will be made upon the submittal of an invoice that is received by the 10th of the following month which is supported by a summary of activities that have taken place in accordance with the terms of the contract.

Attn: Michelle Myler
NH Department of Education
Office of Student Wellness
101 Pleasant Street
Concord, NH 03301

Initial 
Date 5/3/18

State of New Hampshire

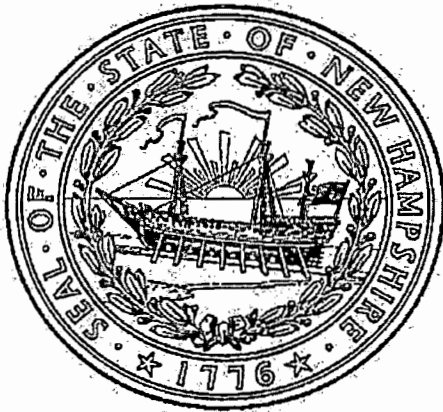
Department of State

CERTIFICATE

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

Business ID: 239

Certificate Number : 0004092920



IN TESTIMONY WHEREOF,
I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 4th day of May A.D. 2018.

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

William M. Gardner
Secretary of State

ANTIOCH UNIVERSITY

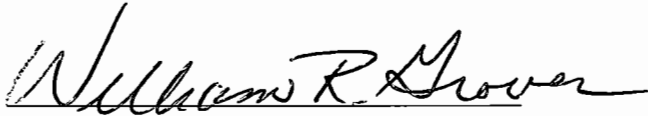
CERTIFICATE OF VOTE

I, William R. Groves, do hereby certify that:

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

SEE ATTACHED RESOLUTION, which provides contract signatory authority for certain University officers and employees. While it is the Chancellor of Antioch University who is named in the resolution as having the authority to take action, this includes his authority to delegate certain relevant signatory privileges to the Campus Provosts.

3. The foregoing resolution has not been amended or revoked, and remains in full force and effect at least until June 30, 2018; and
4. Barbara Andrews, PhD, is the duly authorized Provost of Antioch University New England.



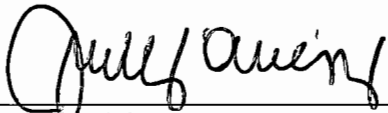
William R. Groves

President of the Corporation

STATE OF Ohio

County of Greene

The foregoing instrument was acknowledged before me this 3rd day of May, 2018 by William R. Groves, President of the Corporation.



Notary Public

Commission Expires: 8/5/23



ANTIOCH UNIVERSITY

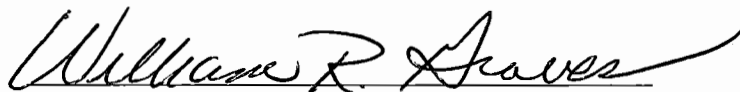
Office of the Chancellor 1900 Dayton Street, Yellow Springs, OH 45387 | 937-769-1345

May 3, 2018

I, William R. Groves, do hereby certify as follows:

1. That I am the duly appointed, qualified, and current President of Antioch University, Greene County, Ohio;
2. That I am also the duly appointed, qualified and current Chancellor of Antioch University;
3. That as President of Antioch University, I am authorized to execute this certificate, and do hereby certify that Barbara Andrews, PhD, is the duly appointed, qualified, and current Provost of Antioch University, and is authorized to take action on behalf of Antioch University (reference Resolution 10.29.16:8, attached), and that I have delegated such authority to her as Provost in my capacity as Chancellor.

Witness my hand this 3rd day of May, 2018.



William R. Groves,
President of the Corporation
Antioch University

RESOLUTION
10.29.16:8

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

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

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

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

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

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

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

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

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

Client#: 1129337

ANTIOUNI2

ACORD™

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
5/02/2018

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.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement.

PRODUCER: USI Insurance Services LLC, 10100 Innovation Drive, Suite 220, Dayton, OH 45342, 937 223-8891. CONTACT NAME: Pam Lunsford, PHONE: 937-223-8891, FAX: (A/C, No):, E-MAIL ADDRESS: pam.lunsford@usi.com. INSURER(S) AFFORDING COVERAGE: INSURER A: Travelers Property Casualty Ins. Co (NAIC # 36161), INSURER B: General Star Indemnity Company (NAIC # 37362), INSURER C: Travelers Casualty & Surety Co. of Amer (NAIC # 31194).

COVERAGES CERTIFICATE NUMBER: REVISION NUMBER:

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

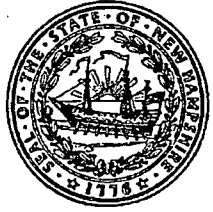
Table with columns: INSR LTR, TYPE OF INSURANCE, ADDL INSR, SUBR WVD, POLICY NUMBER, POLICY EFF (MM/DD/YYYY), POLICY EXP (MM/DD/YYYY), LIMITS. Rows include Commercial General Liability, Automobile Liability, Umbrella Liability, and Workers Compensation.

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

CERTIFICATE HOLDER: The State of New Hampshire, Department of Education, 101 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: [Signature]

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Frank Edelblut
Commissioner

Paul K. Leather
Deputy Commissioner

STATE OF NEW HAMPSHIRE
DEPARTMENT OF EDUCATION
101 Pleasant Street
Concord, N.H. 03301
TEL. (603) 271-6133
FAX (603) 271-1953

June 27, 2017

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

REQUESTED ACTION

Authorize the New Hampshire Department of Education, Bureau of Special Education, Office of Student Wellness to enter into a **sole source** contract with Antioch University New England, (vendor code 177687), Keene, NH, in an amount of \$413,637.00, to work in partnership with the NHDOE in developing and implementing a comprehensive evaluation plan for the System of Care (SOC) in reporting data as required by Performance Measures (PMs) and the Government Performance and Results Act (GPRA). This contract and an option to renew for three additional years, will be effective upon Governor and Council approval through June 30, 2018. 100% Federal Funds.

Funds to support this request are available in the account titled System of Care (SOC) as follows;

| | |
|---------------------------------------|--------------|
| 06-056-056-562010-50600000-072-509073 | <u>FY'18</u> |
| Grants Federal | \$413,637.00 |

EXPLANATION

The Department of Education pre-identified Antioch University New England through a Request for Information (RFI) advertised on the Office of Student Wellness Website: www.nhstudentwellness.org; and the Department Of Education website ~Office of Student Wellness (OSW), on March 23 through March 31, 2016. The federal grant required OSW to select an evaluator prior to submittal of the grant application and to submit an evaluation plan. Antioch University of New England (AUNE) was the only responder and agreed to work with the New Hampshire Department of Education to fulfill the requirements of the grant. (See attachment A). AUNE has served as the external evaluator for the NH Department of Health and Human Services for their System of Care Planning and Implementation Grant. Therefore the DOE would like to enter into a **sole source** contract with AUNE who will serve as the external evaluator.

His Excellency, Governor Christopher T. Sununu
And the Honorable Council
Page Two

The purpose of this contract is to systematically assess the ongoing status of the SOC grant by providing timely information for creating strategic plans, measuring progress, and keeping the project focused on the overall objectives. Specifically, the project evaluator will be responsible for contributing to and ensuring the successful local and regional implementation effort through process and outcome data collection and regular feedback of information. The project evaluation will be designed to determine achievement of the goals, objectives and outcomes of the grant and if adjustments need to be made to the project. The project evaluator will ensure that NH Department Of Education (NHDOE) and Seven (7) Local Education Agencies (LEAs) data goals are being met and will coordinate all data collection and implementation strategies among the State Education Agencies (SEA's) and the three (3) regions across the state. The project evaluator will collect and submit all data to ensure efficient and confident transfer of all data and execution of data analyses and interpretation. The project evaluator will support the NHDOE and the seven local school districts in authoring manuscripts for peer-reviewed publications and presentations of project findings. Priority will be given to Institutes of Higher Learning with an Institutional Review Board (IRB). The evaluation plan will describe the specific strategies used to implement both process and outcome evaluations.

Antioch University New England will be evaluated by the Department through the monitoring of the services provided. In addition, they will submit reports to the Department on the progress in meeting the objectives of the contract.

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

Respectfully submitted,



Frank Edelblut
Commissioner of Education

FE:TLS
Enclosures

Attachment A

Request for Information (RFI) Submittal

Date Submitted: Evaluation Report submitted on April 13, 2016

Submitted to: Mary Steady, Administrator in the Office of Student Wellness

Who Submitted: Antioch University New England, Keene, NH

When writing for federal grant there is a requirement to submit a full evaluation plan with the application and to identify the evaluation team. Since there is a very quick turnaround (typically 60 days or less) to complete the aforementioned task it doesn't allow for the RFP process to be implemented. However, to do our due diligence with the fair and competitive bidding process the OSW was instructed by the Commissioner's Office and Business Office to release a Request for Information (RFI-see attached). The RFI was advertised on the NH DOE website from March 23-31, 2016. AUNE, BHI was the only respondent to the RFI. They contacted the OSW via phone call to discuss the requirements of the RFI. OSW took the following actions:

1. Discussed/interviewed Antioch University on their experience with System of Care evaluation
2. Reviewed current contracts and products with Antioch University
3. Reviewed DHHS's SOC grant evaluation report that was written by Antioch University
4. Went into verbal agreement with Antioch University to write the full evaluation plan for the SOC application

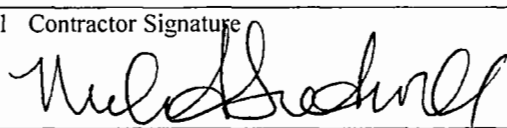
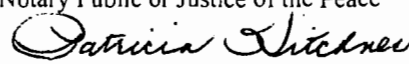
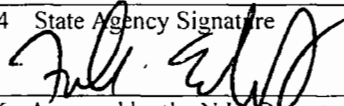
Notice: This agreement and all of its attachments shall become public upon submission to Governor and Executive Council for approval. Any information that is private, confidential or proprietary must be clearly identified to the agency and agreed to in writing prior to signing the contract.

AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

| | | | |
|---|---|---|--------------------------------------|
| 1.1 State Agency Name NH Department of Education | | 1.2 State Agency Address 101 Pleasant Street, Concord, NH 03301 | |
| 1.3 Contractor Name Antioch University dba Antioch University New England | | 1.4 Contractor Address 40 Avon Street, Keene, NH 03431 | |
| 1.5 Contractor Phone Number (603)283-2101 | 1.6 Account Number 06-056-056-562010-50600000-072-509073 | 1.7 Completion Date June 30, 2018 | 1.8 Price Limitation \$413,637.00 |
| 1.9 Contracting Officer for State Agency Mary Steady, Administrator for Office of Student Wellness | | 1.10 State Agency Telephone Number (603)271-3730 | |
| 1.11 Contractor Signature  | | 1.12 Name and Title of Contractor Signatory Melinda D. Treadwell, PhD, Provost & CEO Antioch University New England | |
| 1.13 Acknowledgement: State of <u>N.H.</u> , County of <u>Cheshire</u> On <u>July 17, 2017</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] | | PATRICIA A. HITCHNER, Notary Public My Commission Expires March 9, 2021 | |
| 1.13.2 Name and Title of Notary or Justice of the Peace | | | |
| 1.14 State Agency Signature  Date: <u>7-25-17</u> | | 1.15 Name and Title of State Agency Signatory <u>FRANK EDELBLUT, COMMISSIONER OF EDUCATION</u> | |
| 1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: <u>Sara Jullighan</u> Director, On: <u>8-2-17</u> | | | |
| 1.17 Approval by the Attorney General (Form, Substance and Execution) (if applicable) By: <u>E. B. McIntyre</u> On: <u>7/28/17</u> | | | |
| 1.18 Approval by the Governor and Executive Council (if applicable) By: _____ On: _____ | | | |

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

3. EFFECTIVE DATE/COMPLETION OF SERVICES.

3.1 Notwithstanding any provision of this Agreement to the contrary, and subject to the approval of the Governor and Executive Council of the State of New Hampshire, if applicable, this Agreement, and all obligations of the parties hereunder, shall become effective on the date the Governor and Executive Council approve this Agreement as indicated in block 1.18, unless no such approval is required, in which case the Agreement shall become effective on the date the Agreement is signed by the State Agency as shown in block 1.14 ("Effective Date").

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

4. CONDITIONAL NATURE OF AGREEMENT.

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

5. CONTRACT PRICE/PRICE LIMITATION/PAYMENT.

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

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

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

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

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

6.1 In connection with the performance of the Services, the Contractor shall comply with all statutes, laws, regulations, and orders of federal, state, county or municipal authorities which impose any obligation or duty upon the Contractor, including, but not limited to, civil rights and equal opportunity laws. This may include the requirement to utilize auxiliary aids and services to ensure that persons with communication disabilities, including vision, hearing and speech, can communicate with, receive information from, and convey information to the Contractor. In addition, the Contractor shall comply with all applicable copyright laws.

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

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

7. PERSONNEL.

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

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

Agreement. This provision shall survive termination of this Agreement.

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

8. EVENT OF DEFAULT/REMEDIES.

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

8.1.1 failure to perform the Services satisfactorily or on schedule;

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

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

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

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

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

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

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

9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

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

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

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

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

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

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

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

14. INSURANCE.

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

14.1.1 comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$1,000,000 per occurrence and \$2,000,000 aggregate ; and

14.1.2 special cause of loss coverage form covering all property subject to subparagraph 9.2 herein, in an amount not less than 80% of the whole replacement value of the property.

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

14.3 The Contractor shall furnish to the Contracting Officer identified in block 1.9, or his or her successor, a certificate(s) of insurance for all insurance required under this Agreement. Contractor shall also furnish to the Contracting Officer identified in block 1.9, or his or her successor, certificate(s) of insurance for all renewal(s) of insurance required under this Agreement no later than thirty (30) days prior to the expiration date of each of the insurance policies. The certificate(s) of insurance and any renewals thereof shall be attached and are incorporated herein by reference. Each certificate(s) of insurance shall contain a clause requiring the insurer to provide the Contracting Officer identified in block 1.9, or his or her successor, no less than thirty (30) days prior written notice of cancellation or modification of the policy.

15. WORKERS' COMPENSATION.

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

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

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

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

18. AMENDMENT. This Agreement may be amended, waived or discharged only by an instrument in writing signed by the parties hereto and only after approval of such amendment, waiver or discharge by the Governor and Executive Council of the State of New Hampshire unless no

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

19. CONSTRUCTION OF AGREEMENT AND TERMS.

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

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

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

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

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

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

EXHIBIT A

Scope of Services

Antioch University New England will provide to the New Hampshire Department of Education a detailed plan for evaluating the overall effectiveness of the SOC grant as required by the Performance Measures and Government Performance and Results Act. The plan will describe the method used to collect and analyze data specific goals, objectives, activities and outcomes as part of an on-going measure of the effectiveness of this initiative. The method will include a description of how the results of the evaluation will inform decisions regarding possible revisions to the overall model or any of its components, training, staffing, materials, and implementation. The evaluation plan will take into account existing data, data to be collected in forthcoming survey administrations, and other sources of data that can provide convergent evidence of the efficacy of the project in developing, supporting, and evaluating improvement strategies. The plan will also include process assessment that evaluates the SOC increase in collaboration, coordination, and sharing across agencies serving children, youth, adolescents, and their families and will examine the approaches that facilitate or inhibit such collaboration at the state and local level.

Antioch will be utilizing staff and specialized systems for the program. These systems are described in Exhibit B with the associated cost.

- Collect and provide data on existing processes.
- Create a process that includes the NHDOE, local districts and required regions, in the development of specific tools and surveys that will be used to collect data related to project outcomes. Tools and surveys must adhere to National Culturally and Linguistically Appropriate Services (CLAS) Standards.
- Create a process for obtaining IRB approval for consent, HIPAA, and disclosure forms prior to the start of the evaluation effort.
- Antioch will establish a tracking system to guide school behavioral health staff to conduct follow-up assessments and will use evaluation reports to monitor program implementation and improve processes as needed.
- Provide technical assistance and support to seven Local Area Agencies (LEA's).
- Report on the performance measures.
- Submit quarterly reports to the DOE.

**EXHIBIT B
Budget**

| Item | Description | FY'18 |
|---|---|--------------|
| <u>Faculty Evaluation Co-Principal Investigators</u> Directors of the Center for Behavioral Health Innovation Dr. Jim Fauth Dr. George Tremblay | Will dedicate a combined 12 hours per week to this project. The hourly professional charge rate is \$93.00 per hour. | \$54,730.00 |
| <u>Evaluator Coordinators</u> Megan Edwards Anne Noordstrom Johanna Wilson-White | Team Members will dedicate a combined total of 18 hrs per supervising graduate research assistants, coordinating with the Dept. of Education staff and all participating schools, and with Drs. Fauth an Tremblay to implement the evaluation methodology. Evaluation staff hourly charge rate is \$80.00 per hour. | \$70,077.00 |
| <u>Data Analyst</u> John Erdmann | Will dedicate 10 hours per week. His hourly charge rate is \$65.00 per hour. | \$31,853.00 |
| <u>Graduate Research Assistants</u> Doctoral Clinical Psychology Students | These students will assist with data collection and aggregation and various phases of project implementation, under the supervision of Drs. Fauth, Tremblay and Edwards. | \$31,050.00 |
| <u>Travel/Meetings</u> | Extensive travel is anticipated to meet with staff at each participating LEA to plan, organize and provide technical assistance to staff and leadership, and to meet and work with DOE staff and observe/project activities. Mileage is reimbursed at the GSA approved rate. Number and frequency of trips will vary. | \$6,000.00 |
| <u>Instruments, Technology and Analytic Supplies</u> (See note 1 for detailed description of technology). | <p>Team Observation Measure \$1,000.00</p> <p>Wraparound Fidelity Index \$1,000.00</p> <p>Community Supports for Wraparound Inventory \$10,500.00</p> <p>QuickBase (10 Users) \$3,000.00</p> <p>Tableau Online \$7,000.00</p> <p>BOX.com Subscription \$4,200.00</p> <p>Video Camera and peripherals \$4,000.00</p> <p>Fidelity EHR (One time set-up) \$43,700.00</p> <p>Fidelity EHR Annual Subscription \$58,850.00</p> | |
| <u>Contractual</u> NAMI | NAMI NH will furnish dedicated specialized data analysis services. Patrick Roberts will support data collection and management and liaise with SAMSHA's data systems, a role in which he has extensive experience. | \$12,152.00 |
| NH Center for Public Policy Studies (NHCPPS) | NH Center for Public Policy Studies Executive Director Steve Norton is the former NH Medicaid Director. with deep knowledge of | \$20,000.00 |

| | | |
|-------------------------------|--|---------------------|
| | state data systems. NHCPPS will collect care utilization and expenditure data from Medicaid and project records, performance measures will include number, rate and costs associated with outpatient, emergency department, inpatient/residential, and out of district placement utilization by enrolled and not-enrolled but otherwise similar youth. | |
| Consumer Raters | Stipends to youth participants/family members involved in the wrap-around services who assist in the evaluation process. | \$7,500.00 |
| Unanticipated Expenses | We anticipate that there will be a need to adapt/respond to changes in intervention strategies and/or project staff requests. | \$10,000.00 |
| Indirect Costs | Indirect Cost base = \$142,402.00 - Includes modified total direct costs not included in loaded personnel charge rates. IRC Rate = 26% (Antioch University New England's full federally negotiated indirect cost rate is 47% of Modified Total Direct Costs). | \$37,025.00 |
| Totals | | \$413,637.00 |

Note 1:

Description of Technology:

Team Observation Measure (TOM) – consists of indicators of high quality wraparound practice as expressed during a child and family team meeting and a format for recording whether or not each indicator was in evidence during the wraparound team meeting session, as well as translating indicators into a total fidelity score for the session. Subscribers to TOM also receive access and use of WFAS Online Data Entry and Reporting System. TOM is a program service to support the Wraparound Fidelity Assessment System, a multi-method approach to assessing the quality of individualized care coordination for children and youth with complex needs and their families developed by the Wraparound Evaluation and Research Team (WERT), UW School of Medicine, Department of Psychiatry and Behavioral Sciences, Division of Public Behavioral Health and Justice Policy.

Wraparound Fidelity Index – Short Version (WFI-EZ) is a brief, self-administered survey that measures adherence to the Wraparound principles. The WFI-EZ was developed in 2011 to offset the burden of conducting lengthy interviews for the full WFI-4 protocol, and to include items that assess satisfaction. Respondents (caregivers, youth, facilitators, and team members) answer questions in three categories: Experiences in Wraparound (25 items), Satisfaction (4 items), and Outcomes (9 items).

The Community Supports for Wraparound Inventory (CSWI) - is a 40-item research and quality improvement developed by Janet Walker, PhD, and based on the Framework of Necessary Conditions described by Walker, Koroloff and Schutte (2003). The tool is intended to measure how well a local system supports the implementation of the Wraparound process, and is somewhat unique from the other WFAS instruments in that it assesses the system context for Wraparound as opposed to the fidelity to the practice model for an individual child and family. Technology budget will purchase licenses for users for BOX and Tableau online.

Tableau online will allow us to share evaluation analyses and dashboard in real time with stakeholders.

BOX will provide us with an encrypted platform for sharing sensitive evaluation data in a confidential and HIPAA compliant manner.

Fidelity HER_ - Designed to support diverse behavioral health teams, spanning clinicians, providers, youth, family and extended team members

Limitation on Price: This Contract will not exceed \$413,637.00.

Source of Funding: Funding for this contract is 100% Federal Funds from the account titled System of Care (SOC), as follows:

Account: 06-056-056-562010-50600000-072-509073
Grants Federal

FY' 18
\$413,637.00

Method of Payment:

Payment will be made upon the submittal of an invoice that is received by the 10th of the following month which is supported by a summary of activities that have taken place in accordance with the terms of the contract.

Attn: Mary Steady
NH Department of Education
Office of Student Wellness
101 Pleasant Street
Concord, NH 03301

Initial MS
Date 7/17/17

EXHIBIT C

This contract contains a provision that allows the Department to add an option to renew for three additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council.

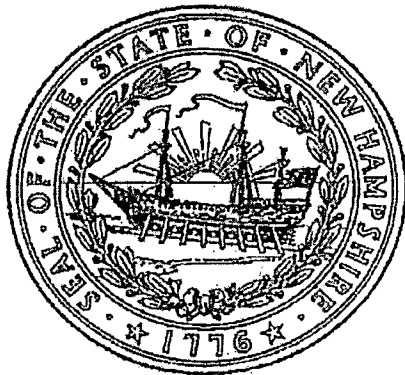
State of New Hampshire

Department of State

CERTIFICATE

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

Business ID: 239



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

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

William M. Gardner
Secretary of State

ANTIOCH UNIVERSITY

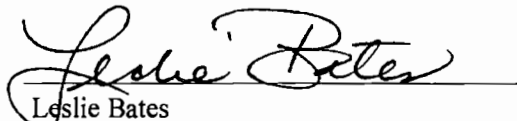
CERTIFICATE OF VOTE

I, Leslie Bates, do hereby certify that:

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

SEE ATTACHED RESOLUTION, which provides contract signatory authority for certain University officers and employees. While it is the Chancellor of Antioch University who is named in the resolution as having the authority to take action, this includes his authority to delegate certain relevant signatory privileges to the Campus Provosts.

3. The foregoing resolution has not been amended or revoked, and remains in full force and effect at least until June 30, 2018; and
4. Melinda D. Treadwell, PhD, is the duly authorized Provost of Antioch University New England.



Leslie Bates
Assistant Secretary of the Corporation

STATE OF Ohio

County of Greene

The foregoing instrument was acknowledged before me this 28th day of July 2017 by Leslie Bates, Assistant Secretary.

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

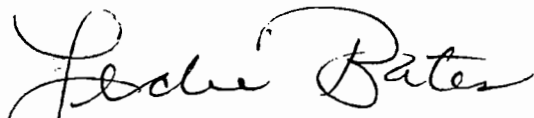
ANTIOCH UNIVERSITY

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

July 28, 2017

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

Witness my hand this 28th Day of July 2017.



Leslie Bates
Assistant Secretary, Antioch University

RESOLUTION
10.29.16:8

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

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

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

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

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

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

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

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

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

Client#: 1129337

ANTIUNI2

ACORDTM

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

7/19/2017

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

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must 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).

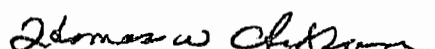
| | |
|--|---|
| PRODUCER USI Insurance Services LLC 10100 Innovation Drive, Suite 220 Dayton, OH 45342 937 223-8891 | CONTACT NAME: Pam Lunsford |
| | PHONE (A/C, No, Ext): 937-913-1332 FAX (A/C, No): E-MAIL ADDRESS: pam.lunsford@usi.com |
| INSURED Antioch University New England 40 Avon Street Keene, NH 03431 | INSURER(S) AFFORDING COVERAGE INSURER A: Travelers Property Casualty Ins NAIC # 36161 |
| | INSURER B: General Star Indemnity Company 37362 |
| | INSURER C: Travelers Casualty & Surety Co. 31194 |
| | INSURER D: |
| | INSURER E: |
| | INSURER F: |

COVERAGES CERTIFICATE NUMBER: REVISION NUMBER:

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

| INSR LTR | TYPE OF INSURANCE | ADDL INSR | SUBR WVD | POLICY NUMBER | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS |
|----------|---|-----------|----------|------------------|-------------------------|-------------------------|---|
| A | <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" 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 | | | 6301685P876TIL16 | 10/31/2016 | 10/31/2017 | EACH OCCURRENCE \$1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$500,000 MED EXP (Any one person) \$10,000 PERSONAL & ADV INJURY \$1,000,000 GENERAL AGGREGATE \$2,000,000 PRODUCTS - COMP/OP AGG \$2,000,000 \$ |
| A | AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS | | | 8101685P876TIL16 | 10/31/2016 | 10/31/2017 | COMBINED SINGLE LIMIT (Ea accident) \$1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$ |
| B | <input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR EXCESS LIAB CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$10000 | | | IUG408332H | 10/31/2016 | 10/31/2017 | EACH OCCURRENCE \$10,000,000 AGGREGATE \$10,000,000 \$ |
| C | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? Y/N (Mandatory in NH) <input checked="" type="checkbox"/> N N/A If yes, describe under DESCRIPTION OF OPERATIONS below | | | YJUB5996N19A | 07/01/2017 | 07/01/2018 | <input checked="" type="checkbox"/> PER STATUTE OTH-ER E.L. EACH ACCIDENT \$500,000 E.L. DISEASE - EA EMPLOYEE \$500,000 E.L. DISEASE - POLICY LIMIT \$500,000 |

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

| | |
|--|--|
| CERTIFICATE HOLDER The State of New Hampshire Department of Education 101 Pleasant St 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  |
|--|--|

ANTIOCH UNIVERSITY

NEW ENGLAND

Mission

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

Vision

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

Purpose

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

Values

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

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

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

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

Antioch University

Financial Report
June 30, 2016

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RSM US LLP

Independent Auditor's Report

Board of Governors
Antioch University
Yellow Springs, Ohio

Report on the Financial Statements

We have audited the accompanying financial statements of Antioch University (the University) which comprise the statements of financial position as of June 30, 2016 and 2015, and the related statements of activities and cash flows for the years then ended and the related notes to the financial statements (collectively, the financial statements).

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

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

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

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

THE POWER OF BEING UNDERSTOOD
AUDIT | TAX | CONSULTING

Independent Auditor's Report (Continued)

Opinion

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

RSM US LLP

Columbus, Ohio
December 13, 2016

Antioch University

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

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

See notes to financial statements.

Antioch University

Statement of Activities
Year Ended June 30, 2016

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

See notes to financial statements.

Antioch University

Statement of Activities
Year Ended June 30, 2015

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

See notes to financial statements.

Antioch University

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

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

See notes to financial statements.

Antioch University

Notes to Financial Statements

Note 1. Nature of Activities and Significant Accounting Policies

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

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

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

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

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

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

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

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

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

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

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

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

Revenue recognition:

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

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

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

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

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

Antioch University

Notes to Financial Statements

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

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

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

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

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

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

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

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

Note 2. Receivables

Receivables consist of the following at June 30:

| | 2016 | | | | |
|---------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| | Gross Amount | Allowance | Net | Current Portion | Long-Term Portion |
| Students | \$ 1,662,805 | \$ 478,829 | \$ 1,183,976 | \$ 1,183,976 | \$ - |
| Grants | 17,251 | - | 17,251 | 17,251 | - |
| Other | 576,405 | - | 576,405 | 576,405 | - |
| Student loans | 7,125,068 | 1,960,335 | 5,164,733 | - | 5,164,733 |
| | <u>\$ 9,381,529</u> | <u>\$ 2,439,164</u> | <u>\$ 6,942,365</u> | <u>\$ 1,777,632</u> | <u>\$ 5,164,733</u> |

| | 2015 | | | | |
|---------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| | Gross Amount | Allowance | Net | Current Portion | Long-Term Portion |
| Students | \$ 1,234,014 | \$ 376,091 | \$ 857,923 | \$ 857,923 | \$ - |
| Grants | 248,213 | - | 248,213 | 248,213 | - |
| Other | 626,830 | - | 626,830 | 626,830 | - |
| Student loans | 7,437,635 | 2,039,170 | 5,398,465 | - | 5,398,465 |
| | <u>\$ 9,546,692</u> | <u>\$ 2,415,261</u> | <u>\$ 7,131,431</u> | <u>\$ 1,732,966</u> | <u>\$ 5,398,465</u> |

Antioch University

Notes to Financial Statements

Note 3. Contributions Receivable

Contributions receivable consist of the following at June 30:

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

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

Note 4. Investments

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

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

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

Antioch University

Notes to Financial Statements

Note 5. Fair Value Measurements

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

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

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

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

Note 5. Fair Value Measurements (Continued)

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

Note 6. Land, Building, and Equipment

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

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

Note 7. Notes and Bonds Payable

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

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

Antioch University

Notes to Financial Statements

Note 7. Notes and Bonds Payable (Continued)

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

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

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

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

Antioch University

Notes to Financial Statements

Note 7. Notes and Bonds Payable (Continued)

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

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

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

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

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

Note 8. Capital Leases

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

Antioch University

Notes to Financial Statements

Note 8. Capital Leases (Continued)

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

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

Note 9. Retirement Plans

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

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

Note 10. Other Postretirement Benefit Plans

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

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

Antioch University

Notes to Financial Statements

Note 10. Other Postretirement Benefit Plans (Continued)

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

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

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

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

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

Note 10. Other Postretirement Benefit Plans (Continued)

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

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

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

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

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

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

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

Note 11. Lease Commitments

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

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

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

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds

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

Interpretation of relevant law: Ohio's version of the Uniform Prudent Management of Institutional Funds Act (UPMIFA) became effective June 1, 2009. The University has interpreted UPMIFA as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the University classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. Beginning June 1, 2009, the portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the University in a manner consistent with the standard prudence prescribed by UPMIFA.

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

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

Funds with deficiencies: From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level that the donor requires the University to retain as a fund of perpetual duration. As of June 30, 2016 and 2015, there were no funds with deficiencies.

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

Strategies employed for achieving objectives: To satisfy its long-term rate-of-return objectives, the University relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The University targets a diversified, periodically rebalanced, asset allocation that places a greater emphasis on equity-based investments to achieve its long-term return objectives within prudent risk constraints.

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds (Continued)

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

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

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

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

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

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

Antioch University

Notes to Financial Statements

Note 12. Endowment Funds (Continued)

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

Note 13. Nature and Amount of Temporarily Restricted Net Assets

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

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

Note 14. Nature and Amount of Permanently Restricted Net Assets

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

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

Antioch University

Notes to Financial Statements

Note 15. Net Assets Released From Restrictions

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

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

Note 16. Functional Expenses

The functional classification of expenses is as follows:

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

Note 17. Natural Expense Classification

The natural classification of expenses is as follows:

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

Antioch University

Notes to Financial Statements

Note 18. Commitment and Contingencies

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

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

Note 19. Sale of Building and AEA Program

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

Antioch University

Notes to Financial Statements

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

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

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

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

ANTIOCH UNIVERSITY

BOARD OF GOVERNORS

(Effective Through June 30, 2018)

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

Officer Members:

Charlotte M. Roberts, Ph.D., *Chair*

Member since 2010

Founder and Executive Consultant, Blue Fire Partners, Inc.
Sherrills Ford, NC

Paul Mutty, JD, *Vice Chair*

Member since 2014

Sr Vice President and Deputy General Counsel
Starbucks Coffee Company
Seattle WA

William R. Groves, JD (*Ex-Officio*)

Interim Chancellor
Antioch University

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Retired, Former Chair, CEO of Paddington Resources
St. Michaels, MD

Marva Cosby

Member since 2017

Cosby Consulting Group, LLC
Dayton, OH

Steve Crandall

Member since 2016

ProMotion Arts, LLC
Seattle, WA

Katrin Dambrot

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Mendham, NJ

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

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Member since 2011
Director, Roberto Hernandez Center
Associate Professor, College of Continuing Education
University of Wisconsin
Madison, WI

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President and Owner, Xperience Leadership, LLC
Huntersville, NC

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

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

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

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

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

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

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

Key Project Personnel

Dr. James Fauth

Associate Chair, Department of Clinical Psychology
Director, Center for Behavioral Health Innovation
(Biographical Sketch Attached)

Dr. George Tremblay

Professor and Chair, Department of Clinical Psychology
Co-Director, Center for Behavioral Health Innovation
Biographical Sketch Attached

BIOGRAPHICALSKETCH

NAME: JAMES FAUTH

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

EDUCATION/TRAINING

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

A. Personal Statement

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

B. Positions and Honors

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

Selected Honors

2003-2012 Editorial Boards, *Psychotherapy Research* and *Psychotherapy*
2008-2010 President, Faculty Senate, Antioch University New England
2010-2011 Chair, Research Committee, APA Division 29 (Psychotherapy)
2010-present Editorial Board, *Journal of Counseling Psychology* (Editor: Terence Tracey)
2012, 2014 Grant Reviewer, Agency for Healthcare Research and Quality
2015 Antioch University New England, Community Service Award

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

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

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

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

BIOGRAPHICAL SKETCH

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

EDUCATION/TRAINING

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

Personal Statement.

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

Positions and Honors.**Positions and Employment**

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

Other Experience and Professional Memberships

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

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

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

D. Selected Research Support

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