

Bo



Nicholas A. Toumpas
Commissioner

José Thier Montero
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES

29 HAZEN DRIVE, CONCORD, NH 03301-6527
603-271-9563 1-800-852-3345 Ext. 9563
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MJT
26D

February 20, 2014

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

76% Federal funds
24% General funds

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division of Public Health Services, to exercise a renewal option to an agreement with Trustees of Dartmouth College, Purchase Order #1024261 (Vendor # 177157-B013), 11 Rope Ferry Road 6210, Box 186, Hanover, NH 03755, by increasing the Price Limitation by \$1,267,586 from \$1,196,960 to \$2,464,546 to continue the operation of the state cancer registry system, effective the date of Governor and Council approval through June 30, 2016. This agreement was originally approved by Governor and Council on June 6, 2012, Item #72, and amended on April 17, 2013, Item #45.

Funds are available in the following accounts for SFY 2014 and SFY 2015, and are anticipated to be available in SFY 2016 upon the availability and continued appropriation of funds in the future operating budget, with authority to adjust amounts within the price limitation and amend the related terms of the contract without further approval from Governor and Executive Council.

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS,
HHS: DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY

Fiscal Year	Class/ Account	Class Title	Job Number	Current Modified Budget	Increased (Decreased) Amount	Revised Modified Budget
SFY 2013	102-500731	Contracts for Prog Svc	90080080	468,977	0	468,977
SFY 2014	102-500731	Contracts for Prog Svc	90080080	433,083	53,020	486,103
SFY 2015	102-500731	Contracts for Prog Svc	90080080	0	457,283	457,283
SFY 2016	102-500731	Contracts for Prog Svc	90080080	0	457,283	457,283
			Sub Total	\$902,060	\$967,586	\$1,869,646

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS,
 HHS: DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY

Fiscal Year	Class/ Account	Class Title	Job Number	Current Modified Budget	Increased (Decreased) Amount	Revised Modified Budget
SFY 2013	601-500931	State Fund Match	90056005	147,450	0	147,450
SFY 2014	601-500931	State Fund Match	90056005	147,450	0	147,450
SFY 2015	601-500931	State Fund Match	90056005	0	150,000	150,000
SFY 2016	601-500931	State Fund Match	90056005	0	150,000	150,000
			Sub Total	\$294,900	\$300,000	\$594,900
			Total	\$1,196,960	\$1,267,586	\$2,464,546

EXPLANATION

Funds in this requested amendment to, and renewal of, the existing contract will be used to implement a special project for improving cancer case reporting and to continue the operation of the state cancer registry respectively. The special project will include continued contact with nursing homes, hospice agencies, dermatologists, urologists, gastroenterologists, and hematologists. For both the special project and the renewal of the agreement, the Contractor will be responsible for: 1) data abstraction for all cancer cases reportable under RSA 141-B and Administrative Rule He-P 304, 2) adding these abstractions to the cancer registry database, 3) preparing statistical reports for use by cancer researchers, 4) maintaining documentation as required by federal grant requirements, and 5) assisting the Department of Health and Human Services cancer epidemiologist and evaluating potential cancer clusters in New Hampshire communities.

Should Governor and Executive Council not authorize this Request, cancer cases diagnosed and treated in other than hospital settings will likely be underreported to the Cancer Registry, thus making the overall Cancer Registry data set less accurate for its intended purposes of guiding healthcare policy and supporting cancer cure research.

The Request for Proposals was posted on the Department of Health and Human Services website from December 8, 2011 to January 20, 2012. In addition, 13 additional mailings were sent out, and on December 16, 2011, a bidders' conference was held to alert agencies to this bid. The Trustees of Dartmouth College was selected for this project through a competitive bid process.

There were two respondents to the Request for Proposals. The proposals were reviewed by a team of three reviewers, two internal and one external to the Department. All reviewers had between five and 30 years of experience directing health programs and conducting research and data analysis on health-related data from various public health programs. Areas of specific expertise include cancer registry activities, chronic and communicable diseases, public health infrastructure, research in occupational health and safety, and management of public health programs.

The proposals were scored on the following criteria: bidder's experience with a cancer registry; capacity to perform the cancer registry operations; how closely the bidder's proposed plan of operation and work plan matched the criteria specified in Request for Proposals, and the budget.

The Trustees of Dartmouth College was selected as it received the highest score. Reviewers noted that Trustees of Dartmouth College had extensive past experience with cancer registry work in New Hampshire, is recognized nationally, and possesses the qualifications and capacity to manage the Cancer Registry, as well as to conduct special studies. Given Trustees of Dartmouth College's experience, high score and feasible budget, they were selected as the successful bidder. The Request for Proposals scoring summary is attached.

As referenced in the original letter approved by Governor and Council on June 6, 2013, Item #72, and in the Request for Proposal, Renewals Section, this competitively procured Agreement has the option to renew for two (2) additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council. The Department of Health and Human Services is exercising this renewal option.

As a result of the previous agreement, the contractor has successfully met their performance measures and will continue tracking these same measures over the remaining life of the contract. Three highlights of successful performance outcomes are presented below:

1. On a national scale, de-identified Cancer Registry data were used in a comprehensive study on bladder cancer. A recent publication based on this study indicates that individuals with bladder cancer are at greater risk of recurrence if they are overweight or smoke – both are risk factors that could be modified by individual patients and potentially improve their odds of survival.
2. Data collected by the Cancer Registry also directly benefit New Hampshire residents. For example, registry data demonstrated that women living in New Hampshire with early stage breast cancer are less likely to receive radiotherapy after lumpectomy if they live further from a radiation facility, and particularly if diagnosed during winter months. This kind of local information is useful to highlight geographic areas of concern and can be used by local agencies to arrange transportation to those in need.
3. The Cancer Registry fully complies with all required elements of National Program Cancer Registries and ensures that all of the data passes 100% of required data edits. The Cancer Registry received recognition from the National Program of Cancer Registries for meeting the standards of the National Data Quality and Completeness Program in April 2013.

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

1. For each incident cancer case defined in Exhibit A, item number 7, collect all the data variables listed in New Hampshire Administrative Rule He-P 304.2.
2. The database shall be, at a minimum, in accordance with accepted Centers for Disease Control's National Program of Cancer Registries and North American Association of Cancer Registry standards.
3. The data collected is 95% complete within 12 months of date of diagnosis for cases seen in any New Hampshire hospital.
4. The data collected is 90% complete within 15 months of date of diagnosis for all cases among New Hampshire residents, regardless of where they received the cancer care.

5. The data collected is 95% complete within 24 months of date of diagnosis for all cases among New Hampshire residents, with cases identified from death certificate review and follow-up, from physician practices, from non-hospital facilities, and from out-of-state sources.

Area served: Statewide.

Source of Funds: Source of Funds is 76.33% Federal Funds from the US Centers for Disease Control and Prevention, and 23.67% General Funds.

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

Respectfully submitted,


José Thier Montero, MD, MHCDS
Director

Approved by: 
 Nicholas A. Toumpas
Commissioner

Program Name Cancer Registry Request for Proposal
Contract Purpose To run a state wide incidence based Cancer Registry
RFP Score Summary

RFA/RFP CRITERIA	Max Pts	Reporting MD, George Mills NH	Dartmouth Medical School, Hanover NH	Bidder Name, Town, St					
Agy Capacity	30	13.33	29.33	0.00	0.00	0.00	0.00	0.00	0.00
Program Structure	50	17.33	47.67	0.00	0.00	0.00	0.00	0.00	0.00
Budget & Justification	15	7.33	14.33	0.00	0.00	0.00	0.00	0.00	0.00
Format	5	3.00	5.00	0.00	0.00	0.00	0.00	0.00	0.00
Total	100	41.00	96.33	0.00	0.00	0.00	0.00	0.00	0.00

BUDGET REQUEST	
Year 01	507,210.50
Year 02	389,092.50
Year 03	580,533.00
TOTAL BUDGET REQUEST	896,306.00
BUDGET AWARDED	
Year 01	580,533.00
Year 02	580,533.00
Year 03	1,161,066.00
TOTAL BUDGET AWARDED	1,161,066.00

RFP Reviewers	Name	Job Title	Dept/Agency
1	Brook Dupee	Bureau Chief	Bureau of Public Health Statistics and Informatics, Division of Public Health Services
2	Karla Armenti	Principal Investigator	Occupational health Surveillance program Bureau of Public Health Statistics and Informatics, Division of Public Health Services
3	Nancy Kane	Program Director	Payson Cancer Center, Concord Hospital and Chair of Board of Directors of New Hampshire Comprehensive Cancer Collaboration

All reviewers had between five and thirty years experience directing health programs and conducting research on public health programs. Areas of specific expertise include cancer registry activities; chronic and communicable diseases; public health infrastructure; research in occupational health and safety, and management of public health programs



**State of New Hampshire
Department of Health and Human Services
Amendment #2 to the
Trustees of Dartmouth College**

This 2nd Amendment to the Trustees of Dartmouth College contract (hereinafter referred to as "Amendment Two") dated this 10 day of February, 2014, is by and between the State of New Hampshire, Department of Health and Human Services (hereinafter referred to as the "State" or "Department") and Trustees of Dartmouth College (hereinafter referred to as "the Contractor"), a corporation with a place of business at 11 Rope Ferry Road 6210, Box 186, Hanover, New Hampshire 03755.

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on June 6, 2012, and amended on April 17, 2013, the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract as amended and in consideration of certain sums specified; and

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

WHEREAS, pursuant to the General Provisions, Paragraph 18, the State may modify the scope of work and the payment schedule of the contract by written agreement of the parties;

WHEREAS, the Department desires to continue the relationship with the Trustees of Dartmouth College for the purposes of maintaining a cancer incidence registry, including 1), data abstraction for all cancer cases reportable under RSA 141-B, 2) adding these abstractions to the cancer registry database, 3) preparing statistical reports for use by cancer researchers, 4) maintaining documentation as required by federal grant requirements, and 5) assisting the DHHS cancer epidemiologist and evaluating potential cancer clusters in New Hampshire communities.

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

To amend as follows:

- Form P-37, to change:
Block 1.7 to read: June 30, 2016
Block 1.8 to read: \$2,464,546
- Exhibit A, Scope of Services to add:
Exhibit A – Amendment 2
- Exhibit B, Purchase of Services, Contract Price, to add:

Paragraph 1.1 to Paragraph 1.

The contract price shall increase by \$53,020 for SFY 2014, \$607,283 for SFY 2015, and \$607,283 for SFY 2016. The contract shall total \$2,464,546 for the contract term.



New Hampshire Department of Health and Human Services

Paragraph 1.2 to Paragraph 1:
Funding in the amount of \$967,586 is available from 05-95-90-900510-8666-102-500731, 100% Federal Funds from the Centers for Disease Control and Prevention, CFDA #93.283, and \$300,000 is available from 05-95-90-900510-8666-601-500931, 100% General Funds.

BSD
EAB

Add Paragraph 8

8. Notwithstanding paragraph 18 of the General Provisions P-37, an amendment limited to ~~the terms of the General Provisions~~, adjustments to amounts within the price limitation, may be made by written agreement of both parties and may be made without obtaining approval of Governor and Council.

- Budget, to add:
Exhibit B-1 (2014) – Amendment 2
Exhibit B-1 (2015) – Amendment 2
Exhibit B-1 (2016) – Amendment 2

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

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

State of New Hampshire
Department of Health and Human Services

Brook Dupee
Brook Dupee
Bureau Chief

2/2/14
Date

Trustees of Dartmouth College

Christine Bohler
Name:
Title:

2/10/14
Date

Acknowledgement:

State of New Hampshire County of Grafton on 2/10/14, before the undersigned officer, personally appeared the person identified above, or satisfactorily proven to be the person whose name is signed above, and acknowledged that s/he executed this document in the capacity indicated above.

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

HEATHER A. ARNOLD
Notary Public - New Hampshire
My Commission Expires August 10, 2016

Name and Title of Notary or Justice of the Peace

Contractor Initials: JB
Date: 2/10/14



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

OFFICE OF THE ATTORNEY GENERAL

2-28-14
Date

Rosemary Wiant
Name: Rosemary Wiant
Title: Assistant Attorney General

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

Contractor Initials: cb
Date: 2/10/14



Exhibit A-Amendment 2

SCOPE OF SERVICES

The Department desires to continue the relationship with the Trustees of Dartmouth College for the purposes of maintaining a cancer incidence registry, including 1), data abstraction for all cancer cases reportable under RSA 141-B, 2) adding these abstractions to the cancer registry database, 3) preparing statistical reports for use by cancer researchers, 4) maintaining documentation as required by federal grant requirements, and 5) assisting the DHHS cancer epidemiologist and evaluating potential cancer clusters in New Hampshire communities.

1. Minimum Required Services

- The Contractor shall implement a special project for improving cancer case ascertainment at nursing homes, hospices, dermatologists, gastroenterologists and hematologists as set forth in the following subparagraphs.
- The contractor shall identify the largest health care facilities whose cancer reporting is not provided by hospital cancer registries.
- The contractor shall write to these facilities, explain cancer case reporting as required under RSA 141-B:7, and promote the state's strategy for improving non-hospital health facility reporting.
- Contractor staff shall visit those facilities identified in 1.1 above in person to identify the best strategy to improve facility-specific cancer case reporting.
- Contractor staff shall set up a timetable for follow-up telephone calls or visits to each facility for audit purposes to ensure that cancer reporting is taking place in compliance with RSA 141-B:7 and He-P 304.
- The contractor shall retain Certified Tumor Registrars to perform routine case abstraction tasks during such times when the Contractor's permanent staffs are assigned to the non-hospital cancer reporting improvement special project.
- The Contractor's staff will attend two professional meetings. Attendances to these meetings are required by the Center for Disease Control-funded Cancer Registry grant as set forth in the following subgroups.
- Two staffs will attend the North American Association of Central Cancer Registries (NAACCR) meeting at Ottawa, Canada in June 2014 that will be held in conjunction with the International Association of Cancer Registries (IACR) meeting.
- One staff will attend the National Cancer Registrars Association of (NCRA) at Nashville, TN in May 2014.

cb

2/10/14

Exhibit B-1 (2014) - Amendment 1

Budget

New Hampshire Department of Health and Human Services

Bidder/Program Name: Trustees of Dartmouth College

Budget Request for: Cancer Registry

(Name of RFP)

SFY 14 - Feb 28, 2014 or date of G&C approval,

Budget Period: whichever is later, through Jun 30, 2014

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$ -	\$ -	\$ -	Indirect costs have been calculated at 10% for this budget year. Trustees of Dartmouth College have a negotiated rate of 62% with Dept. of Health and Human Services dated 1/18/13. However we are using a lower rate as recommended for each budget year. Indirect costs, also known as Facilities and Administration Costs are those costs, also referred to as overhead, overhead costs, or administrative costs. They are actual costs incurred to conduct the normal business activities of an institution and are not readily identified with or directly charged to a specific sponsored research award. The normal activities of the college, i.e. those general Facilities and Administration Cost expenses include: General Administration Departmental Administration Sponsored Research Awards Administration Operation and Maintenance Library Building & Equipment Depreciation Non-Capitalized Interest
2. Employee Benefits	\$ -	\$ -	\$ -	
3. Consultants	\$ 41,000.00	\$ 4,100.00	\$ 45,100.00	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ -	\$ -	\$ -	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ -	\$ -	\$ -	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ -	\$ -	\$ -	
6. Travel	\$ 7,200.00	\$ 720.00	\$ 7,920.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ -	\$ -	\$ -	
Subscriptions	\$ -	\$ -	\$ -	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ -	\$ -	\$ -	
10. Marketing/Communications	\$ -	\$ -	\$ -	
11. Staff Education and Training	\$ -	\$ -	\$ -	
12. Subcontracts/Agreements	\$ -	\$ -	\$ -	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 48,200.00	\$ 4,820.00	\$ 53,020.00	

Indirect As A Percent of Direct

10.0%

Contractor Initials: cb
 Date: 2/10/14

Exhibit B-1 (2015) - Amendment 1

Budget

New Hampshire Department of Health and Human Services

Bidder/Program Name: Trustees of Dartmouth College

Budget Request for: Cancer Registry
(Name of RFP)

Budget Period: SFY 15 - Jul 1, 2014 through Jun 30, 2015

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$ 346,757.00	\$ 34,676.00	\$ 381,433.00	Indirect costs have been calculated at 10% for this budget year. Trustees of Dartmouth College have a negotiated rate of 62% with Dept. of Health and Human Services dated 1/18/13. However we are using a lower rate as recommended for each budget year. Indirect costs, also known as Facilities and Administration Costs are those costs, also referred to as overhead, overhead costs, or administrative costs. They are actual costs incurred to conduct the normal business activities of an institution and are not readily identified with or directly charged to a specific sponsored research award. The normal activities General Administration Departmental Administration Sponsored Research Awards Administration Operation and Maintenance Library Building & Equipment Depreciation Non-Capitalized Interest
2. Employee Benefits	\$ 117,118.00	\$ 11,712.00	\$ 128,830.00	
3. Consultants	\$ 22,000.00	\$ 2,200.00	\$ 24,200.00	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ 4,500.00	\$ 450.00	\$ 4,950.00	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ -	\$ -	\$ -	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ 7,000.00	\$ 700.00	\$ 7,700.00	
6. Travel	\$ 26,500.00	\$ 2,650.00	\$ 29,150.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ 5,000.00	\$ 500.00	\$ 5,500.00	
Subscriptions	\$ 750.00	\$ 75.00	\$ 825.00	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ 14,700.00	\$ 1,470.00	\$ 16,170.00	
10. Marketing/Communications	\$ 3,500.00	\$ 350.00	\$ 3,850.00	
11. Staff Education and Training	\$ 3,000.00	\$ 300.00	\$ 3,300.00	
12. Subcontracts/Agreements	\$ -	\$ -	\$ -	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
memberships	\$ 1,250.00	\$ 125.00	\$ 1,375.00	
		\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 552,075.00	\$ 55,208.00	\$ 607,283.00	

Indirect As A Percent of Direct

10.0%

Contractor Initials: cb

Date: 2/10/14

Exhibit B-1 (2016) - Amendment 1

Budget

New Hampshire Department of Health and Human Services

Bidder/Program Name: Trustees of Dartmouth College

Budget Request for: Cancer Registry
(Name of RFP)

Budget Period: SFY 16 - Jul 1, 2015 through Jun 30, 2016

Line Item	Direct Incremental	Indirect Fixed	Total	Allocation Method for Indirect/Fixed Cost
1. Total Salary/Wages	\$ 360,614.00	\$ 36,061.00	\$ 396,675.00	Indirect costs have been calculated at 10% for this budget year. Trustees of Dartmouth College have a negotiated rate of 62% with Dept. of Health and Human Services dated 1/18/13. However we are using a lower rate as recommended for each budget year. Indirect costs, also known as Facilities and Administration Costs are those costs, also referred to as overhead, overhead costs, or administrative costs. They are actual costs incurred to conduct the normal business activities of an institution and are not readily identified with or directly charged to a specific sponsored research award. The normal activities General Administration Departmental Administration Sponsored Research Awards Administration Operation and Maintenance Library Building & Equipment Depreciation Non-Capitalized Interest
2. Employee Benefits	\$ 121,802.00	\$ 12,180.00	\$ 133,982.00	
3. Consultants	\$ -	\$ -	\$ -	
4. Equipment:	\$ -	\$ -	\$ -	
Rental	\$ -	\$ -	\$ -	
Repair and Maintenance	\$ -	\$ -	\$ -	
Purchase/Depreciation	\$ 4,460.00	\$ 446.00	\$ 4,906.00	
5. Supplies:	\$ -	\$ -	\$ -	
Educational	\$ -	\$ -	\$ -	
Lab	\$ -	\$ -	\$ -	
Pharmacy	\$ -	\$ -	\$ -	
Medical	\$ -	\$ -	\$ -	
Office	\$ 7,000.00	\$ 700.00	\$ 7,700.00	
6. Travel	\$ 30,000.00	\$ 3,000.00	\$ 33,000.00	
7. Occupancy	\$ -	\$ -	\$ -	
8. Current Expenses	\$ -	\$ -	\$ -	
Telephone	\$ -	\$ -	\$ -	
Postage	\$ 5,000.00	\$ 500.00	\$ 5,500.00	
Subscriptions	\$ 750.00	\$ 75.00	\$ 825.00	
Audit and Legal	\$ -	\$ -	\$ -	
Insurance	\$ -	\$ -	\$ -	
Board Expenses	\$ -	\$ -	\$ -	
9. Software	\$ 14,700.00	\$ 1,470.00	\$ 16,170.00	
10. Marketing/Communications	\$ 3,500.00	\$ 350.00	\$ 3,850.00	
11. Staff Education and Training	\$ 3,000.00	\$ 300.00	\$ 3,300.00	
12. Subcontracts/Agreements	\$ -	\$ -	\$ -	
13. Other (specific details mandatory):	\$ -	\$ -	\$ -	
memberships	\$ 1,250.00	\$ 125.00	\$ 1,375.00	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
	\$ -	\$ -	\$ -	
TOTAL	\$ 552,076.00	\$ 55,207.00	\$ 607,283.00	

Indirect As A Percent of Direct

10.0%

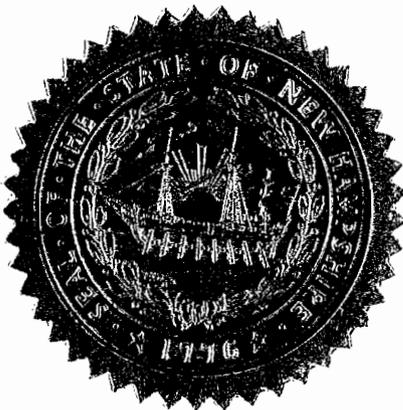
Contractor Initials: cb

Date: 2/10/14

State of New Hampshire
Department of State

CERTIFICATE

I, William M. Gardner, Secretary of State of the State of New Hampshire, do hereby certify that our records show that a special corporate charter was granted to the TRUSTEES OF DARTMOUTH COLLEGE by the British Crown on December 13, 1769. I further certify that no fees are required to be paid to this office by this corporation.



IN TESTIMONY WHEREOF, I hereto set my hand and cause to be affixed the Seal of the State of New Hampshire, this 9th day of April, A.D. 2013

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

William M. Gardner
Secretary of State



BOARD OF TRUSTEES

CERTIFICATE

I, Marcia J. Kelly, hereby certify that I am Assistant Clerk of Trustees of Dartmouth College, a corporation created by Royal Charter and existing under the laws of the State of New Hampshire; that as such officer I have custody of the records of meetings of the Board of Trustees of said corporation; and that by written action of said Board duly recorded on the 9th day of July, 2007, the following vote was adopted:

VOTED: That the November 8, 2002 vote of the Board of Trustees authorizing certain College officers to execute certain documents in the area of grants and contracts be revoked in order to substitute therefore the following actions.

To authorize the Vice President for Finance and Administration, the Provost, the Associate Vice President for Fiscal Affairs, the Controller, the Director of Sponsored Projects, Associate Director of Sponsored Projects, and any Assistant Director of Sponsored Projects each individually to execute for and on behalf of the College proposals, instructional projects and other educational activities, including financial aid, sponsored by federal, state and local governments and their agencies, other agencies, or corporations.

To authorize the Vice President for Finance and Administration, the Provost, the Associate Vice President for Fiscal Affairs, the Controller, the Director of Sponsored Projects, and the Director of Technology Transfer each individually to execute for and on behalf of the College agreements relating to the licensing of intellectual property owned by the College and agreements relating to the transfer of materials used in research, and documents concerning the ownership and control of intellectual property, including but not limited to powers of attorney for intellectual property owned by the College, assignments, and small entity forms and certifications required by the United States Patent and Trademark Office or patent authorities of foreign countries.

I further certify that said votes remain in full force and effect as of the date hereof and are not contrary to any provision of the charter of said corporation.

I further certify that the following officers were appointed to the positions opposite their names as of the dates shown:

Carol Folt	Provost	May 1, 2010
Martin Wybourne	Vice Provost for Research	July 1, 2004
Gail C. Goodness	Controller	June 9, 2008
Alla Kan	Director of Technology Transfer Office	July 1, 1997
Jill M. Mortali	Director of Sponsored Projects	September 15, 2008
Kathryn A. Page	Associate Director of Sponsored Projects	July 1, 2001
William Ploog	Associate Director of Sponsored Projects	September 1, 2006
Christine Bothe	Assistant Director of Sponsored Projects	July 1, 2002

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the corporation this *16th* day of *February* 2014.

Marcia J. Kelly

Marcia J. Kelly, Assistant Clerk
Trustees of Dartmouth College



CERTIFICATE OF LIABILITY INSURANCE

7/1/2014

DATE (MM/DD/YYYY)

6/29/2012

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

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

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

INSURED
1316233 Dartmouth College
53 South Main Street, Suite 212
Hanover NH 03755

COVERAGES DARCO02 **CERTIFICATE NUMBER:** 11595448 **REVISION NUMBER:** XXXXXXXX

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

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
	GENERAL LIABILITY <input type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			NOT APPLICABLE			EACH OCCURRENCE	\$ XXXXXXXX
	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> NON-OWNED AUTOS			NOT APPLICABLE			COMBINED SINGLE LIMIT (Ea accident)	\$ XXXXXXXX
	UMBRELLA LIAB <input type="checkbox"/> OCCUR EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input type="checkbox"/> RETENTION \$			NOT APPLICABLE			EACH OCCURRENCE	\$ XXXXXXXX
A C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N	2099375438 (AOS) 2099375472 (CA)	7/1/2013 7/1/2013	7/1/2014 7/1/2014	<input checked="" type="checkbox"/> WC STATU-TORY LIMITS <input type="checkbox"/> OTH-ER	
			N/A				E.L. EACH ACCIDENT	\$ 1,000,000
							E.L. DISEASE - EA EMPLOYEE	\$ 1,000,000
							E.L. DISEASE - POLICY LIMIT	\$ 1,000,000
B	Excess Work Comp	N	N	EWC008364	7/1/2013	7/1/2014	WC - Statutory; EL Limit	\$1,000,000

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

CERTIFICATE HOLDER	CANCELLATION
11595448 Director, Division of Public Health Services New Hampshire DHHS 29 Hazen Drive Concord NH 03301-6504	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 <i>Charles M. McDaniel</i>



Dartmouth College

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

TELEPHONE: (603) 646-3007

FAX: (603) 646-3670

EMAIL: sponsored.projects@dartmouth.edu

January 23, 2014

Dartmouth latest A133 Audit Report is available on our website at:

<http://www.dartmouth.edu/~osp/resources/reports/>

Dartmouth most recent Financial Report can be viewed at:

<http://www.dartmouth.edu/~control/financialotherpub/finstmts.html>

DARTMOUTH COLLEGE

Financial Statements

2012 - 2013





KPMG LLP
Suite 400
356 Mountain View Drive
Colchester, VT 05446

Independent Auditors' Report

The Board of Trustees
Dartmouth College:

We have audited the accompanying financial statements of Dartmouth College (The College), which comprise the statement of financial position as of June 30, 2013 and 2012, and the related statements of activities, and cash flows for the years then ended, and the statement of operating expenses for the year ended June 30, 2013, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with U.S. generally accepted accounting principles; 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.

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

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

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Dartmouth College as of June 30, 2013 and 2012, and the changes in its net assets and its cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.



Other Matter

As described in Note L, the College's financial statements do not reflect certain interests in third party trusts for which it does not have sufficient current information with respect to the fair value of such trusts. In our report dated November 10, 2012, we expressed a qualified opinion on the College's 2012 financial statements because we were unable to examine evidence regarding the fair value of certain unrecognized interests in third party trusts. In 2013, the American Institute of Certified Public Accountants issued interpretive guidance clarifying when interests in third party trusts should be recorded by not-for-profit organizations. Accordingly our opinion on the 2012 financial statements, as presented herein, is different from that expressed in our previous report.

KPMG LLP

October 21, 2013

Dartmouth College

Statement of Financial Position

As of June 30, 2013, with comparative information as of June 30, 2012
(in thousands)

	2013	2012
Assets		
Cash and cash equivalents	\$ 240,195	\$ 306,241
Receivables and other assets, net	153,764	183,828
Investment related receivables	25,242	38,539
Pledges receivable, net	94,711	142,776
Investments held by bond trustees	-	151
Investments	4,724,245	4,375,764
Land, buildings, equipment, and construction in progress, net	944,327	927,694
Total assets	6,182,484	5,974,993
Liabilities		
Accounts payable and other liabilities	67,985	74,423
Investment related payables	44,911	100,176
Deferred revenues and deposits	41,147	38,121
Liability for split-interest agreements	41,504	41,705
Pension and other employment related obligations	272,450	315,980
Bonds, mortgages, and notes payable, net	1,126,787	1,128,875
Interest rate swap liabilities, at fair value	133,222	216,306
Conditional asset retirement obligations	22,456	21,665
Government advances for student loans	20,332	20,192
Total liabilities	1,770,794	1,957,443
Total Net Assets	\$ 4,411,690	\$ 4,017,550
Net Assets		
Unrestricted	\$ 1,258,727	\$ 1,006,070
Temporarily restricted	2,101,508	1,991,249
Permanently restricted	1,051,455	1,020,231
Total Net Assets	\$ 4,411,690	\$ 4,017,550

See accompanying notes to the financial statements.

Dartmouth College

Statement of Activities

For the year ended June 30, 2013, with summarized financial information for the year ended June 30, 2012
(in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total	
				2013	2012
Endowment Activities					
Gifts	\$ 30	\$ 811	\$ 27,206	\$ 28,047	\$ 49,697
Net investment return	97,155	306,549	1,058	404,762	197,299
Distributed for spending	(43,979)	(141,499)	-	(185,478)	(182,856)
Other changes	11,405	(8,804)	(72)	2,529	3,033
Amounts transferred (to) from other funds, net	(3,527)	(2,787)	3,666	(2,648)	5,805
Change in net assets from endowment activities	61,084	154,270	31,858	247,212	72,978
Operating Activities					
Revenues					
Tuition and fees	304,808	-	-	304,808	284,540
Student scholarships	(124,223)	-	-	(124,223)	(116,388)
Net tuition and fees	180,585	-	-	180,585	168,152
Sponsored research grants and contracts	181,517	-	-	181,517	176,155
Dartmouth College Fund and other gifts	81,237	9,095	-	90,332	84,162
Distributed endowment investment return	179,194	4,622	-	183,816	181,164
Other operating income	131,737	8	-	131,745	133,365
Auxiliaries	65,496	-	-	65,496	60,207
Net assets released from restrictions	13,263	(13,263)	-	-	-
Total revenues	833,029	462	-	833,491	803,205
Expenses					
Academic and student programs	534,885	-	-	534,885	495,958
Sponsored programs	128,000	-	-	128,000	125,013
General institutional services	92,528	-	-	92,528	87,189
Auxiliaries	79,860	-	-	79,860	67,628
Total expenses	835,273	-	-	835,273	775,788
Change in net assets from operating activities	(2,244)	462	-	(1,782)	27,417
Non-operating Activities					
Gifts	-	30,009	7,435	37,444	30,865
Other non-operating changes, net	28,946	1,484	-	30,430	15,112
Distributed endowment investment return	385	1,277	-	1,662	1,692
Decrease in outstanding pledges	-	(41,291)	(6,774)	(48,065)	(30,711)
Pension and postretirement benefit related changes					
other than net periodic benefit costs	63,258	-	-	63,258	(40,806)
Disposals and non-capitalized expenditures	(19,678)	(2,714)	-	(22,392)	(4,396)
Unrealized gain (loss) related to					
interest rate swap agreements	83,084	-	-	83,084	(126,903)
Net assets released from restrictions	34,367	(34,367)	-	-	-
Amounts transferred (to) from endowment, net	3,455	(807)	-	2,648	(5,805)
Net change in split-interest agreements	-	1,936	(1,295)	641	(1,353)
Change in net assets from non-operating activities	193,817	(44,473)	(634)	148,710	(162,305)
Change in net assets	252,657	110,259	31,224	394,140	(61,910)
Net Assets, beginning of year	1,006,070	1,991,249	1,020,231	4,017,550	4,079,460
Net Assets, end of year	\$ 1,258,727	\$ 2,101,508	\$ 1,051,455	\$ 4,411,690	\$ 4,017,550

See accompanying notes to the financial statements.

Dartmouth College

Statement of Activities

For the year ended June 30, 2012

(in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total 2012
Endowment Activities				
Gifts	\$ 8	\$ 858	\$ 48,831	\$ 49,697
Net investment return	46,784	149,929	586	197,299
Distributed for spending	(44,142)	(138,714)	-	(182,856)
Other changes	(1,249)	1,913	2,369	3,033
Amounts transferred from other funds, net	(599)	2,015	4,389	5,805
Change in net assets from endowment activities	802	16,001	56,175	72,978
Operating Activities				
Revenues				
Tuition and fees	284,540	-	-	284,540
Student scholarships	(116,388)	-	-	(116,388)
Net tuition and fees	168,152	-	-	168,152
Sponsored research grants and contracts	176,155	-	-	176,155
Dartmouth College Fund and other gifts	71,008	13,154	-	84,162
Distributed endowment investment return	176,055	5,109	-	181,164
Other operating income	133,319	46	-	133,365
Auxiliaries	60,207	-	-	60,207
Net assets released from restrictions	8,022	(8,022)	-	-
Total revenues	792,918	10,287	-	803,205
Expenses				
Academic and student programs	495,958	-	-	495,958
Sponsored programs	125,013	-	-	125,013
General institutional services	87,189	-	-	87,189
Auxiliaries	67,628	-	-	67,628
Total expenses	775,788	-	-	775,788
Change in net assets from operating activities	17,130	10,287	-	27,417
Non-operating Activities				
Gifts	-	30,621	244	30,865
Other non-operating changes, net	13,237	1,875	-	15,112
Distributed endowment investment return	367	1,325	-	1,692
Decrease in outstanding pledges	-	(19,379)	(11,332)	(30,711)
Pension and postretirement benefit related changes other than net periodic benefit costs	(40,806)	-	-	(40,806)
Disposals and non-capitalized expenditures	(2,697)	(1,699)	-	(4,396)
Unrealized gain (loss) related to interest rate swap agreements	(126,903)	-	-	(126,903)
Net assets released from restrictions	34,496	(34,496)	-	-
Amounts transferred to endowment, net	1,100	(7,690)	785	(5,805)
Net change in split-interest agreements	-	(2,153)	800	(1,353)
Change in net assets from non-operating activities	(121,206)	(31,596)	(9,503)	(162,305)
Change in net assets	(103,274)	(5,308)	46,672	(61,910)
Net Assets, beginning of year	1,109,344	1,996,557	973,559	4,079,460
Net Assets, end of year	\$ 1,006,070	\$ 1,991,249	\$ 1,020,231	\$ 4,017,550

See accompanying notes to the financial statements.

Dartmouth College

Statement of Operating Expenses

For the year ended June 30, 2013, with summarized financial information for the year ended June 30, 2012
(in thousands)

	Academic & Student Programs			General Institutional Services				Total Expenses	
	Sponsored Programs	Administrative Support	Facilities Operation & Maintenance	Development	Auxiliaries	Total	2013	2012	
Salaries and wages	\$ 220,978	\$ 56,484	\$ 25,973	\$ 17,200	\$ 16,730	\$ 59,903	\$ 350,991	\$ 326,856	
Employee benefits	81,988	16,501	9,359	6,105	5,797	21,261	124,583	112,937	
Fellowships and student support	10,251	3,973	-	-	-	-	14,672	13,716	
Materials, equipment, and supplies	34,897	10,925	6,659	1,735	1,572	9,966	72,102	67,654	
Purchased services	47,307	36,820	8,264	3,633	6,078	17,975	110,248	100,355	
Utilities, taxes, and occupancy	-	-	-	40,134	-	40,134	47,045	44,774	
Depreciation	39,585	-	2,609	5,625	46	8,280	57,647	52,289	
Lodging, travel, and similar costs	22,368	3,109	1,469	211	1,685	3,365	29,094	27,397	
Interest and amortization	-	-	-	23,292	-	23,292	24,234	22,805	
Other expenses	2,887	178	832	134	451	1,417	4,657	7,005	
	460,261	128,000	55,165	98,069	32,359	185,593	835,273	775,788	
Facilities operation & maintenance	74,624	-	4,917	(98,169)	87	(93,065)	-	-	
Total expense for FY13	\$ 534,885	\$ 128,000	\$ 60,082	\$ -	\$ 32,446	\$ 92,528	\$ 835,273	\$ 775,788	

Total expense for FY12 \$ 495,958 \$ 125,013 \$ 54,795 \$ - \$ 32,394 \$ 87,189 \$ 67,628 \$ 775,788

See accompanying notes to the financial statements.

Dartmouth College

Statement of Cash Flows

For the year ended June 30, 2013, with comparative information for the year ended June 30, 2012

(in thousands)

	2013	2012
Cash flows from operating activities		
Total change in net assets	\$ 394,140	(\$ 61,910)
Adjustments to reconcile total change in net assets to net cash used by operating activities:		
Depreciation and amortization	57,984	53,191
Change in estimated value of interest rate swap agreements	(83,084)	126,903
Change in estimated pension and post-retirement benefit obligation	(49,872)	51,705
Change in pledges receivable, net	48,065	30,711
Other non-cash transactions	8,318	1,361
Contributions, investment income, and other changes restricted for long-term investment	(63,557)	(70,569)
Net realized and unrealized gains	(442,883)	(225,284)
Changes in operating assets and liabilities:		
Receivables and other assets, net	20,996	(22,358)
Accounts payable and other liabilities	(5,647)	(13,790)
Deferred revenues and deposits	3,026	3,839
Employment related obligations	6,342	(3,548)
Net cash used by operating activities	(106,172)	(129,749)
Cash flows from investing activities		
Student loans granted	(6,861)	(8,571)
Student loans repaid	15,362	13,820
Purchases of land, buildings, and equipment	(82,836)	(117,952)
Proceeds from the sale of land, buildings, and equipment	473	18,434
Net change in split-interest agreements	(201)	(5,096)
Net change in unsettled trades	(41,968)	(66,402)
Purchases of investments	(4,583,645)	(7,867,688)
Sales and maturities of investments	4,678,047	7,874,530
Net cash used by investing activities	(21,629)	(158,925)
Cash flows from financing activities		
Proceeds from issuance of debt	4,900	244,275
Repayment of debt	(6,993)	(62,364)
Change in investments held by bond trustees	151	22,683
Contributions, investment income, and other changes restricted for long-term investment in:		
Facilities	23,606	16,225
Endowment, life income, and similar funds	39,951	54,344
Changes in government advances for student loans	140	168
Net cash provided by financing activities	61,755	275,331
Net change in cash and cash equivalents	(66,046)	(13,343)
Cash and cash equivalents, beginning of year	306,241	319,584
Cash and cash equivalents, end of year	\$ 240,195	\$ 306,241

See accompanying notes to the financial statements.

Dartmouth College
Notes to Financial Statements

A. Summary of Significant Accounting Policies

Description of Organization

Dartmouth College (Dartmouth) is a private, nonprofit, co-educational, nonsectarian institution of higher education with approximately 4,193 undergraduate and 2,084 graduate students. Established in 1769, Dartmouth includes the four-year undergraduate college, with graduate schools of business, engineering, and medicine, and several graduate programs in the Arts and Sciences.

Basis of Presentation

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

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

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

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

Comparative Financial Information

The 2013 financial statements are presented with certain prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with GAAP. Accordingly, such information should be read in conjunction with Dartmouth's financial statements for the year ended June 30, 2012, from which the summarized information was derived. Certain prior year amounts have been reclassified to conform to the fiscal year 2013 presentation.

Dartmouth College
Notes to Financial Statements

Use of Estimates

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

Statement of Activities

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

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

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

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

Cash and Cash Equivalents

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

Tuition and Fees and Student Scholarships

Tuition and fees revenue is recognized in the fiscal year in which substantially all of the academic program occurs. Tuition and fees revenue from undergraduate enrollment represents approximately 66 percent of tuition and fees revenue. Student scholarships provided by Dartmouth are presented in the Statement of Activities as a reduction in tuition and fees revenue. In addition, Dartmouth acts as an agent for recipients of scholarships from other sponsors in the amounts of \$5,822,000 and \$5,854,000 for the years ended June 30, 2013 and 2012, respectively, which are not presented in the Statement of Activities.

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

Dartmouth College
Notes to Financial Statements

Sponsored Research Grants and Contracts

Revenues from government and private sponsored research grants and contracts are recognized when the direct costs associated with the sponsored program are incurred. Revenue from the reimbursement of facilities and administrative costs incurred by Dartmouth on U.S. government grants and contracts is based upon negotiated predetermined cost rates through June 30, 2015. Dartmouth recovered facilities and administrative costs of approximately \$44,241,000 and \$44,082,000 in the years ended June 30, 2013 and 2012, respectively.

Taxes

Dartmouth is exempt from federal income taxes under Section 501(c)(3) of the U.S. Internal Revenue Code (the Code), except with regard to unrelated business income, which is taxed at corporate income tax rates. Dartmouth is also subject to state and local property tax on the value of dormitories and dining and kitchen facilities in excess of \$150,000, as well as on the value of its off-campus rental properties, commercial properties, and other real estate holdings to the extent they are not used or occupied for Dartmouth's tax exempt purposes. Certain Dartmouth real estate entities are exempt from federal income tax under Sections 501(c)(2) and 501(c)(25) of the Code. As of June 30, 2013, tax years ended June 30, 2009 through June 30, 2012, remain open and are subject to federal and state taxing authority examination. Dartmouth believes it has taken no significant uncertain tax positions.

Affiliation with Dartmouth-Hitchcock Medical Center

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

Certain costs, including salaries, facilities use (including construction planning and management, and facilities operation and maintenance), and direct and indirect research, incurred by Geisel and the other members of DHMC are shared among the members based on negotiated allocations of the costs on an annual or project specific basis. The members of DHMC, excluding the VAMC, are also parties to a Condominium Ownership Agreement that governs the ownership and operation of the DHMC facilities. During the years ended June 30, 2013 and 2012, Dartmouth paid approximately \$27.6 million and \$27.4 million, respectively, and received approximately \$28.5 million and \$28.1 million, respectively, in connection with these arrangements.

Insurance

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

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

Dartmouth College
Notes to Financial Statements

Gifts and Pledges Receivable

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

Investments

Investments are reported at estimated fair value. Because many of these investments are not readily marketable, the estimates of fair value involve assumptions and estimation methods which are uncertain, and therefore the estimates could differ from actual results. Purchases and sales of securities are recorded on the trade date, and realized gains and losses are determined on the basis of the average cost of securities sold. Derivative financial instruments held for investment purposes are carried at estimated fair values with resulting gains and losses included in investment return. Cash designated for investment purposes is included in investments and may include money market funds, foreign currency held for investment purposes, and fixed income securities with an original or remaining maturity of three months or less when purchased.

For investments held directly by Dartmouth for which an active market with quoted prices exists, the market price of an identical security is used as reported fair value. Fair values for shares in commingled funds are based on share prices reported by the funds as of the last business day of the fiscal year. Dartmouth's interest in certain other commingled funds and other alternative investment funds is reported at the net asset value (NAV) reported by the fund managers and reviewed by Dartmouth. NAV is used as a practical expedient to estimate the fair value of Dartmouth's interest therein, unless it is probable that all or a portion of the investment will be sold for an amount different from NAV.

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

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

Level 2 - Pricing inputs, including broker quotes, are generally those other than exchange quoted prices in active markets, which are either directly or indirectly observable as of the reporting date, and fair value is determined through the use of models or other valuation methodologies.

Level 3 - Pricing inputs are unobservable for the investment and include situations where there is little, if any, market activity for the investment. The inputs into the determination of fair value require significant management judgment or estimation. Investments in this category generally include alternative investments and partnership interests.

For those investments reported using NAV as a practical expedient, classification in Level 2 or 3 is based on Dartmouth's ability to redeem its interest at or near the date of the statement of financial position. If the interest can be redeemed in the near term, the investment is classified in Level 2.

Total investment return (interest, dividends, rents, royalties, and net realized and unrealized gains and losses) earned by Dartmouth's endowment investments is included in endowment activities, while the net income earned by the non-endowment investments is included in other operating and non-operating income. Fees charged by external investment managers are generally based on contractual percentages of the fair market value of assets under management or on annual total investment return and are, in most cases, netted against investment return. However, certain expenses paid directly by Dartmouth for investment management and custody services, including certain internal costs, amounted to approximately \$12,970,000 and \$12,026,000 for the years ended June 30, 2013 and 2012, respectively, and have been netted against endowment return and other operating and non-operating income in the accompanying Statement of Activities.

Dartmouth College
Notes to Financial Statements

Endowment

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

Giving consideration to the New Hampshire Uniform Prudent Management of Institutional Funds Act (UPMIFA), Dartmouth classifies as permanently restricted net assets all endowment funds that must be retained permanently in accordance with stipulations imposed by a donor at the time of a gift, plus the original value of assets donated to permanent endowment, along with any investment earnings that are directed by the donor to be reinvested in perpetuity (i.e., historic book value). The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure in a manner consistent with the standard of prudence prescribed by UPMIFA.

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

Split-Interest Agreements

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

Dartmouth has recorded the estimated fair value of the investments associated with irrevocable split-interest agreements and an estimated liability, using a discount rate of 1.2% for FY13 and 1.2% for FY12, for the net present value of the future cash outflows to beneficiaries of the agreements for which Dartmouth serves as trustee. In the case of irrevocable split-interest agreements whose assets are held in trusts not administered by Dartmouth (third-party charitable trusts), a receivable for Dartmouth's beneficial interest is established when Dartmouth is notified of the trust's existence and when the third-party trustee has provided Dartmouth with sufficient reliable information to estimate the value of the receivable, which the College considers a level 3 measurement. Dartmouth reports the net change in split-interest agreements as a non-operating change in net assets in the Statement of Activities. See Note L for additional discussion of third-party charitable trusts.

Land, Buildings, Equipment, and Construction in Progress

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

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

Dartmouth College
Notes to Financial Statements

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

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

Collections

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

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

B. Receivables and Other Assets

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

	2013	2012
Student accounts	\$ 2,334	\$ 1,426
Sponsored research grants and contracts	20,162	29,489
Other accounts	44,008	56,757
Notes and student loans	75,039	83,539
Less: allowance for uncollectible accounts	(2,979)	(2,743)
Receivables, net	\$ 138,564	\$ 168,468
Prepaid costs, inventories, and other assets	15,200	15,360
Total receivables, and other assets, net	\$ 153,764	\$ 183,828

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

C. Gifts and Pledges Receivable

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

	2013	2012
Gifts to support operations	\$ 90,332	\$ 84,162
Gifts for:		
Facilities and student loans	23,626	25,682
Other restricted uses	2,713	3,020
Endowment	28,047	49,697
Split-interest agreements	11,105	2,163
Total gifts and pledge payments	\$ 155,823	\$ 164,724

Dartmouth College
Notes to Financial Statements

Unconditional pledges as of June 30 are expected to be realized in the following periods, discounted at rates ranging from 1.4% to 6.2% (in thousands):

	2013	2012
In one year or less	\$ 60,024	\$ 75,942
Between one year and five years	47,921	58,831
Six years and after	1,531	20,903
Gross pledges receivable	\$ 109,476	\$ 155,676
Less: present values discount	(3,083)	(5,415)
Less: allowance for uncollectible pledges	(11,682)	(7,485)
Pledges receivable, net	\$ 94,711	\$ 142,776

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

D. Investments

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

	2013	2012
Endowment investments	\$ 3,802,047	\$ 3,571,135
Split-interest agreement investments	111,744	99,768
Operating and other investments	810,454	704,861
Total investments	\$ 4,724,245	\$ 4,375,764

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

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

¹ Fixed income includes privately held bonds.

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

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

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

Dartmouth College
Notes to Financial Statements

The following table summarizes Dartmouth's assets and liabilities that are reported at fair value by their fair value hierarchy classification as of June 30, 2012 (in thousands):

	Level 1	Level 2	Level 3	Total	Redemption or Liquidation	Days' Notice
Assets:						
Investments:						
Cash and cash equivalents	\$ 161,759	\$ -	\$ -	\$ 161,759	Daily	1
Fixed income ¹	102,750	254,921	2	357,673	Daily-Monthly	1-7
Global equity:						
US equity ²	363,288	225,855	209,597	798,740	Daily- Bi-annual	1-90
International	20,533	109,502	-	130,035	Daily - Monthly	1-10
Emerging markets	33,556	123,214	-	156,770	Daily - Quarterly	1-120
Marketable alternative strategies ³	-	174,919	689,325	864,244	Quarterly- Annual	30-180
Private equity/venture capital	-	-	961,640	961,640	Illiquid	Not Applicable
Real assets:						
Real estate	12,718	196,820	404,208	613,746	Daily - Illiquid	1 Day - Not Applicable
Other real assets	79,369	-	246,082	325,451	Daily - Illiquid	1 Day - Not Applicable
Other investments	-	2,104	3,602	5,706	Not Applicable	Not Applicable
Total investments	<u>\$ 773,973</u>	<u>\$ 1,087,335</u>	<u>\$ 2,514,456</u>	<u>\$ 4,375,764</u>		

¹ Fixed income includes privately held bonds.

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

³ Marketable alternative strategies include two funds having initial lock-ups expiring on or before April 2014. Other funds may have restrictions on the ability to fully redeem up to three years, excluding illiquid securities and special investments.

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

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

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

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

Dartmouth College
Notes to Financial Statements

The following tables present Dartmouth's activity for the fiscal years ended June 30, 2013 and 2012 for investments measured at fair value in Level 3 (in thousands):

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

	Marketable Alternative Strategies	Private Equity/Venture Partnerships	Real Assets	Other Assets	Total
Balance as of June 30, 2011	\$ 737,198	\$ 952,914	\$ 570,058	\$ 183,295	\$ 2,443,465
Transfers	(32,770)	-	-	6,165	(26,605)
Acquisitions / purchases	30,000	102,473	70,771	5,570	208,814
Distributions / sales	(28,823)	(167,314)	(86,072)	(25,928)	(308,137)
Investment income and realized gains	13,779	47,449	13,891	16,796	91,915
Unrealized gain (loss) on investments	(30,059)	26,118	81,642	27,303	105,001
Balance as of June 30, 2012	<u>\$ 689,325</u>	<u>\$ 961,640</u>	<u>\$ 650,290</u>	<u>\$ 213,201</u>	<u>\$ 2,514,456</u>

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

Dartmouth owns an interest in each alternative investment fund rather than in the securities underlying each fund, therefore, it is generally required to categorize such investments as Level 2 or 3 based on the liquidity of the fund, even though the underlying securities may be readily marketable. Also, the level in the fair value hierarchy in which each fund's fair value measurement is classified is based on the lowest level input that is significant to the fund in its entirety (e.g., a fund with a mix of underlying Level 1 and Level 3 investments would be classified entirely as a Level 3 investment). Accordingly, the inputs or methodology used to value or classify investments for financial reporting purposes is not necessarily an indication of the risk associated with investing in those investments.

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

From time to time Dartmouth enters into foreign currency forward contracts and government bond futures to efficiently manage portfolio exposures to global currencies and interest rates. These instruments may be used to hedge the portfolio from unwanted currency and interest rate risk, but also to efficiently implement active duration and relative value currency strategies. The notional value of the contracts may vary significantly based on the expirations and/or initiation of these contracts as of June 30. At June 30, 2013 and 2012, Dartmouth held forward contracts to buy foreign currencies in the amount of \$12,554,000 and \$9,225,000, respectively, and to sell foreign currencies in the amount of \$7,482,000 and \$1,285,000, respectively. The difference between the estimated notional value of open futures contracts to sell and purchase securities was a net long position of \$18,551,000 and net short position \$11,644,000 as of June 30, 2013 and 2012, respectively. Dartmouth is obligated to pledge to the appropriate broker cash or securities to be held as collateral, as determined by exchange margin requirements for futures contracts held. At June 30, 2013 and 2012, the market value of Dartmouth's pledged collateral on futures contracts was \$965,000 and \$925,000, respectively.

Credit default swaps are used to simulate long or short positions or to reduce credit risk where exposure exists. The buyer of a credit default swap is obligated to pay to the seller a periodic stream of payments over the term of the contract in return for a contingent payment upon occurrence of a contracted credit event. As of June 30, 2013 and 2012, the total notional amount of credit default swap contracts for buyer protection was \$9,529,000 and \$11,624,000, respectively and the notional amount

Dartmouth College
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related to sell protection was \$3,247,000 and \$28,509,000, respectively. The fair value of the buy contracts at June 30, 2013 and 2012 were approximately (\$67,000) and \$1,155,000, respectively and the sell contracts was (\$217,000) and (\$1,846,000), respectively, and are included in the Statement of Financial Position as investments at fair value. At June 30, 2013 and 2012 the losses on the buy contracts were \$34,000 and \$310,000, respectively and sell contracts \$107,000 and \$342,000, respectively, and are presented in the operating and non-operating sections of the Statement of Activities.

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

E. Endowment

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

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Endowment net assets, June 30, 2012	\$ 833,511	\$ 1,700,362	\$ 952,511	\$ 3,486,384
Investment return:				
Investment income	7,432	24,078	-	31,510
Net gain in fair value:				
Realized	63,875	201,499	-	265,374
Unrealized	<u>25,848</u>	<u>80,972</u>	<u>1,058</u>	<u>107,878</u>
Total investment return	97,155	306,549	1,058	404,762
Gifts	30	811	27,206	28,047
Distribution of endowment return to all funds	(43,979)	(141,499)	-	(185,478)
Other changes, net	<u>7,878</u>	<u>(11,591)</u>	<u>3,594</u>	<u>(119)</u>
Endowment net assets, June 30, 2013	<u>\$ 894,595</u>	<u>\$ 1,854,632</u>	<u>\$ 984,369</u>	<u>\$ 3,733,596</u>
	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Endowment net assets, June 30, 2011	\$ 832,709	\$ 1,684,361	\$ 896,336	\$ 3,413,406
Investment return:				
Investment income	5,449	17,709	-	23,158
Net gain in fair value:				
Realized	19,932	62,973	-	82,905
Unrealized	<u>21,403</u>	<u>69,247</u>	<u>586</u>	<u>91,236</u>
Total investment return	46,784	149,929	586	197,299
Gifts	8	858	48,831	49,697
Distribution of endowment return to all funds	(44,142)	(138,714)	-	(182,856)
Other changes, net	<u>(1,848)</u>	<u>3,928</u>	<u>6,758</u>	<u>8,838</u>
Endowment net assets, June 30, 2012	<u>\$ 833,511</u>	<u>\$ 1,700,362</u>	<u>\$ 952,511</u>	<u>\$ 3,486,384</u>

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

Included in temporarily restricted endowment net assets at the end of the year is the remaining amount of expendable accumulated appreciation on permanent endowment funds of \$1,536,709,000 and \$1,401,622,000 at June 30, 2013 and 2012, respectively.

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

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

Endowment net assets consist of the following as of June 30, 2012 (in thousands):

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ -	\$ 1,633,792	\$ 952,511	\$ 2,586,303
Board-designated endowment funds	833,511	66,570	-	900,081
Total endowment net assets	<u>\$ 833,511</u>	<u>\$ 1,700,362</u>	<u>\$ 952,511</u>	<u>\$ 3,486,384</u>

From time to time, the fair values of assets associated with individual donor restricted endowment funds may fall below the level that the donor or UPMIFA requires to retain as a fund of perpetual duration. In accordance with GAAP, events of this nature are reported as reductions in unrestricted net assets and were (\$12,000) and \$0 as of June 30, 2013 and 2012, respectively. These events were a result of market declines since the endowment funds were established. A Board of Trustees policy limits the distribution from these funds to current income only.

Dartmouth employs a total return endowment utilization policy that establishes the amount of investment return made available for spending each fiscal year. The amount appropriated for expenditure each year is independent of the actual return for the year, but the appropriated amount cannot exceed the total accumulated return in an individual fund at the time of distribution. The Board approves the formula that determines the amount appropriated from endowment each year. Investment return earned in excess of the amount appropriated annually is reinvested in the funds, but can be appropriated in future years in accordance with the utilization policy. The net appreciation on most of the permanently and temporarily restricted endowment funds is reported together with temporarily restricted net assets until such time as all or a portion of the appreciation is appropriated for spending in accordance with the utilization policy and applicable state law.

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

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

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

	2013	2012
Land	\$ 19,082	\$ 19,090
Buildings	1,124,809	1,011,851
Land improvements	109,087	98,601
Equipment	<u>281,520</u>	<u>268,719</u>
Land, buildings, and equipment	\$ 1,534,498	\$ 1,398,261
Less: accumulated depreciation	(659,012)	(604,284)
Construction in progress	<u>68,841</u>	<u>133,717</u>
Total net book value	<u>\$ 944,327</u>	<u>\$ 927,694</u>

Dartmouth College
Notes to Financial Statements

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

G. Bonds, Mortgages, and Notes Payable

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

	<u>Fiscal Year</u> <u>Maturity</u>	<u>Interest Rate</u>	<u>2013</u>	<u>2012</u>
New Hampshire Health and Education Facilities Authority (NHHEFA):				
Tax-Exempt Fixed Rate:				
Series 2009	2019 – 2039	3.30% - 4.77%	\$ 198,875	\$ 198,875
Tax-Exempt Variable Rate:				
Series 2002	2032	.06% - .23%	101,000	101,000
Series 2003	2023	.06% - .21%	83,700	89,300
Series 2007A	2031	.02% - .23%	89,755	89,800
Series 2007B	2041	.02% - .23%	<u>75,000</u>	<u>75,000</u>
Subtotal Tax-Exempt bonds			\$ 548,330	\$ 553,975
Taxable Bonds:				
NHHEFA Variable Rate:				
Series 2007C	2041	.12% - .20%	30,000	30,000
Fixed Rate				
Series 2009	2019	4.75%	250,000	250,000
Series 2012A	2042	4.00%	70,000	70,000
Series 2012B	2043	3.76%	<u>150,000</u>	<u>150,000</u>
Subtotal taxable bonds			\$ 500,000	\$ 500,000
Subtotal bonds			\$ 1,048,330	\$ 1,053,975
Mortgages on real estate investments:				
Fixed Rate	2017 - 2037	4.34% - 5.61%	50,317	51,665
Taxable commercial paper note:				
Variable Rate		.13% to .19%	<u>23,900</u>	<u>19,000</u>
Subtotal bonds, mortgages and notes payable			\$ 1,122,547	\$ 1,124,640
Original issue premium, net			<u>4,240</u>	<u>4,235</u>
Total bonds, mortgages, and notes payable, net			<u>\$ 1,126,787</u>	<u>\$ 1,128,875</u>

Included in interest and amortization presented on the Statement of Operating Expenses is interest expense on debt (including payments on interest rate swap agreements) used to finance facilities projects of \$24,324,000 and \$22,772,000, and on other operating indebtedness of \$152,000 and \$129,000 for the years ended June 30, 2013 and 2012, respectively. In addition, interest paid on debt used to finance facilities projects of \$464,000 and \$1,696,000 was capitalized in connection with various construction projects for the years ended June 30, 2013 and 2012, respectively.

Interest expense on debt used to finance student loans totaled \$1,406,000 and \$1,318,000 for the years ended June 30, 2013 and 2012, respectively, and is presented as a deduction from other non-operating earnings in the Statement of Activities. Interest expense on other non-operating indebtedness totaled \$23,460,000 and \$17,926,000 for the years ended June 30, 2013 and 2012, respectively, and is presented as a deduction from other non-operating earnings in the Statement of Activities. Interest expense on mortgages and debt used to finance endowment-related real estate projects totaled \$2,625,000 and \$2,623,000 for the years ended June 30, 2013 and 2012, respectively, and is presented as a deduction in endowment net investment return in

Dartmouth College
Notes to Financial Statements

the Statement of Activities. Total interest expense included in the Statement of Activities is \$51,967,000 and \$44,768,000 for the years ended June 30, 2013 and 2012, respectively.

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

June 30	Principal Due
2014	\$ 32,418
2015	8,884
2016	9,157
2017	27,628
2018	9,870
Thereafter	1,034,590
Total	\$ 1,122,547

Principal due after June 30, 2018, includes the following "balloon" payments due on Dartmouth's indebtedness (in thousands):

June 30	Indebtedness	Payment
2019	NHHEFA Series 2009 bonds	\$ 7,920
2019	2009 Series A bonds	\$ 250,000
2027	NHHEFA Series 2007A bonds	\$ 31,820
2028	NHHEFA Series 2009 bonds	\$ 32,190
2028	NHHEFA Series 2007A bonds	\$ 52,060
2029	NHHEFA Series 2009 bonds	\$ 20,000
2031	NHHEFA Series 2007A bonds	\$ 5,120
2032	NHHEFA Series 2002 bonds	\$ 101,000
2036	NHHEFA Series 2007B bonds	\$ 18,000
2039	NHHEFA Series 2009 bonds	\$ 138,765
2041	NHHEFA Series 2007B bonds	\$ 57,000
2041	NHHEFA Series 2007C bonds	\$ 30,000
2042	2012 Series A bonds	\$ 70,000
2043	2012 Series B bonds	\$ 150,000

The estimated fair value of the bonds was approximately \$1,070,035,000 and \$1,146,338,000 as of June 30, 2013 and 2012, respectively. The fair value for fixed-rate debt is based on estimates of the prevailing market yield and resulting price for each maturity of debt. The market yield is impacted by several factors including credit, length of maturity, coupon, and optional redemption provisions. Variable rate debt is valued at par since the rate is reset frequently and the bonds are puttable by the investor and callable by the borrower at any time. The College considers this to be a Level 2 measurement.

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

During fiscal year 2009, Dartmouth entered into six interest rate swap agreements. Information related to these interest rate swap agreements as of June 30, 2013, including the fixed interest rate paid by Dartmouth and percent of LIBOR BBA (1 month) received on the notional principal, is presented in the table below (in thousands):

Expiration Date	Notional Amount	Fixed Interest Rate %	% of LIBOR BBA
06/01/2032	\$ 100,000	3.75	67
06/01/2041	\$ 100,000	3.73	70
06/01/2027	\$ 31,940	3.77	72
06/01/2028	\$ 52,695	3.78	72
06/01/2042	\$ 100,000	3.73	70
06/01/2043	\$ 165,000	3.74	70

Dartmouth College
Notes to Financial Statements

The fair value of these agreements at June 30, 2013 and 2012, based on various factors contained in the interest rate swap agreements and certain interest rate assumptions, was approximately \$133,222,000 and \$216,306,000, respectively, and considered a level 2 measurement. The decrease of \$83,084,000 in the liability for the year ended June 30, 2013 is presented as an unrealized gain and the increase of \$126,903,000 in the liability for the year ended June 30, 2012 is presented as an unrealized loss in the non-operating section of the Statement of Activities. Net payments or receipts under the swap agreements associated with facilities debt are reflected as interest expense. These financial instruments involve counter-party credit exposure.

Dartmouth maintains stand-by bond purchase agreements totaling approximately \$380,000,000 to provide alternative liquidity to support its variable rate bonds. There were no amounts outstanding at June 30, 2013 and 2012 under these agreements. Dartmouth has a \$75,000,000 line of credit with a maturity date of December 29, 2014. There have been no borrowings under this line of credit.

H. Pension and Other Employment Related Obligations

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

	2013	2012
Retirement and postretirement benefits	\$ 242,222	\$ 289,168
Compensated absences, severance plans, and other commitments	18,518	16,630
Self-insured benefits	11,710	10,182
Total employment related obligations	\$ 272,450	\$ 315,980

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

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

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

	Pension Benefits		Postretirement Benefits	
	2013	2012	2013	2012
Change in benefit obligation:				
Beginning of year	\$ 120,920	\$ 105,642	\$ 274,684	\$ 217,928
Service cost	2,708	2,268	7,809	6,915
Interest cost	5,059	5,407	13,435	12,899
Plan amendments	-	-	-	(18,897)
Benefits paid	(6,261)	(7,266)	(4,209)	(4,138)
Actuarial (gain)/loss	(1,730)	14,869	(65,270)	59,977
End of year	<u>\$ 120,696</u>	<u>\$ 120,920</u>	<u>\$ 226,449</u>	<u>\$ 274,684</u>

Dartmouth College
Notes to Financial Statements

	Pension Benefits		Postretirement Benefits	
	2013	2012	2013	2012
Change in estimated fair value of plan assets:				
Beginning of year	\$ 112,518	\$ 92,189	\$ -	\$ -
Actual return on plan assets	3,674	23,595	-	-
Employer contributions	4,000	4,000	4,209	4,138
Benefits paid	(6,261)	(7,266)	(4,209)	(4,138)
End of year	<u>\$ 113,931</u>	<u>\$ 112,518</u>	<u>\$ -</u>	<u>\$ -</u>
Funded status (plan assets less than benefits obligation)	<u>\$ (6,765)</u>	<u>\$ (8,402)</u>	<u>\$ (226,449)</u>	<u>\$ (274,684)</u>

	Pension Benefits		Postretirement Benefits	
	2013	2012	2013	2012
Net periodic benefit (income) cost included the following:				
Service cost	\$ 2,708	\$ 2,268	\$ 7,809	\$ 6,915
Interest cost	5,059	5,407	13,435	12,899
Expected return on assets	(6,358)	(6,203)	-	-
Amortization of prior service cost (credit)	240	240	(7,644)	(4,158)
Recognized net actuarial loss	3,218	1,668	3,127	-
Net periodic benefit cost	<u>\$ 4,867</u>	<u>\$ 3,380</u>	<u>\$ 16,727</u>	<u>\$ 15,656</u>

Weighted-average assumptions:

Discount rate used to determine net periodic benefit cost	4.40%	5.40%	4.95%	6.00%
Expected return on plan assets	6.80%	6.80%	-	-
Rate of compensation increase	3.00%	3.00%	-	-
Discount rate used to determine benefit obligations	4.80%	4.40%	5.45%	4.95%

The estimated net (income) cost that will be amortized into net periodic benefit cost during the 2014 fiscal year for the pension benefits and the postretirement benefits are \$2,603,789 and (\$7,644,238), respectively.

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

	Pension Benefits	Post-retirement Benefits	Total 2013	Total 2012
Amounts recognized in non-operating activities:				
Net actuarial gain (loss)	\$ (953)	\$ 65,270	\$ 64,317	\$ (57,453)
Amortization of gain	3,218	3,127	6,345	1,668
Plan amendments	-	-	-	18,897
Amortization of prior service cost (credit)	240	(7,644)	(7,404)	(3,918)
Total non-operating gain (loss)	2,505	60,753	63,258	(40,806)
Amounts recognized in operating activities:				
Net periodic benefit cost	(4,867)	(16,727)	(21,594)	(19,036)
Total gain (loss)	<u>\$ (2,362)</u>	<u>\$ 44,026</u>	<u>\$ 41,664</u>	<u>\$ (59,842)</u>

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

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

Dartmouth College
Notes to Financial Statements

The following table summarizes the defined benefit pension plan investments by their fair value hierarchy classification as of June 30, 2012 (in thousands):

	Level 1	Level 2	Level 3	Total
Cash and cash equivalents	\$ 570	\$ -	\$ -	\$ 570
Global equity	-	59,584	-	59,584
Fixed income ¹	-	48,216	-	48,216
Limited partnerships ²	-	-	4,148	4,148
Total investments	\$ 570	\$ 107,800	\$ 4,148	\$ 112,518

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

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

The following table presents activity for the fiscal year ended June 30, 2013 and 2012 for the defined benefit pension plan investments measured at fair value in Level 3 (in thousands):

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

	Limited Partnerships
Balance as of June 30, 2011	\$ 4,020
Acquisitions / purchases	353
Distributions / sales	(622)
Investment return	211
Unrealized gains on investments	186
Balance as of June 30, 2012	\$ 4,148

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

Dartmouth makes annual contributions to maintain plan funding on an actuarially recommended basis. Dartmouth currently expects to contribute between \$2 million and \$4 million to the Plan in fiscal year 2014.

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

	Pension Benefits	Postretirement Benefits
2014	\$ 9,800	\$ 6,145
2015	9,500	6,670
2016	9,500	7,138
2017	9,400	7,646
2018	9,200	8,272
Years 2019 -2023	44,300	51,875

Dartmouth College
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Assumed health care cost trend rates have a significant effect on the estimated amounts reported for the postretirement benefit plan. The medical cost trend rates for pre-age 65 and post-age 65 retirees, respectively, are assumed to be 8.2% and 8.0% in year 2014, decrease gradually to 5% and 5.5% in fiscal year 2021 and 2023, respectively, and remain level thereafter. Dartmouth's estimate of postretirement benefit expense and obligations also reflects the impact of the Medicare Prescription Drug Improvement and Modernization Act, which provides for tax-free subsidies to employers that offer retiree medical benefit plans with qualifying drug coverage.

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

Increase (decrease) in total of service and interest cost components	\$ 3,738	\$ (3,252)
Increase (decrease) in postretirement benefit obligation	\$ 43,713	\$ (35,195)

Dartmouth also maintains defined contribution retirement plans for its employees. These benefits are individually funded and are subject to various vesting requirements. Under these arrangements, Dartmouth makes monthly contributions to individual self-directed retirement investment accounts for the participants. These contributions for the years ended June 30, 2013 and 2012 were \$24,721,000 and \$22,846,000, respectively. Dartmouth also maintains deferred compensation plans. The liabilities for the plans are included in pension and other employment related obligations in the Statement of Financial Position.

I. Other Operating Income

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

	2013	2012
Medical School clinical services and other support	\$ 51,304	\$ 51,671
Foreign study and continuing education programs	13,244	12,971
Student activities and other program revenue	11,011	11,429
Athletics revenues	4,523	3,878
Hopkins Center and Hood Museum	1,838	1,412
Other revenues	16,084	25,236
Investment income	33,741	26,768
Total other operating income	\$ 131,745	\$ 133,365

J. Net Assets

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

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

Dartmouth College
Notes to Financial Statements

	2012			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
Detail of net assets:				
Operating funds	\$ 328,748	\$ 74,753	\$ -	\$ 403,501
Pledges	-	110,972	31,804	142,776
Postretirement and pension benefit obligations	(283,086)	-	-	(283,086)
Third-party charitable trusts	-	7,712	5,899	13,611
Facilities and capital	330,852	40,501	-	371,353
Interest rate swap agreements	(216,306)	-	-	(216,306)
Student loan funds	12,351	29,012	-	41,363
Life income, annuity, and similar funds	-	27,937	30,017	57,954
Endowment funds	833,511	1,700,362	952,511	3,486,384
Total net assets	<u>\$ 1,006,070</u>	<u>\$ 1,991,249</u>	<u>\$ 1,020,231</u>	<u>\$ 4,017,550</u>

K. Commitments and Contingencies

Outstanding commitments on uncompleted construction contracts total \$8,009,000 at June 30, 2013.

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

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

L. Third-Party Charitable Trusts

As described in Note A, a split-interest agreement is a donor arrangement, such as a charitable trust, under which Dartmouth receives benefits that are shared with other beneficiaries. GAAP requires Dartmouth to report at estimated fair value its interest in an irrevocable split-interest agreement when Dartmouth is notified of an agreement's existence. When Dartmouth is not the trustee of the assets associated with a split-interest agreement, Dartmouth recognizes these assets only when notified of the existence of the trust and when reliable information about the fair value of its interest is provided by the third-party trustee. Dartmouth requests information regularly from third-party trustees for financial reporting purposes; however, these trustees are not obligated to provide Dartmouth with the information necessary to estimate fair value and record the asset. Dartmouth respects the privacy of donors and trustees in these limited instances.

As of June 30, 2013 and 2012, third-party trustees have not provided Dartmouth with sufficient information necessary to estimate the fair value of Dartmouth's interest in certain trusts. Dartmouth has not recorded an asset in connection with these trusts due to the uncertainty surrounding the potential value of Dartmouth's interest in these trusts as of June 30, 2013 and 2012. If Dartmouth's interest in these trusts were reflected on the Statement of Financial Position, Dartmouth's assets and net assets would be greater than the amounts reported in the accompanying financial statements.

M. Related Party Transactions

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

Dartmouth College

Notes to Financial Statements

requiring that such transactions be conducted at arm's length, for good and sufficient consideration, based on terms that are fair and reasonable to and for the benefit of Dartmouth, and in accordance with applicable conflict of interest laws.

N. Subsequent Events

For purposes of determining the effects of subsequent events on these financial statements, management has evaluated events subsequent to June 30, 2013 and through October 21, 2013, the date on which the financial statements were issued.



Dartmouth College

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11 Rope Ferry Road #6210
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Dartmouth College Mission

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

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

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

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

Dartmouth College Board of Trustees 2013-2014

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NH Department of Health and Human Services

Contractor Name: Trustees of Dartmouth College

Name of Bureau/Section: Cancer Registry

BUDGET PERIOD: SFY 14				
NAME	JOB TITLE	SALARY	PERCENT PAID FROM THIS CONTRACT	AMOUNT PAID FROM THIS CONTRACT
		\$0	45.00%	\$0.00
		\$0	100.00%	\$0.00
		\$0	100.00%	\$0.00
		\$0	100.00%	\$0.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
TOTAL SALARIES (Not to exceed Total/Salary Wages, Line Item 1 of Budget request)				\$0.00

BUDGET PERIOD: SFY 15				
NAME	JOB TITLE	SALARY	PERCENT PAID FROM THIS CONTRACT	AMOUNT PAID FROM THIS CONTRACT
Judith Rees	Director	\$128,965	45.00%	\$58,034.25
Bruce Riddle	Registry Manager	\$87,972	100.00%	\$87,972.00
Maria Celaya	Asst Director Field Operations	\$76,980	100.00%	\$76,980.00
Claire Davis	Registrar	\$59,918	100.00%	\$59,918.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
TOTAL SALARIES (Not to exceed Total/Salary Wages, Line Item 1 of Budget request)				\$282,904.25

BUDGET PERIOD: SFY 16				
NAME	JOB TITLE	SALARY	PERCENT PAID FROM THIS CONTRACT	AMOUNT PAID FROM THIS CONTRACT
Judith Rees	Director	\$134,124	45.00%	\$60,355.80
Bruce Riddle	Registry Manager	\$91,491	100.00%	\$91,491.00
Maria Celaya	Asst Director Field Operations	\$80,059	100.00%	\$80,059.00
Claire Davis	Registrar	\$62,315	100.00%	\$62,315.00
		\$0	0.00%	\$0.00
		\$0	0.00%	\$0.00
TOTAL SALARIES (Not to exceed Total/Salary Wages, Line Item 1 of Budget request)				\$294,220.80

Judith R. Rees, BM, BCh, MPH, PhD

Director, NHSCR, is responsible for general oversight, coordination and recruitment.

EDUCATION

PhD, Epidemiology	University of California, Berkeley	2001
MPH, Epidemiology	University of California, Berkeley	1996
BM, BCh, Medicine	Oxford University, England	1988
BA, Physiological Science	Oxford University, England	1985

EMPLOYMENT

Director:	New Hampshire State Cancer Registry	2004-
Research Assistant Professor:		
Biostatistics & Epidemiology,	Dartmouth Medical School, Hanover, NH	2002-
Project Director:	Drinking Water Evaluation Trial, Berkeley, CA	1997-2000
Surveillance Officer:	CA Emerging Infections Program, San Francisco, CA	1995-1997
Resident Physician:	General Practice, Northampton, UK	1991-1994
Resident Physician:	Emergency Dept, St Helier Hospital, Surry, UK	1990

COMMITTEES

NH DHHS Comprehensive CA Control Plan Management RFP review panel	Sept, 2006
NH DHHS Evaluation Design of the NH CCC Plan RFP review panel	May, 2006
New Hampshire Advisory Panel on Cancer and Chronic Disease	2005-
New Hampshire Comprehensive Cancer Control Plan: Steering Committee	2005-
New Hampshire Chronic Disease Conference Planning Committee	2005-

SELECTED PUBLICATIONS

M Karagas, H Nelson, P Sehr, T Waterboer, T Stukel, A Andrew, A Green, JNB Bavinck, AQ Perry, S Spencer, JR Rees, L Mott, M Pawlita. "Serologic evidence of human papillomavirus infection and the incidence of squamous cell and basal cell carcinoma of the skin" *Journal of the National Cancer Institute* 2006; 98(6):389-395.

MV Grau, JR Rees, JA Baron. "Chemoprevention in gastrointestinal cancers: current status." *Basic & Clinical Pharmacology & Toxicology* 2006; 98:281-287.

MO Celaya, JR Rees, JJ Gibson, BL Riddle, ER Greenberg. "Factors influencing breast-conserving surgery and radiation in New Hampshire women with early stage breast cancer". *Cancer Causes and Control* 2006;17;851-856.

JR Rees, S Sturup, C Chen, C Folt, MR Karagas. "Toenail mercury and dietary fish consumption", *Journal of Exposure Science and Environmental Epidemiology*, in press. Advance on-line copy available at <http://www.nature.com/jes/journal/vaop/ncurrent/abs/7500516a.html>

JR Rees, SK Spencer, TA Stukel, A Perry, MS Zens, A Andrew, MR Karagas. "The effect of tea consumption on basal cell and squamous cell skin cancer: results of a case control study", *Journal of the American Academy of Dermatology*, in press.

MANUSCRIPT IN PREPARATION

MO Celaya, BL Riddle, JR Rees. "Assessing the Reliability of Rapid Case Reporting in a Central Cancer Registry."

Bruce L. Riddle, PhD

Manager and Network Administrator, NHSCR, is responsible for computer facilities, network backup, central registry software, and monitoring electronic reporting.

EDUCATION

BA, Political Science	The Defiance College, Ohio	1972
MA, International Relations	Syracuse University, New York	1975
PhD, International Relations	Syracuse University, New York	1977
MA, Economics	Syracuse University, New York	1985

EMPLOYMENT

Registry Manager	New Hampshire State Cancer Registry	2002-
Network Administrator	New Hampshire State Cancer Registry	1999-
Director, Computing&Technology	Maxwell School, Syracuse University	1994-1999
Senior Research Associate	Maxwell School, Syracuse University	1984-1992

SELECTED PUBLICATIONS:

- “On the Coding and Reporting of Race and Ethnicity in New Hampshire for Purposes of Cancer Reporting,” B Riddle. *Ethnicity and Disease*. 2005;15: 324-331.
- “A Review of Death Clearance in Central Cancer Registries and Proposal for a New Regime.” *Journal of Registry Management*, Vol. 31 (2). Summer 2004: 67-73.
- “Passwords in Use in a University Timesharing Environment.” B Riddle, M Miron, J Semo. *Computers & Security*, Vol. 8 (1989): 569-579.

PRESENTATIONS:

- “Security Issues: A Problem Statement.” National Program of Cancer Registries Program Directors Conference. May 2008. Atlanta, Georgia. Invited Presentation.
- “An Events Driven Data Set for Cancer Surveillance.” Rocky Mountain Cancer Data System Annual Meeting, September 2005, Arlington, Virginia.
- “Cancer Incidence Rates for New Hampshire.” NHSCR Spring Education Meeting, April 2005, Concord, New Hampshire.
- “Patterns of Morphology Reporting,” North American Association of Central Cancer Registries 2004 Annual Meeting, Salt Lake City Utah, June 2004.
- “On the Coding and Reporting of Race and Ethnicity in New Hampshire,” North American Association of Central Cancer Registries 2003 Annual Meeting, Honolulu, Hawaii, June 2003.

POSTER PRESENTATIONS:

- “Cancer and Place of Death: A micro-study about death in New Hampshire.” B. Riddle. North American Association of Central Cancer Registries 2010 Annual Meeting, Quebec City, Quebec, Canada, June 2010. Poster won 3rd Place award.
- “Death Certificates and Estimates of Cancer Mortality.” B. Riddle and M. Celaya. North American Association of Central Cancer Registries 2008 Annual Meeting, Denver, Colorado, June 2008. Poster won 1st Prize award.
- “Event Level Architecture for an Event Driven Data Set for Electronic Cancer Surveillance” B. Riddle. North American Association of Central Cancer Registries 2007 Annual Meeting, Detroit, Michigan, June 2007.

Maria O. Celaya, MPH, RHIT, CTR

Assistant Director, Field Operations, NHSCR, oversees central and hospital registry training and quality assurance standards, provides technical assistance to investigators.

EDUCATION

MPH, Public Health Policy & Mgt	University of NH, Manchester, NH	2004
BS, Info Technology Mgt	University of NH, Lebanon, NH	2002
AAS, Health Information Technology	Phoenix College, AZ	1995

CREDENTIALS

Certified Tumor Registrar (CTR)	National Cancer Registrars Assoc	1997
Registered Health Info Tech (RHIT)	American Health Info Mgt Assoc	1995

EMPLOYMENT

Assistant Director, Field Operations	NH State Cancer Registry	2000-Present
Data Collections/Editing Manager	Arizona Cancer Registry, Phoenix, AZ	1999-2000
Administrative Support Supervisor	Arizona Cancer Registry, Phoenix, AZ	1995-1999
Cancer Registry Consultant	Multiple Arizona hospitals	1994-2000

COMMITTEES/AFFILIATIONS

NH Comprehensive CA Control Initiative	2005-Present
North American Assoc of Central CA Registries: Registry Op Committee	2003-Present
National Cancer Registry Association: Member	1997-Present

SELECTED PUBLICATIONS

- Celaya MO, Riddle BL, Cherala S, Armenti K, Rees JR. Reliability of rapid reporting of cancers in New Hampshire. *J Registry Manag.* 2010 Fall;37(3):107-111.
- Armenti KR, Celaya MO, Cherala S, Riddle BL, Schumacher PK, Rees JR. "Improving the quality of industry and occupation data at a central cancer registry. *Am J of Ind Med.* 2010 Oct;5(10):995-1001.
- Celaya MO, Berke EM, Onega TL, Gui J, Riddle BL, Cherala SS, Rees JR. Breast cancer stage at diagnosis and geographic access to mammography screening (New Hampshire, 1998-2004). *Rural Remote Health.* 2010 Apr-Jun;10(2)1361. Epub 2010 Apr 23.

SELECTED PRESENTATIONS

- Rees JR (presenter), Syse A, Riddle BL, Celaya MO, Cherala SS. Cancer trends in the oldest old: a comparative study in New Hampshire and Norway. North American Association of Central Cancer Registries Annual Conference. Louisville, Kentucky; June 2011.
- Celaya MO, Johnson A, Schwenn M, Rees JR (authors); and Riddle BL, Kachajian J, Schwenn M (presenters). Access to care in rural northern New England. North American Association of Central Cancer Registries Annual Conference. Quebec City, Quebec, Canada; June 2010

POSTERS

- Riddle BL, Celaya MO. Death certificates and estimates of cancer mortality. (1st place Award) NAACCR Annual Conference. Denver, Colorado; June 2008.
- Celaya MO, Rees J, Riddle BL, Armenti K, Cherala S. Evaluation of occupation and industry in the NH State Cancer Registry. (2nd place Award) NAACCR 2007 Annual Meeting. Detroit, Michigan; June 2007.

Claire E. Davis, CTR

Registrar, NHSCR, is responsible for cancer reporting and quality assurance for 17 registry hospitals, other cancer treatment centers, and physician offices.

EDUCATION

AS, Health Science	Northeastern University, Boston, MA	2001
BA, Textile Design	Keene State College, Keene, NH	1977

CREDENTIALS

Certified Tumor Registrar (CTR)	National Cancer Registry Association	2001
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EMPLOYMENT

Cancer Registry Coordinator	Cheshire Medical Center, Keene, NH	2001-
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- Responsible for identification, abstraction and follow-up of cancer cases at 169-bed acute care regional hospital and comprehensive oncology/radiation treatment center
- Oversight of 100% follow-up for all cancer cases
- Maintenance of quality assurance standards for all registry processes
- Preparation of annual report for medical center cancer program
- Coordination and follow-up of institutional Cancer Committee Meetings

Correspondence & Billing Clerk	Cheshire Medical Center, Keene, NH	1987-2001
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- Oversight of all external correspondence
- Submission and reconciliation of bills to all insurance companies
- Assist with risk management and other legal matters
- Assist with hospital and clinic audits

PRESENTATIONS

Collection of New non-standard Data Items. New Hampshire State Cancer Registry Annual Meeting. (Spring 2011)

NHSCR Data Collection Manual, QC, & Edits. New Hampshire State Cancer Registry Annual Meeting. (Fall 2009)

NHSCR Case Processing: Management Reports and Edits Findings. New Hampshire State Cancer Registry Annual Meeting. (Spring 2008)

Publishing an Annual Report and Physicians Request for Data. New Hampshire State Cancer Registry Annual Meeting. (Spring 2004)

PROFESSIONAL AFFILIATIONS

Association of Community Cancer Centers (ACCC)
National Certified Cancer Registrars Association (NCRA)
Cancer Registrars Association of New England (CRANE)

45



Nicholas A. Toumpas
Commissioner

José Thier Montero
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES

29 HAZEN DRIVE, CONCORD, NH 03301-6503
603-271-4988 1-800-852-3345 Ext. 4988
Fax: 603-271-7623 TDD Access: 1-800-735-2964



March 15, 2013

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

G&C Approval Date: 04/17/2013
G&C Item #: 45

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division of Public Health Services, Bureau of Public Health Statistics and Informatics to amend an agreement with the Trustees of Dartmouth College, Purchase Order #1024261 (Vendor #177157-B013), 11 Rope Ferry Road 6210, Box 186, Hanover, NH 03755, by increasing the Price Limitation by \$35,894.00 from \$1,161,066.00 to \$1,196,960.00 to provide technical assistance to health care providers who need to comply with cancer reporting requirements, effective May 1, 2013, or the date of Governor and Council approval, whichever is later. This agreement was originally approved by Governor and Council on June 6th, 2012 Item #72. Funds are available in the following account for SFY 13, with authority to adjust amounts within the price limitation and amend the related terms of the contract without further approval from Governor and Executive Council.

100% FED

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS:
DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY.

Fiscal Year	Class/Object	Class Title	Job Number	Current Modified Budget	Increased (Decreased) Amount	Revised Modified Budget
SFY 13	102-500731	Contracts for Prog Svc	90080080	\$433,083.00	\$35,894.00	\$468,977.00
SFY 14	102-500731	Contracts for Prog Svc	90080080	\$433,083.00	\$0	\$433,083.00
			Total	\$866,166.00	\$35,894.00	\$902,060.00

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS:
DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY.

Fiscal Year	Class/Object	Class Title	Job Number	Current Modified Budget	Increased (Decreased) Amount	Revised Modified Budget
SFY 13	601-500931	State Fund Match	90056005	\$147,450.00	\$0	\$147,450.00
SFY 14	601-500931	State Fund Match	90056005	\$147,450.00	\$0	\$147,450.00
			Sub-Total	\$294,900.00	\$0	\$294,900.00
			Total	\$1,161,066.00	\$35,894.00	\$1,196,960.00

EXPLANATION

Funds in this amendment will be used to implement a special project for improving cancer case reporting by nursing homes, hospice agencies, dermatologists, urologists, gastroenterologists, and hematologists. The Contractor will be responsible for: 1) notifying the largest healthcare facilities whose cancer reporting is not provided by a hospital cancer registry, 2) contacting those facilities and explaining cancer case reporting as required by RSA 141-B, 3) visiting the staff of those facilities in person to identify the best strategy for improving cancer case reporting, and 4) establishing a timetable for follow-up phone calls to the facility for audit purposes and to make sure the cancer reporting is taking place in compliance with RSA 141-B:7 and Administrative Rule He-P 304. The Contractor shall also retain the temporary services of a cancer epidemiologist, which will allow the recently hired State Cancer Epidemiologist to eliminate a backlog of cancer data requests that resulted because of the time needed to recruit a qualified candidate.

A recent trend in health care is that more cancer cases are being diagnosed in non-hospital settings. For example, an increasing percentage of melanomas are being diagnosed in physician's offices. Oftentimes, non-hospital based practices are unaware of their duty to report cancer cases, and this project will provide support for those practices in meeting their reporting obligations under the law.

Should Governor and Executive Council not authorize this Request, cancer cases diagnosed and treated in other than hospital settings will likely be underreported to the Cancer Registry, thus making the overall Cancer Registry data set less accurate for its intended purposes of guiding healthcare policy and supporting cancer cure research.

The Request for Proposals was posted on the Department of Health and Human Services website on December 8, 2011 to January 20, 2012. In addition, 13 additional mailings were sent out, and on December 16, 2011, a bidders' conference was held to alert agencies to this bid. The Trustees of Dartmouth College were selected for this project through a competitive bid process.

There were two respondents to the request for proposals. The proposals were reviewed by a team of three reviewers, two internal and one external. All reviewers had between five and 30 years of experience directing health programs and conducting research and data analysis on health-related data from various public health programs. Areas of specific expertise include cancer registry activities, chronic and communicable diseases, public health infrastructure, research in occupational health and safety, and management of public health programs.

The proposals were scored on the following criteria: bidder's experience with a cancer registry; capacity to perform the cancer registry operations; how closely the bidder's proposed plan of operation and work plan matched the criteria specified in Request for Proposals, and the budget.

The Trustees of Dartmouth College were selected as it received the highest score. Reviewers noted that Trustees of Dartmouth College had extensive past experience with cancer registry work in New Hampshire, is recognized nationally, and possesses the qualifications and capacity to conduct the Cancer Registry, as well as special studies, including several data collection support services that are available to the Cancer Registry. Given Trustees of Dartmouth College's experience, high score and feasible budget, they were selected as the successful bidder. The Request for Proposals scoring summary is attached.

These services were contracted previously with this agency in SFY 13 for \$580,533. This is an increase of \$35,894, which is due to increasing the scope of services to include outreach and technical assistance to health care providers to report cancer cases under the authority of RSA 141-B.

The contractor has been successful in meeting the performance measures established in Governor and Council letter approved June 6, 2012, Item 72. The following performance measures will be used to measure the effectiveness of this amendment:

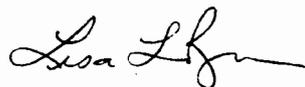
1. Create a list of practices identified in need of outreach and education on cancer reporting;
2. Contact practices on the list and offer services to better understand and meet requirements for reporting cancer cases;
3. Create a list of practices visited to improve reporting of cancer cases;
4. Create a list of practices for which there was follow-up on quality of cancer case reporting;
5. Number of cancer data sets reviewed by cancer epidemiologist; and
6. Number of trainings in use of cancer data reporting systems provided by cancer epidemiologist.

Area served: Statewide

Source of Funds: 100% Federal Funds from the Centers for Disease Control and Prevention.

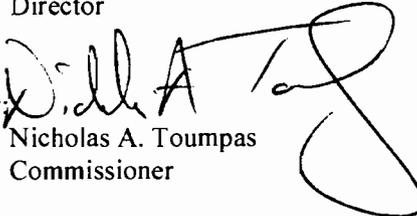
In the event that the Federal Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



José Thier Montero, MD
Director

Approved by:



Nicholas A. Toumpas
Commissioner

JTM/bsd

AMENDMENT ONE

This Agreement (hereinafter called "Amendment One") dated this 8th day of March, 2013, is by and between the State of New Hampshire acting by and through its Division of Public Health Services of the Department of Health and Human Services, (hereinafter referred to as the "Division") and the Trustees of Dartmouth College, Purchase Order Number 1024261, a corporation organized under the laws of the State of New Hampshire, with a place of business at 11 Rope Ferry Road 6210, Box 186, Hanover, NH 03755 (hereinafter referred to as the "Contractor").

WHEREAS, pursuant to an agreement (hereinafter called the "Agreement") approved June 6th, 2012, Item #72, the Contractor agreed to perform certain services upon the terms and conditions specified in the Agreement and in consideration of payment by the Division of certain sums as specified therein;

WHEREAS, pursuant to the provision of Section 18 of the Agreement, the Agreement may be modified or amended only by a written instrument executed by the parties thereto and only after approval of such modification or amendment by the Governor and Executive Council;

WHEREAS, the Contractor and the Division have agreed to amend the Agreement in certain respects;

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

1. **Amendment and Modification of Agreement:**

The Agreement is hereby amended as follows:

Amend Section 1.8 of the General Provisions by increasing the Price Limitation by \$35,894 from \$1,161,066 to \$1,196,960.

Exhibit A – Scope of Services

The prior Scope of Services identified in Exhibit A remains in effect, and Exhibit A-1 is in addition to the original Exhibit A and both remain in effect. The Scope of Services identified in Exhibit A of the Agreement is hereby amended to add the services identified in Exhibit A-1 attached hereto.

Exhibit B – Contract Price

Exhibit B of the Agreement, including any amendments thereto, is hereby amended as follows:

The contract price shall increase by \$35,894 for SFY 2013. The contract shall total \$1,196,960 for the contract term.

Funding in the amount of \$35,894 is available from 010-090-8666-102-0731, 100% Federal Funds from the US Department of Health and Human Services, CFDA # 93.283.

2. **Effective Date of Amendment:**

This Amendment shall take effect on May 1st, 2013, or the date of Governor and Council approval, whichever is later.

3. **Continuance of Agreement:**

Except as specifically amended and modified by the terms and conditions of this Amendment, the Agreement and the obligations of the parties hereunder, shall remain in full force and effect in accordance with the terms and conditions set forth therein.

The remainder of this page is intentionally left blank.

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

STATE OF NEW HAMPSHIRE
Division of Public Health Services

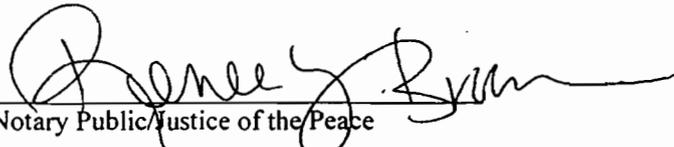
By:  3/19/13
Lisa L. Bujno, APRN Date
Bureau Chief

By: Heather A. Arnold, Assistant Director 3/8/13
Name and Title of Contractor Signator Director Date
Trustees of Dartmouth College
Legal Name of Agency

STATE OF NEW HAMPSHIRE
COUNTY OF Grafton

On this the 08 day of March 2013, before me, Renee Brown,
(name of notary)
the undersigned officer, Heather Arnold personally appeared, who acknowledged him/herself
(contract signatory)
to be the Assistant Director of the Trustees of Dartmouth College
(signatory's title) (legal name of agency)
a corporation, and that he/she, as such Assistant Director, being authorized so to do,
(signatory's title)
executed the foregoing instrument for the purposes therein contained, by signing the name of the
corporation by him/herself as Assistant Director of the Trustees of Dartmouth College
(signatory's title) (legal name of agency)
In witness whereof I hereunto set my hand and official seal.

RENEE Y. BROWN, Commissioner of Courts
My Commission Expires May 21, 2018


Notary Public/Justice of the Peace

My Commission expires:

Approved as to form, execution and substance:

OFFICE OF THE ATTORNEY GENERAL

By: Karen P. Herrick
Assistant Attorney General
KAREN P. HERRICK
Date: 25 MAR. 2013

I hereby certify that the foregoing contract was approved by the Governor and Council of the State of
New Hampshire at the Meeting on: _____.

OFFICE OF THE SECRETARY OF STATE

By: _____
Title: _____

NH Department of Health and Human Services

Exhibit A-1
Scope of Services

New Hampshire State Cancer Registry Operations

CONTRACT PERIOD: 7/1/2012 through 6/30/2014

CONTRACTOR NAME: Trustees of Dartmouth College

ADDRESS: PO Box 186, Hanover, NH 03755

Assistant Professor: Judith Rees MD

TELEPHONE: 603 653 6620

The prior Scope of Services identified in Exhibit A remains in effect. This Exhibit A-1 is in addition to the original Exhibit A and both remain in effect. The Scope of Services identified in Exhibit A of the Agreement is hereby amended to add the following services.

The Contractor shall:

1.0 The Contractor shall implement a special project for improving cancer case ascertainment at nursing homes, hospices, dermatologists, urologists, gastroenterologists, and hematologists as set forth in the following subparagraphs.

- 1.1 The Contractor shall identify the largest health care facilities whose cancer reporting is not provided by hospital cancer registries.
- 1.2 The Contractor shall write to these facilities, explain cancer case reporting as required under RSA 141-B:7, and promote the state's strategy for improving non-hospital health facility reporting.
- 1.3 Contractor staff shall visit those facilities identified in 1.1 above in person to identify the best strategy to improve facility-specific cancer case reporting.
- 1.4 Contractor staff shall set up a timetable for follow-up telephone calls or visits to each facility for audit purposes to ensure that cancer reporting is taking place in compliance with RSA 141-B:7 and He-P 304.
- 1.5 The Contractor shall retain Certified Tumor Registrars to perform routine case abstraction tasks during such times when the Contractor's permanent staff are assigned to the non-hospital cancer reporting improvement special project.

2.0 The Contractor shall retain the services of a Cancer Epidemiologist to work under the direction of State Cancer Epidemiologist Dr. Hosain to enhance the use of cancer registry data. The person proposed by the Contractor to fill the part-time Cancer Epidemiologist shall require prior approval by the Division and shall perform the following duties:

- 2.1 Work in collaboration with Division public health informatics staff to manage cancer data that will be part of the new Division Web-Based Interactive System for Direction and Outcome Management, (WISDOM) including the implementation of WISDOM.
- 2.2 Work with Division data analysts as resources allow to enhance linkage of cancer registry data with other data sets.
- 2.3 Work with Division staff to encourage the use of electronic reporting of cancer cases to the state's new health information exchange.

Amendment_1 3 6 13.doc



BOARD OF TRUSTEES

CERTIFICATE

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

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

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

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

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

Jill Mortali	Director, Office of Sponsored Projects	September 15, 2008
Martin N. Wybourne	Vice Provost for Research	July 1, 2004
Christine Bothe	Associate Director, Office of Sponsored Projects	December 1, 2011
Kathryn Page	Associate Director, Office of Sponsored Projects	July 1, 2001
Heather A. Arnold	Assistant Director, Office of Sponsored Projects	December 1, 2011

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the corporation this 8th day of March, 2013.

Marcia J. Kelly
Marcia J. Kelly, Assistant Clerk
Trustees of Dartmouth College

5/12/12



Nicholas A. Toumpas
Commissioner

José Thier Montero
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES

29 HAZEN DRIVE, CONCORD, NH 03301-6527
603-271-4483 1-800-852-3345 Ext. 4483
Fax: 603-271-7623 TDD Access: 1-800-735-2964



April 06, 2012

APPROVED F/C _____

DATE _____

APPROVED G&C #72 _____

DATE 6/6/12 _____

REQUESTED ACTION NOT APPROVED _____

His Excellency, Governor John H. Lynch
and the Honorable Executive Council
State House
Concord, New Hampshire 03301

Authorize the Department of Health and Human Services, Division of Public Health Services, Bureau of Public Health Statistics and Informatics, Office of Health Statistics and Data Management, Cancer Registry, to enter into an agreement with Trustees of Dartmouth College (Vendor #177157-B013), 11 Rope Ferry Road 6210, Box 186, Hanover NH 03755, in an amount not to exceed \$1,161,066, to operate an incidence-based statewide cancer registry system, to be effective July 1, 2012, or date of Governor and Council approval, whichever is later, through June 30, 2014. Funds are available in the following accounts for SFY 2013 and are anticipated to be available in SFY 2014 upon the availability and continued appropriation of funds in the future operating budget, with authority to adjust amounts if needed and justified, between State Fiscal years.

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS:
DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY.

Fiscal Year	Class/Object	Class Title	Job Number	Total Amount
SFY 13	102-500731	Contracts for Program Services	90080080	\$433,083.00
SFY 14	102-500731	Contracts for Program Services	90080080	\$433,083.00
			Sub-Total	\$866,166.00

05-95-90-900510-8666 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVS, HHS:
DIVISION OF PUBLIC HEALTH, BUREAU OF INFORMATICS, CANCER REGISTRY.

Fiscal Year	Class/Object	Class Title	Job Number	Total Amount
SFY 13	601-500931	State Fund Match	90056005	\$147,450.00
SFY 14	601-500931	State Fund Match	90056005	\$147,450.00
			Sub-Total	\$294,900.00
			Total	\$1,161,066.00

EXPLANATION

Funds in this agreement will be used to operate an incidence-based statewide cancer registry system in New Hampshire. The primary purpose of the New Hampshire State Cancer Registry is to identify all reportable cases of cancer in New Hampshire to provide information on the over-all burden, types, and changing patterns of cancer among residents of the state. New Hampshire RSA 141-B and New Hampshire Administrative Code He-P 304 established reporting requirements for cancer case reporting in New Hampshire. The New Hampshire State Cancer Registry's overall measure of success is to meet the standards for quality, completeness and timeliness of data as defined by the nation's standard setting organization, the North American Association of Central Cancer Registries. The purpose of this agreement is to conduct data collection, data processing, quality assurance and database management activities for the collection of cancer information for the New Hampshire State Cancer Registry in accordance with the New Hampshire Department of Health and Human Services guidelines and standards set by the National Program of Cancer Registries and the North American Association of Central Cancer Registries.

The New Hampshire Department of Health and Human Services is tasked under RSA 141-B to collect information about almost all cancers diagnosed in New Hampshire. This information furthers our understanding of cancer and is used to develop strategies and policies for its prevention, treatment, and control. The data also help determine where early detection, educational, and other cancer-related programs should be directed. The availability of data on cancer in the state allows health researchers to analyze demographic and geographic factors that affect cancer risk, early detection, and effective treatment of cancer patients.

The New Hampshire State Cancer Registry is recognized as one of the leading cancer registries in the nation, and has been the cornerstone of a substantial amount of research on cancer in the New Hampshire population. Information held in the cancer registry is strictly confidential, and is protected from unauthorized access by state of the art security systems. To date, the New Hampshire State Cancer Registry has collected detailed information on over 1.3 million cases of cancer among New Hampshire residents diagnosed from 1990 forward, and more than 8,000 new cases are added annually. Every day in New Hampshire, 20 of our residents are diagnosed with cancer and seven of our residents die due to cancer. Based on New Hampshire Department of Health and Human Services estimates, the overall cost of cancer in New Hampshire in 2008 was \$1.1 billion. Cancer surveillance helps us understand the magnitude of the cancer problem in New Hampshire, and provides us with critical data to assess the health of our New Hampshire residents and to make informed decisions about how to best direct our health-related resources and activities. This data gives us the fundamental knowledge to guide the assessment, development, and evaluation of health policy, and inform and evaluate the impact of population health programs and interventions as well as personal health decisions. Cancer registries provide a basis for public and private decisions at local, state, and national levels.

Should the Governor and Executive Council not authorize this request, we would not have a high quality cancer registry, and would not have the information necessary to improve people's health, whether it is a public education, screening, treatment or policy change. This information is also used to inform policy makers and the public to assist with setting health program priorities. The cancer registry also enables cluster investigation. Having the registry reduces the amount of time necessary to confirm the cases and helps in following through the investigations that are associated with a common exposure. Understanding the causes of disease clusters will allow us to prevent future deaths and illness from similar exposures.

The Request for Proposals was posted on the Department of Health and Human Services web site December 8, 2011 to January 20, 2012. In addition, thirteen additional mailings were sent out, and on December

16, 2011, a bidder's conference was held to alert agencies to this bid. Trustees of Dartmouth College were selected for this project through a competitive bid process.

There were two respondents to the Request for Proposals. These proposals were reviewed by a team of three reviewers, two internal and one external. All reviewers had between five and thirty years experience directing health programs and conducting research and data analysis on health related data for various public health programs. Areas of specific expertise include cancer registry activities; chronic and communicable diseases; public health infrastructure; research in occupational health and safety, and management of public health programs.

The proposals were scored on the following criteria: bidder experience with a cancer registry, capacity to perform the cancer registry operations, how closely the bidder proposed plan of operation and work plan matched the criteria specified in the Request for Proposals, and the budget.

Trustees of Dartmouth College were selected as it received the highest score. Reviewers noted that Trustees of Dartmouth College had extensive past experience with the Cancer Registry in NH, is recognized nationally, and had the qualifications and capacity to conduct the Cancer Registry as well as special studies, including several data collection support services that are available to the cancer registry. Given Trustees of Dartmouth College's experience, high score and feasible budget, they were selected as the successful bidder. The Request for Proposals scoring summary is attached.

As referenced in the Request for Proposals, Renewals Section, this competitively procured Agreement has the option to renew for two additional years, contingent upon satisfactory delivery of services, available funding, agreement of the parties and approval of the Governor and Council. These services were contracted previously with this agency in SFY 2012 in the amount of \$580,533. This represents level funding of \$580,533.

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

1. For each incident cancer case defined in Exhibit A, item number 7, collect all the data variables listed in New Hampshire administrative rule He-P 304.02.
2. The database shall be, at a minimum, in accordance with accepted Centers for Disease Control's National Program of Cancer Registries and North American Association of Cancer Registries standards.
3. The data collected is 95% complete within 12 months of date of diagnosis for cases seen in any New Hampshire hospital.
4. The data collected is 90% complete within 15 months of date of diagnosis for all cases among New Hampshire residents, regardless of where they received their cancer care.
5. The data collected is 95% complete within 24 months of date of diagnosis for all cases among NH residents, with cases identified from death certificate review and follow-up, from physician practices, from non-hospital facilities, and from out of state sources.
6. Submit to the New Hampshire Department of Health and Human Services a semi-annual review of contract progress by December 30 and June 30 of the contract period. Provide New Hampshire Department of Health and Human Services with an update of progress on all contract items.

7. At intervals specified by New Hampshire Department of Health and Human Services in the Exhibit A, the contractor will report on their progress towards meeting the performance measures, and overall program goals and objectives to demonstrate they have met the minimum required services for the proposal.

Area served: Statewide.

Source of Funds: Source of Funds is 75% Federal from Centers for Disease Control and Prevention and 25% General Funds.

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

Respectfully submitted,



José Thier Montero, MD
Director

Approved by:



Nicholas A. Toumpas
Commissioner



JTM/SC/sc

Subject: New Hampshire State Cancer Registry Operations

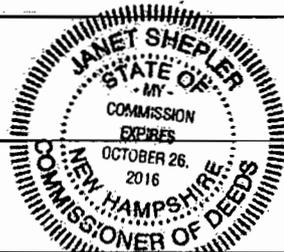
AGREEMENT

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

GENERAL PROVISIONS

1. IDENTIFICATION.

1.1 State Agency Name NH Department of Health and Human Services Division of Public Health Services		1.2 State Agency Address 29 Hazen Drive Concord, NH 03301-6504	
1.3 Contractor Name Trustees Of Dartmouth College		1.4 Contractor Address PO Box 186, Hanover NH 03755	
1.5 Contractor Phone Number 603-653-6620	1.6 Account Number 010-090-8666-102-500731 010-090-8666-601-500931	1.7 Completion Date 6/30/2014	1.8 Price Limitation \$1,161,066
1.9 Contracting Officer for State Agency Joan H. Ascheim, Bureau Chief		1.10 State Agency Telephone Number 603-271-4501	
1.11 Contractor Signature <i>Heather A. Arnold</i>		1.12 Name and Title of Contractor Signatory Heather A. Arnold, M.Ed. Assistant Director	
1.13 Acknowledgement: State of <u>NH</u> , County of <u>Grafton</u> On <u>3/5/12</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] <i>Janet Shepler</i> 3/5/12			
1.13.2 Name and Title of Notary or Justice of the Peace			
1.14 State Agency Signature <i>Joan H. Ascheim</i>		1.15 Name and Title of State Agency Signatory Joan H. Ascheim, Bureau Chief	
1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable) By: _____ Director, On: _____			
1.17 Approval by the Attorney General (Form, Substance and Execution) By: <i>John P. Herrick</i> <i>Vernice P. Herrick, Attorney</i> On: <i>3 May 2012</i>			
1.18 Approval by the Governor and Executive Council By: _____ On: _____			



NH Department of Health and Human Services

Exhibit A

Scope of Services

New Hampshire State Cancer Registry Operations

CONTRACT PERIOD: 07/01/2012 or date of G&C approval, whichever is later, through 06/30/2014

CONTRACTOR NAME: Trustees of Dartmouth College

ADDRESS: PO Box 186, Hanover NH 03755

ASSISTANT PROFESSOR: Judith Rees

TELEPHONE: 603-653-6620

The Contractor shall:

All services to be performed under this contract shall be in accordance with New Hampshire Department of Health and Human Services (DHHS), New Hampshire law RSA 141-B, New Hampshire Administrative rules He-P 304, United States Public Law 102-515, and Centers for Disease Control and Prevention (CDC), National Program of Cancer Registries (NPCR) and North American Association of Central Cancer Registries (NAACCR) standards and guidelines. The contractor shall:

1. Within seven (7) calendar days after the contract start date the contractor shall organize a Kick-off meeting. The contractor shall present for discussion and proposed modifications to the Work Plan it previously submitted as part of its Proposal. The timeline and work plan shall meet all due dates for deliverables noted in the Deliverables and Key Performance Indicators set forth in Appendix 1 of this document. Any subsequent amendments to the Work Plan shall be in writing and signed by the DHHS and the contractor. (The due dates mentioned in this document represent the DHHS's best estimates at the time of drafting of the Request for Proposal (RFP).
2. Within fourteen (14) calendar days after the Kick-off meeting and after 28 days after the contract starting date, contractor shall submit a copy of finalized Work Plan. This plan should include modifications to the technical proposal, as requested by the DHHS during the Kick-off meeting. All activities listed in the work Plan are subject to approval by the DHHS.
3. Within 30 days of the contract starting date, the contractor shall have all fully qualified staff assigned in support of the New Hampshire State Cancer Registry (NHSCR) contract.
4. Maintain the NHSCR database from a physical location within a seventy-five (75) mile radius of the DHHS, located in Concord. The rationale for this requirement is that the DHHS provides technical and administrative oversight of the NHSCR operations, which includes on-site visits to the NHSCR contractor. In addition, appropriate contractor personnel are required to attend regular meetings with DHHS staff as well as other meetings as necessary.
5. Allow full participation of the DHHS in the ongoing, onsite operations of the contractor including interacting directly with contractor staff, viewing abstract processing, participating in customizing registry software selecting edits, aspects of database management, system security, and quality assurance that the DHHS deems necessary.
6. Provide the DHHS with technical assistance and expertise on matters within the scope of work of the contract.

Cancer Registry Operation

7. Operate an incidence-based statewide cancer registry reporting system in accordance with RSA 141-B and Part He-P 304.0 of the New Hampshire Administrative Rules. Collect information and maintain an electronic

database of all incident cancer cases occurring among the New Hampshire population including all neoplasms listed in the 9th Revision of the International Classification of Diseases, ICD-9 CM codes 140-239, published by CDC, available at the CDC website <http://www.cdc.gov/nchs/icd/icd9cm.htm> or comparable ICD-O codes listed in the "International Classification of Diseases for Oncology," 3rd Edition published by the World Health Organization (WHO), available at the WHO website www.who.int/classifications/icd/adaptations/oncology/en/ but excluding:

- a. Carcinoma in-situ of skin, ICD code 232, and other malignant neoplasms of the skin, ICD code 173 with histology 8000-8110;
 - b. Benign neoplasms, ICD codes 210-219;
 - c. Carcinoma in-situ of the cervix, ICD code 233.1; and
 - d. Other neoplasms (malignant and pre-malignant) not listed above as mutually agreed to by the DHHS and the contractor.
8. Facilitate and encourage submission of reports for each incident case defined in 7.0, all the data variables listed in administrative rule He-P 304.02 by "health facilities" within an expected time frame as listed in administrative rule He-P 304.01(d) and He-P 304.01(k). Facilitation and encouragement may include writing letters, calling by telephone and personal visits to health providers and/or health facility administrators or supervisors. (*"Health Facilities" shall be defined as any governmental or private agency, department, institution, clinic, hospital, health maintenance organization, association, physician, hospice, freestanding radiation oncology, medical oncology group, in-state or out-of-state hospital pathology laboratory, nursing homes, and home health services or other similar unit that diagnoses or provides treatment for cancer.*)
9. Inform the DHHS of facilities that remain out of compliance with reporting requirements despite contractor notification in the following situations:
- a. Denial or lack of access to pathology reports or medical records;
 - b. Lack of submission of reports within 1 month of expected date; and
 - c. Lack of response to letter or other formal inquiry within 1 month;
10. Timetable of Data Deliverables:
1. At the close of the diagnosis year being evaluated for the National Data Quality Standard (formerly known as the 24-Month Standard), the NHSCR data shall meet the following five data quality criteria:
 - a. Data are 95% complete based on observed-to-expected cases as computed by CDC.
 - b. There are 3% or fewer death-certificate-only cases.
 - c. There is a 1 per 1,000 or fewer unresolved duplicate rate.
 - d. The maximum percent missing for critical data elements are:
 1. 2% age
 2. 2% sex
 3. 3% race
 4. 2% county
 - e. 99% pass a CDC-prescribed set of standard edits
 2. 90% complete for all cases among NH residents, regardless of where they received their cancer care, within 15 months of date of diagnosis.
 3. At the close of the diagnosis year being evaluated for the Advanced National Data Quality Standard (formerly known as the 12-Month Standard), the NHSCR data shall meet the following data quality criteria:
 - a. Data are 90% complete based on observed-to-expected cases as computed by CDC.
 - b. There is a 2 per 1,000 or fewer unresolved duplicate rate
 - c. The maximum percent missing for critical data elements are:
 1. 3% age
 2. 3% sex
 3. 5% race
 4. 3% county
 - d. 97% pass a CDC-prescribed set of standard edits.

Case Ascertainment Activities

11. Establish and implement case reporting from any new or existing free-standing radiation oncology facility in the state.
12. Establish and implement case reporting from any new or existing free-standing medical oncology group in the state.
13. Establish and implement electronic case finding from hospital or private pathology labs and from out-of-state pathology laboratories.
14. Perform death clearance on quarterly basis. Death clearance should be performed by matching records in the NHSCR with New Hampshire mortality data provided by the DHHS and with National Death Index., to determine the level of the NHSCR's record completeness for in-state and out-of state deaths to New Hampshire residents where cancer is identified as a cause of death.
15. For in-state deaths, the contractor shall make a determination as to the cause of and appropriate correction for cancer incidents not reported to the NHSCR. This should include contacting the certifier of the death for case follow back as necessary. For deaths of individuals in NHSCR database, the contractor shall electronically update the Vital Status, date of death and cause of death for matching cases.
16. Operate query systems that cross checks definitive reports, rapid reports, and non-reportable data sources using data linkage processes to ensure maximum case ascertainment.
17. Within 30 days after the contract start date, the contractor shall create or update the NHSCR operations manual. This manual on NHSCR procedures is for potential distribution to all reporting health providers and health facilities. The manual will provide documentation of the objectives, implementation and operation of the registry. All the contractor staff of NHSCR and DHHS shall be provided with a copy of the manual. This manual shall contain, at a minimum:
 - i. Most current reporting laws/regulations
 - ii. List of reportable diagnoses
 - iii. List of required data items
 - iv. Procedures for data processing operations including:
 1. Procedures for monitoring timeliness of reporting
 2. Procedures for receipt of data
 3. Procedures for database management including a description of the Registry Operating System (software).
 4. Procedures for conducting death certificate clearance
 5. Procedures for implementing and maintaining the quality assurance/control program
 - a. Procedures for conducting follow-back to reporting facilities on quality issues. These procedures include rules for identifying when action or further investigation is needed
 - b. Procedures for conducting record consolidation
 - c. Procedures for maintaining detailed documentation of all quality assurance operations.
 - d. Procedures for education and training
 6. Procedures for conducting data exchange including a list of states with which case-sharing agreements are in place
 7. Procedures for conducting data linkages
 - v. Procedures insuring confidentiality and data security including disaster planning
 - vi. Procedures for data release including access to and disclosure of information
 - vii. Procedures for maintaining and updating the operational manual.
18. The contractor shall revise the NHSCR operations manual when any changes are made to policies and procedures relating to the NHSCR activities based on contractor need or as requested by the DHHS. The contractor will submit the changes to the DHHS, who will review and seek revision or approve within 30 days.

19. Within 30 days after the contract start date, the contractor shall review and update existing documents for reporting facilities, including letters, user application forms, reporting requirement document, Webplus user guides, etc. Determine needed updates in consultation with the DHHS. When updates are needed, develop updated material, obtain approval of the DHHS, and provide to reporting facilities and post them on web for easier access.
20. Through site visits to New Hampshire hospitals conducted at least quarterly or as needed, review discharge, laboratory and pathology reports as well as medical charts to ensure the completeness of case reporting and accuracy for completion.

Information Technology Activities

21. Include in the technical proposal a schematic of the proposed IT set up, including a visual picture showing the configuration of the hardware (e.g. servers, computers); software and firewalls, and a written description of the configuration and this should also include a description of the kind and type of data encryption to be deployed within different components of the IT environment.
22. Within 30 days of the contract start date, provide and set up necessary computer hardware, including servers and computers for the NHSCR contractor staff, necessary to maintain the NHSCR database.
23. Within 30 days of the contract start date, establish necessary secure internet connections and local connectivity for contractor staff to access the NHSCR servers and databases.
24. Within 30 days of the contract start date, provide connectivity for all reporting facilities to the NHCSR database on secure server.
25. Maintain secure web access to the NHSCR seven days per week for Web Plus on-line data entry and data file uploading.
26. Within 30 days of the contract start date, install and utilize the current automated NHSCR data management system, developed and supported by the federal CDC, and populated with NHSCR data. Train staff in operation of CDC software systems. The contractor shall work closely with CDC programmers to update all the components of the software, as required and shall participate in the relevant CDC software users group. (The DHHS maintains the discretion to utilize any kind of data management system. There shall be no modifications or upgrades to the software without the approval of the DHHS.)
27. Restrict reporting via Web Plus data entry or file upload to those reporters who have submitted signed agreements to become Web Plus users and are therefore authorized to access the database.
28. Within 30 days of the contract start date, develop and implement procedures for the electronic submission and processing of laboratory pathology and cytology reports utilizing NAACCR standards.
29. Within 30 days of the contract start date, maintain a computerized log of facilities and personnel who report data to NHSCR (in excel or access or any other system) which includes at minimum; facility ID, name and demographic information; names and contact information of personnel (reporters and supervisors), and log of prior facility contacts.
30. Within 30 days of the contract start date, maintain a computerized log of all abstracts received from each reporting facility that includes facility ID, number of abstracts received, date received, format of data received and NAACCR version if electronic submission.
31. Upgrade or replace user software and or hardware and make necessary changes to customize software because of advancing technology and or modifications required by DHHS, NPCR or NAACCR standards. The contractor shall make further upgrade(s) or replacements(s) during the life of this contract, at an additional negotiated price, if so requested by DHHS and subject to all necessary state approvals.
32. Within 30 days of the contract start date, provide means for DHHS staff approved by the DHHS to periodically access data from NHSCR, while maintaining data security.
33. Develop and implement procedures for granting access to data to approved NHSCR staff.

Database Management Activities

34. Within 30 days of the contract start date, develop and implement procedures for the timely and accurate consolidation of cancer reports.

35. Consolidate tumor records and treatment information in accordance with standards set forth by NPCR, NAACCR or the SEER.
36. Perform routine, standard edit checks on all reports received in accordance with NPCR and NAACCR standards. The contractor shall be responsible for the accuracy of the data it codes, edits and consolidates and for maintaining the integrity of the data from year to year. At a minimum, the editing and review of data would include:
 - a. Routine visual review of abstracts and error reports;
 - b. Installation and use of the most recent standard edit set metafiles as chosen by DHHS and the contractor;
 - c. Detection of errors during editing, documentation of errors found and corrections of errors detected;
 - d. Detection and consolidation of multiple abstracts(tumor records) received during the contract that match cases reviewed in current or prior years; and
 - e. Detection and removal of duplicate consolidated cases (that is two or more consolidated records for the same tumor in an individual);
 - f. The contractor shall describe strategy for the routine, continual detection and removal of the duplicates from the NHSCR database –even after current accession year has closed.
37. Assure that the individual case records in the NHSCR automated database are computer-edited for duplicate records, invalid coding, improbable values, and inconsistencies prior to statistical processing and data compilation for analytical purposes. Areas to be edited include, but are not limited to:
 - a. Data Range Checks;
 - b. Geographic Coding Assignment;
 - c. Duplicate Record Checks;
 - d. Blank or no data items. Entries of “unknown” are to be made for all missing values that are not reported to the NHSCR and are not resolved after receipt of the report at the NHSCR;
 - e. Invalid values;
 - f. Relational items as follows:
 1. City at diagnosis field must only have values that exactly match legitimate New Hampshire City, town, or village names in list supplied by DHHS.
 2. City at diagnosis, the code for county and state of diagnosis must always agree and where city at diagnosis exists, a code for county at diagnosis must be provided.
 3. Vital status and cause of death fields must agree and cause of death must be a valid ICD9 or ICD10 cause of death code or one of the special NAACCR codes.
 4. Records should be checked to make sure that MD name is correctly entered into first and last name fields.
 5. Records should be checked to compare sex of patient and the first name of the patient as a guide for determining correct entry of the record.
 6. No logical conflicts shall exist between all the treatment diagnosis fields and the related reason for no treatment fields.
 7. Apply applicable NPCR and NAACCR Central Registry edits to data fields.
38. Geocode all cancer reports of New Hampshire residents for address and census tract, for a given year and accurately incorporate new and revised coding into NHSCR database.

Information and System Security Policies and Procedures

39. Maintain the confidentiality and integrity of information in accordance with the Health Insurance Portability and Accountability Act, Public Law 104-191 and with the Standards for Privacy of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 and those parts of the HITECH Act as applicable. The contractor shall also maintain and protect the confidentiality of the database and information obtained and maintained during this contract in accordance to NH RSA 141-B and NH Administrative Rules He-P 304 and shall acknowledge agreement with the Data Use Policy of the DHHS, which views NHSCR database as DHHS-owned database, with data release subject to restrictions and conditions.

40. Within 14 days, after initial contract start date, deliver a document summarizing administrative and technical security measures to be deployed to protect the NHSCR database and other related elements.
41. Within 60 days, after initial contract start date, furnish DHHS with final copies of its system security and integrity manual which includes plans/procedures/protocols for ensuring that the contractor's NHSCR system will be properly secured, maintained and updated throughout the contract term.
42. Within 14 days after initial contract start date, implement series of internal procedures to ensure that: (A) access to automated information is restricted to authorized persons, on a needed basis, and (B) control is maintained over all the documents that contain sensitive information to ensure that these documents are available only to authorized persons.
43. Within 10 days of delivering the document summarizing the proposed administrative and technical security measures to DHHS, implement full security measures to ensure the security and quality of all the elements in the NHSCR database, through procedures that shall include the following:
 - a. Ensure that equipment is protected from theft and accidental or deliberate damage or misuse
 - b. Ensure that once computer programs and data sets are completed and in routine use, they are protected against tampering. Carefully control access to and maintenance of computer programs and NHSCR database.
 - c. Ensure that copies of original data submitted are maintained and never altered.
 - d. Ensure that data are protected against inadvertent or deliberate destruction, modification, or dissemination.
 - e. Ensure procedures for backup, archiving, and disaster recovery for computer programs and NHSCR database.
 - f. Ensure that password are changed, access denied and other security procedures are in place to protect against ongoing access and sabotage when staff resign, are terminated, or no longer assigned to NHSCR contract.
44. The contractor shall be responsible for maintaining the security and integrity of the NHSCR's data. The contractor shall re-process data at no additional cost to the DHHS in accordance with DHHS instructions if the DHHS or contractor finds that contractor has corrupted, altered, tampered with, or improperly coded/processed any data sets during the duration of the Contract.
45. The contractor shall immediately report to the DHHS all errors or anomalies in the NHSCR data, which could reasonably be believed to suggest that security or integrity of the NHSCR or its data may be compromised. The contractor shall report to the DHHS the results of its analysis of the same and, in addition, the steps it has taken or intends to take to ensure security and integrity of the NHSCR and its data.
46. The contractor shall report to DHHS within 24 hours any breach to the NHSCR data. The contractor shall be responsible for implementing appropriate policies, procedures and protocols to identify actively breaches or threatened breaches of the NHSCR security and integrity.

Training and Education

47. Provide consultation, technical assistance, and training to assure accurate, timely and complete data from reporters (registrars, medical record personnel, providers and abstractors) at reporting facilities.
48. The contractor shall provide technical assistance by phone or in person to individual reporting facilities and providers during normal weekday business hours; response time for telephone consultation shall be no longer than one working day after request is received or for on site consultation, no longer than 10 working days.
49. The contractor shall assess the training needs of various reporting facilities; develop written guidance, policies and procedures for reporting facilities; and provide technical assistance and training for reporting facilities
50. Annually, convene state cancer registrars meeting to include educational and technical sessions to cancer registrars of New Hampshire hospitals to foster compliance with reporting requirements as developed by the DHHS.
51. Provide twice annually, web-based training and education sessions to cancer registrars of New Hampshire hospitals on topics identified by the contractor in consultation with DHHS that will help improve cancer reporting. These may include instruction on proper cancer coding; use of edit sets; new software etc.

Quality Control and Assurance (QA/QC) Activities

52. Carry out quality assurance and control activities to assure appropriate data coding, consolidation and documentation, and assure complete case ascertainment and high quality data from all reporting sources in accordance with NH rules and regulations, NAACCR and NPCR standards.
53. Within 30 days of contract start date, develop and implement a QA/QC implementation plan (including timeline) which at minimum includes the following activities into routine operations:
 - a. Assignment of qualified individuals to perform QA/QC activities.
 - b. A routine schedule for edits and internal management reports.
 - c. A routine schedule for internal audits for QA/QC and data security and provision of these reports to DHHS. The plan shall include written procedures for the internal monitoring of quality assurance procedures and written procedures /steps implemented if quality control goals are not met.
 - d. Procedures for documenting edits/changes made to data during processing
 - e. Routine training, assessment and professional development of the contractors' staff.
54. Perform case finding activities utilizing traditional and non-traditional sources to assure timeliness and completeness of cancer reporting.
55. By July 31st of each year, obtain from each reporting hospital "diagnostic index" for case finding at all hospital reporting facilities. A diagnostic index is a detailed patient listing of all discharges meeting certain definitions in medical records coding. The contractor shall encourage facilities to submit electronic diagnostic indices.
56. By October 31st of each year, the contractor shall complete Death Clearance activities as described above in Item Number 13 and 14.
57. For each hospital, the key variables specified by NAACCR and NPCR will be selected for visual editing of 100 cases. If, after review and discussion with the hospital registrar, the error rate identified in total from these fields in the 100 reports is greater than 2%, then the NHSCR will continue to visually edit cases from that hospital and will work with the hospital registrar to improve abstracting.
58. Cleanliness of the database shall be, at a minimum, in accordance with accepted NAACCR standards. A 2% error rate threshold shall be the guide for visual editing of hospital registry accuracy.

Reporting Activities

59. Produce quarterly timeliness and completeness reports by hospital to monitor case reporting activities. Supply aggregate timeliness and completeness reports to DHHS on a quarterly basis, stating which hospitals are delinquent in their reporting and the steps taken to improve reporting from delinquent hospitals.
60. Provide the DHHS with a commentary relating to the annual reports provided by NPCR and NAACCR. Contingent upon receipt of complete death certificate data from New Hampshire Vital Records provide an annual report monitoring completeness estimating the percent of cases with histological verification (HV%) and percent of cases identified by death clearance only (DCO%). Submit a report to DHHS upon completion of the contract period or reasonable amount of time when the NAACCR and NPCR reports are available.
61. Prepare and submit to the DHHS staff a semi-annual review of contract progress by December 30 and June 30 of the contract period. Provide Division of Public Health Services with an update of progress on all contract items through the routine semi-annual NHSCR progress report or work plan.
62. Cooperate with any audit of NHSCR for data quality by NPCR or NPCR designated contractor. Submit to DHHS a summary of this audit upon completion.
63. Provide by January 30th of each year of the contract, a finalized data set that has undergone complete QA/QC process. The extract of the data would cover from January 1, 1990 to date. The goal for this data set is prescribed under data deliverables.
64. Provide the DHHS an extract of the complete NHSCR database from January 1, 1990 to date upon request.
65. Upon approval from the DHHS, the contractor shall submit finalized datasets to NAACCR and to NPCR as specified by the NAACCR and NPCR standards and Call for Data requirements. The contractor shall submit copies of each of these submissions to DHHS.
66. Provide cancer case data to and receive data from states with which DHHS has a data exchange agreement, in accordance with the terms of the exchange agreement. The data shall be submitted using the agreed upon

NAACCR format and will have been edited to the best extent possible. The DHHS currently has exchange agreements with eight (8) states and additional agreements may be executed by the DHHS during the life of this contract and shall be accommodated by the contractor.

67. Upon approval of the DHHS, provide selected health researchers, with electronic copies of NHSCR data for certain specific data elements requested and cleared by DHHS.
68. Upon approval from the DHHS, provide data to the Vermont Breast and Cervical Program for breast and cervical cancer cases among Vermont residents diagnosed in New Hampshire in accordance with the program's approved application for data release by DHHS.
69. Upon approval from the DHHS, provide breast cancer case data to the NH Mammography Network in accordance with the program's approved application for data release by DHHS; receive cancer case data from the NH Mammography Network.
70. Upon approval from the DHHS, provide colorectal cancer case data to the NH Colorectal Cancer Screening Program in accordance with the program's approved application for data release by DHHS.
71. Direct any requests for data or analysis of NHSCR data from researchers, the media or general public to the DHHS within three (3) working days of receipt of the request.

Other Programmatic Activity

72. The contractor shall make available key personnel to meet with appropriate DHHS personnel (Not to exceed 15 or be less than four (4) meetings) to discuss, policies and procedures, ongoing activities, contract deliverables, performance measures, review contract performance and transition to new contractor, etc.
73. The contractor may include travel funds for appropriate staff to attend the National Cancer Registrars Association (NCRA) and NAACCR meetings annually for staff development.
74. Convene annually New Hampshire State Cancer Registry Advisory Panel.
75. Participate as an active member when needed in New Hampshire Comprehensive Cancer Collaboration.
76. Participate as an active member with DHHS to collaborate in applying for grants that DHHS is interested, regardless as to who receives the actual funding. Both DHHS and contractor agree to consider the others' expenses and needs for operation and program growth when applying for grants and distribution of financial resources when funding is received.
77. Provide Ad-hoc services related to cancer epidemiology. Working with DHHS staff at DHHS offices; the time spent may be up to 12 hours per week on such tasks, as long as suitably qualified staff is available. These tasks will be mutually agreed upon by the contractor and the DHHS, and supervised by the DHHS staff. Tasks associated with these services may include:
 - a. Assist in the preparation of data and narrative for the annual cancer report for New Hampshire;
 - b. Assist in the investigation of cancer clusters and response to concerns about the occurrence of cancer clusters in New Hampshire;
 - c. Assist with the preparation of manuscripts for publication and develop preparatory materials for professional meetings based on the DHHS needs.

Centers for Disease Control and Prevention (CDC) Cooperative Agreement Activities

78. Assist in drafting goals and program objectives, progress reports and NHSCR budgets as requested by DHHS for the purposes of the New Hampshire's application for the CDC Continuing Cooperative Agreement for Enhancement of State Cancer Registries.
 - a. Provide all contractor-specific documentation and assurances necessary for the application.
 - b. The contractor agrees that the application for the CDC Cooperative Agreement will be submitted for and all funding will be awarded to the DHHS.
 - c. Identify contractor contributions to the NHSCR effort, not state general funds or federal funds that would be applied to a direct or in-kind match that may be required for application for the CDC cooperative agreement.
 - d. Informs the DHHS within one (1) working day of any cooperative agreement related inquiries by CDC project or grants management staff.

- e. Appropriate representatives from the contractor staff shall represent the NHSCR on the NPCR and NAACCR- task force, users group and or committees to learn recent updates, issues and share NH experiences with all other states and will keep DHHS fully informed of all such activities.
- f. Where appropriate, NHSCR will communicate directly with NPCR and NAACCR on technical matters of cancer surveillance, standards and submissions to NPCR and NAACCR and will keep DHHS fully informed of all such activities.

Transition Activities

79. Assist with transition to a new vendor for the subsequent solicitation of this contract if incumbent vendor is not successful offeror in the subsequent solicitation. Within two (2) months of the end of the contract term:
- a. Provide the new vendor with copy of latest version of the NHSCR database; the reporters' database; preregistration log; and the original copies of all the backups of the database.
 - b. Write up procedures used to purge all NHSCR data from vendor's hardware and send the procedures to DHHS for review and approval. After approval of the procedures by the DHHS, purge all NHSCR data from the hardware of vendor.
 - c. Within 30 days of the contract start date train up to four people employed by the new vendor at the site of and using the hardware and software of the vendor. Train on how to administer the database of the NHSCR; including how to change edits; managing abstracts; create date sets for DHHS, for NAACCR and NPCR; perform data exchange with other states. The training is anticipated to involve at least the vendor's database manager and QA supervisor for approximately two days.
 - d. Provide the DHHS with any: hard copy of abstracts and pathology reports submitted by reporting facilities; electronic diskettes; and all documentation of interaction with reporting facilities.
 - e. Provide DHHS with a hard and electronic copy of the latest version of the operation manual; system security and integrity manual; and all other materials developed for the work process of NHSCR during the contract process.
 - f. Close the web access for reporting facilities so that facilities can no longer upload data of NHSCR data to the incumbent vendor.

Appendix 1: Deliverables and Key Performance Indicators

All date references in this paragraph shall be used no later than context for this contract unless otherwise specifically noted in the main body of the contract. All time periods are calendar days and not business days unless otherwise specifically stated in the main body of this RFP.

Description of Key Variables	Item Number	Initial Term
Kick -Off Meeting after contract start Date	1	7 days
Revised Work Plan	2	28 days
Fully Qualified Staff	3	30 days
Allow DHHS Participation	5	Ongoing
Case Reporting	11-13	Ongoing
Create/Update operation manual	17	30 days
IT infrastructure/Webserver	22	30 Days
Obtain prior NHSCR data	26	30 days
Install Registry Software and prior data	27	30 days
Processes for laboratory and pathology reports	29	30 days
Reporters database	30	30 days
Registration log	32	30 days
Upgrade/Replace software	34	ongoing

DHHS data access	35	30 days
Procedures for Consolidation of cases and reports	37	30 days
Run edit checks	39-40	Ongoing
Geocoding	41	Ongoing
System security and policies and procedures	43-46	14-60 days
Responsibility for consultation/assessment	50-51	Ongoing
QA/QC Plan	56	30 Days
Case Finding and Diagnostic Indices	58	July 31 of each year
Death Clearance	13-14 & 59	October 31 of each year
Quarterly Facility Reports	62	Once in 4 months
NPCR and NAACCR Annual Report	63	Yearly
Semi Annual progress Report	64	December 30 & June 30 of each year
Final Incidence dataset	66	January 30 of each year
Extract of Incidence dataset	67	Ongoing
Submit data to NPCR	68	November 30 of each year
Submit data to NAACCR	68	November 30 of each year
Interstate Data Exchange	69	Ongoing
Release of Data to researchers	70	Ongoing
Attend Meetings	75	Ongoing
CDC Cooperative Agreement Activities	81	Ongoing
Transition Activities	82	2 months

**Appendix 2: Case Finding Codes
NEW HAMPSHIRE STATE CANCER REGISTRY
CASEFINDING LIST EFFECTIVE JANUARY 1, 2004**

<u>ICD-9-CM Codes</u>	<u>Diagnosis (in preferred ICD-O-3 terminology)</u>
042	AIDS (review cases for AIDS-related malignancies)
140.0-208.9	Malignant neoplasms
203.1	Plasma cell leukemia (9733/3)
205.1	Chronic neutrophilic leukemia (9963/3)
225.0	Benign neoplasm of brain
225.1	Benign neoplasm of cranial nerves
225.2	Benign neoplasm of cerebral meninges; cerebral meningioma
225.3	Benign neoplasm of spinal cord, cauda equina
225.4	Benign neoplasm of spinal meninges; spinal meningioma
225.8	Benign neoplasm of other specified sites of nervous system
225.9	Benign neoplasm of nervous system, part unspecified
227.3	Benign neoplasm of pituitary, craniopharyngeal duct, craniobuccal pouch, hypophysis, Rathke's pouch, sella turcica
227.4	Benign neoplasm of pineal gland, pineal body
230.0 – 234.9	Carcinoma in situ
237.0	Neoplasm of uncertain behavior of pituitary gland and craniopharyngeal duct
237.1	Neoplasm of uncertain behavior of pineal gland
237.5	Neoplasm of uncertain behavior of brain and spinal cord
237.6	Neoplasm of uncertain behavior of meninges: NOS, cerebral, spinal
237.70	Neurofibromatosis, Unspecified von Recklinghausen's Disease
237.71	Neurofibromatosis, Type One von Recklinghausen's Disease
237.72	Neurofibromatosis, Type Two von Recklinghausen's Disease
237.9	Neoplasm of uncertain behavior of other and unspecified parts of nervous system; cranial nerves

238.4 Polycythemia vera (9950/3)
 238.6 Solitary plasmacytoma (9731/3)
 238.6 Extramedullary plasmacytoma (9734/3)
 238.7 Chronic myeloproliferative disease (9960/3)
 238.7 Myelosclerosis with myeloid metaplasia (9961/3)
 238.7 Essential thrombocythemia (9962/3)
 238.7 Refractory cytopenia with multilineage dysplasia (9985/3)
 238.7 Myelodysplastic syndrome with 5q-syndrome (9986/3)
 238.7 Therapy –related myelodysplastic syndrome (9987/3)
 273.2 Gamma heavy chain disease; Franklin’s disease
 273.3 Waldenstrom’s macroglobulinemia
 284.9 Refractory anemia (9980/3)
 285.0 Refractory anemia with ringed sideroblasts (9982/3)
 285.0 Refractory anemia with excess blasts (9983/3)
 285.0 Refractory anemia with excess blasts in transformation (9984/3)
 288.3 Hypereosinophilic syndrome (9964/3)
 289.8 Acute myelofibrosis (9932/3)
 V07.3 Other prophylactic chemotherapy (screen carefully for miscoded malignancies)
 V07.8 Other specified prophylactic measure
 V10.0-V10.9 Personal history of malignancy (review these for recurrences, subsequent primaries, and/or subsequent treatment)
 V58.0 Admission for radiotherapy
 V58.1 Admission for chemotherapy
 V71.1 Observation for suspected malignant neoplasm
 V76.0-V76.9 Special screening for malignant neoplasm

NH Department of Health and Human Services

Exhibit B

Purchase of Services
Contract Price

New Hampshire State Cancer Registry Operations

CONTRACT PERIOD: 07/01/2012 or date of G&C approval, whichever is later, through 06/30/2014

CONTRACTOR NAME: Trustees of Dartmouth College

ADDRESS: PO Box 186, Hanover NH 03755

ASSISTANT PROFESSOR: Judith Rees

TELEPHONE: 603-653-6620

Vendor #177157-B013

Job #90080080

90056005

Appropriation 010-090-8666-102-500731

010-090-8666-601-509731

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

\$866,166 for the NH Cancer Registry Enhancements, funded from 100% federal funds from the Centers for Disease Control (CDC) (CFDA #93.283).

\$294,900 for the NH Cancer Registry, funded from 100% general funds.

TOTAL: \$1,161,066

2. The Contractor agrees to use and apply all contract funds from the State for direct and indirect costs and expenses including, but not limited to, personnel costs and operating expenses related to the Services, as detailed in the attached budgets. Allowable costs and expenses shall be determined by the State in accordance with applicable state and federal laws and regulations. The Contractor agrees not to use or apply such funds for capital additions or improvements, entertainment costs, or any other costs not approved by the State.
3. Invoices shall be submitted by the Contractor to the State in a form satisfactory to the State for each of the Service category budgets. Said invoices shall be submitted within twenty (20) working days following the end of the month during which the contract activities were completed, and the final invoice shall be due to the State no later than sixty (60) days after the contract Completion Date. Said invoice shall contain a description of all allowable costs and expenses incurred by the Contractor during the contract period.
4. Payment will be made by the State agency subsequent to approval of the submitted invoice and if sufficient funds are available in the Service category budget line items submitted by the Contractor to cover the costs and expenses incurred in the performances of the services.
6. The Contractor may amend the contract budget for any Service category through line item increases, decreases, or the creation of new line items provided these amendments do not exceed the contract price for that particular Service category. Such amendments shall only be made upon written request to and written approval by the State. Budget revisions will not be accepted after June 20th of each contract year.
7. The Contractor shall have written authorization from the State prior to using contract funds to purchase any equipment with a cost in excess of three hundred dollars (\$300) and with a useful life beyond one year.

Contractor Initials: HA

Date: 3/5/12

NH Department of Health and Human Services

Exhibit C

SPECIAL PROVISIONS

1. **Contractors Obligations:** The Contractor covenants and agrees that all funds received by the Contractor under the Contract shall be used only as payment to the Contractor for services provided to eligible individuals and, in the furtherance of the aforesaid covenants, the Contractor hereby covenants and agrees as follows:
2. **Compliance with Federal and State Laws:** If the Contractor is permitted to determine the eligibility of individuals such eligibility determination shall be made in accordance with applicable federal and state laws, regulations, orders, guidelines, policies and procedures.
3. **Time and Manner of Determination:** Eligibility determinations shall be made on forms provided by the Department for that purpose and shall be made and remade at such times as are prescribed by the Department.
4. **Documentation:** In addition to the determination forms, required by the Department, the Contractor shall maintain a data file on each recipient of services hereunder, which file shall include all information necessary to support an eligibility determination and such other information as the Department requests. The Contractor shall furnish the Department with all forms and documentation regarding eligibility determinations that the Department may request or require.
5. **Fair Hearings:** The Contractor understands that all applicants for services hereunder, as well as individuals declared ineligible have a right to a fair hearing regarding that determination. The Contractor hereby covenants and agrees that all applicants for services shall be permitted to fill out an application form and that each applicant or re-applicant shall be informed of his/her right to a fair hearing in accordance with Department regulations.
6. **Gratuities or Kickbacks:** The Contractor agrees that it is a breach of this Contract to accept or make a payment, gratuity or offer of employment on behalf of the Contractor, any Sub-Contractor or the State in order to influence the performance of the Scope of Work detailed in Exhibit A of this Contract. The State may terminate this Contract and any sub-contract or sub-agreement if it is determined that payments, gratuities or offers of employment of any kind were offered or received by any officials, officers, employees or agents of the Contractor or Sub-Contractor.
7. **Retroactive Payments:** Notwithstanding anything to the contrary contained in the Contract or in any other document, contract or understanding, it is expressly understood and agreed by the parties hereto, that no payments will be made hereunder to reimburse the Contractor for costs incurred for any purpose or for any services provided to any individual prior to the Effective Date of the Contract and no payments shall be made for expenses incurred by the Contractor for any services provided prior to the date on which the individual applies for services or (except as otherwise provided by the federal regulations) prior to a determination that the individual is eligible for such services.
8. **Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractor's costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party fundors for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party fundors, the Department may elect to:

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

Contractor Initials: HA

Date: 3/5/12

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

8.3 Demand repayment of the excess payment by the Contractor in which event failure to make such repayment shall constitute an Event of Default hereunder. When the Contractor is permitted to determine the eligibility of individuals for services, the Contractor agrees to reimburse the Department for all funds paid by the Department to the Contractor for services provided to any individual who is found by the Department to be ineligible for such services at any time during the period of retention of records established herein.

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

9. **Maintenance of Records:** In addition to the eligibility records specified above, the Contractor covenants and agrees to maintain the following records during the Contract Period:

9.1 **Fiscal Records:** Books, records, documents and other data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor during the Contract Period, said records to be maintained in accordance with accounting procedures and practices which sufficiently and properly reflect all such costs and expenses, and which are acceptable to the Department, and to include, without limitation, all ledgers, books, records, and original evidence of costs such as purchase requisitions and orders, vouchers, requisitions for materials, inventories, valuations of in-kind contributions, labor time cards, payrolls, and other records requested or required by the Department.

9.2 **Statistical Records:** Statistical, enrollment, attendance, or visit records for each recipient of services during the Contract Period, which records shall include all records of application and eligibility (including all forms required to determine eligibility for each recipient), records regarding the provision of services and all invoices submitted to the Department to obtain payment for such services.

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

10. **Audit:** Contractor shall submit an annual audit to the Department within 60 days after the close of the agency fiscal year. It is recommended that the report be prepared in accordance with the provision of Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non Profit Organizations" and the provisions of Standards for Audit of Governmental Organizations, Programs, Activities and Functions, issued by the US General Accounting Office (GAO standards) as they pertain to financial compliance audits.

10.1 **Audit and Review:** During the term of this Contract and the period for retention hereunder, the Department, the United States Department of Health and Human Services, and any of their designated representatives shall have access to all reports and records maintained pursuant to the Contract for purposes of audit, examination, excerpts and transcripts.

10.2 **Audit Liabilities:** In addition to and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department, all payments made under the Contract to which exception has been taken or which have been disallowed because of such an exception.

11. **Confidentiality of Records:** All information, reports, and records maintained hereunder or collected in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directed connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is prohibited except on written consent of the recipient, his attorney or guardian.

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

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

12.1 Interim Financial Reports: Written interim financial reports containing a detailed description of all costs and non-allowable expenses incurred by the Contractor to the date of the report and containing such other information as shall be deemed satisfactory by the Department to justify the rate of payment hereunder. Such Financial Reports shall be submitted on the form designated by the Department or deemed satisfactory by the Department.

12.2 Final Report: A final report shall be submitted within thirty (30) days after the end of the term of this Contract. The Final Report shall be in a form satisfactory to the Department and shall contain a summary statement of progress toward goals and objectives stated in the Proposal and other information required by the Department.

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

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

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

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

16. **Insurance:** Select either (1) or (2) below:

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

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

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

Insurance Requirement for (2) - All other contractors who do not qualify for RSA 21-I:13, XIV, (Supp. 2006), Agreement P-37 General Provisions, 14.1 and 14.1.1. Insurance and Bond, shall apply: The Contractor shall, at its sole expense, obtain and maintain in force, and shall require any subcontractor or assignee to obtain and maintain in force, both for the benefits of the State, the following insurance: comprehensive general liability insurance against all claims of bodily injury, death or property damage, in amounts of not less than \$250,000 per claim and \$2,000,000 per incident or occurrence. *These amounts MAY be modified if the State of NH determines contract activities are a risk of lower liability.*

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

17. Renewal:

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

18. Subparagraph 4 of the General Provisions of this contract, Conditional Nature of Agreement, is replaced as follows:

4. CONDITIONAL NATURE OF AGREEMENT.

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

19. Subparagraph 10 of the General Provisions of this contract, Termination, is amended by adding the following language;

- 10.1 The State may terminate the Agreement at any time for any reason, at the sole discretion of the State, 30 days after giving the Contractor written notice that the State is exercising its option to terminate the Agreement.

- 10.2 In the event of early termination, the Contractor shall, within 15 days of notice of early termination, develop and submit to the State a Transition Plan for services under the Agreement, including but not limited to, identifying the present and future needs of clients receiving services under the Agreement and establishes a process to meet those needs.
- 10.3 The Contractor shall fully cooperate with the State and shall promptly provide detailed information to support the Transition Plan including, but not limited to, any information or data requested by the State related to the termination of the Agreement and Transition Plan and shall provide ongoing communication and revisions of the Transition Plan to the State as requested.
- 10.4 In the event that services under the Agreement, including but not limited to clients receiving services under the Agreement are transitioned to having services delivered by another entity including contracted providers or the State, the Contractor shall provide a process for uninterrupted delivery of services in the Transition Plan.
- 10.5 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.



BOARD OF TRUSTEES

CERTIFICATE

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

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

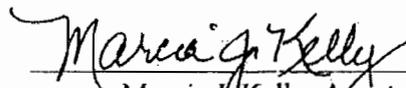
I further certify that said vote remains in full force and effect as of the date hereof and is not contrary to any provision of the Charter of said corporation.

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

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

Jill Mortali	Director, Office of Sponsored Projects	September 15, 2008
Martin N. Wybourne	Vice Provost for Research	July 1, 2004
Christine Bothe	Associate Director, Office of Sponsored Projects	December 1, 2011
Kathryn Page	Associate Director, Office of Sponsored Projects	July 1, 2001
Heather A. Arnold	Assistant Director, Office of Sponsored Projects	December 1, 2011

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of the corporation this 5th day of March, 2012.



Marcia J. Kelly, Assistant Clerk
Trustees of Dartmouth College