



21 MTT

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

Nicholas A. Toumpas  
Commissioner

Maggie Bishop  
Director

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

January 27, 2014

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

**REQUESTED ACTION**

100% Federal funds

Authorize the Department of Health and Human Services, Division for Children, Youth and Families to enter into a **retroactive sole source** agreement with the Trustees of Dartmouth College, Dartmouth College, Office of Sponsored Projects, 11 Rope Ferry Road #6210, Hanover, NH 03755-1404 (Vendor Code # 233097) to improve permanency and wellbeing outcomes for children adopted through the Department, in an amount not to exceed \$2,156,447 retroactive to October 1, 2013 effective upon Governor and Executive Council approval, through January 1, 2019.

Funds are available in SFY 2014 and are anticipated to be available in SFYs 2015 through 2019 based upon the available of future federal grant funding and continuing appropriation of funds in future operating budgets with authority to adjust the amounts between State Fiscal Years if needed and justified.

**05-95-42-421010-89030000 HEALTH AND HUMAN SERVICES DEPT OF, HHS: HUMAN SERVICES, CHILD PROTECTION, ADOPTION TRAUMA GRANT**

State Fiscal Year	Class/Object	Class Title	Activity Number	Budget
2014	102-50731	Contracts for Program Services	42100300	\$293,335
2015	102-50731	Contracts for Program Services	42100300	\$461,958
2016	102-50731	Contracts for Program Services	42100300	\$438,245
2017	102-50731	Contracts for Program Services	42100300	\$424,763
2018	102-50731	Contracts for Program Services	42100300	\$429,920
2019	102-50731	Contracts for Program Services	42100300	\$108,226
			<b>Total:</b>	<b>\$2,156,447</b>

**EXPLANATION**

This request is **sole source** and **retroactive** because prior identification and justification of the vendor as a grant partner was required as part of the Federal grant application process. The grant application

for the Children's Bureau Promoting Well Being and Adoption after Trauma grant required the Department identify and justify any agencies or organizations that would be critical to successfully implementing the Department's proposal to improve permanency and wellbeing outcomes for children adopted through the Department. Further, the Department was required to assert that any partners identified are implementation ready. Prior identification of grant partners is becoming a part of many federal grant application requirements. Due to the partnership and work of the Dartmouth Trauma Intervention and Research Center, the Trustees of Dartmouth College was identified as the Contractor who was implementation ready. Prior identification and justification of partners ensures cost effectiveness for the State and the Federal government.

The Department originally submitted the grant application on August 5, 2013 for review by the United States Department of Health and Human Services Children's Bureau. The Department was notified of grant approval on October 1, 2013 and immediately began work to put the necessary documentation together for the contracting process. The Notice of Award was signed on November 6, 2013 with a grant budget period beginning October 1, 2013 through January 1, 2019. This request is **retroactive** because the Division's grant partner immediately began work on this project upon being notified that the grant was approved by the US Department of Health and Human Services.

Through this contract, the Contractor will replace the current resource family assessment process with an evidence-informed structured decision-making model, which incorporates a matching component such as Structured Analysis Family Evaluation (SAFE) or a similar model of family assessment, which provides a structured decision making model to guide the family assessment process. This structured decision making model is modeled after the type of structured decision-making that is often used in assessing for safety and risk in child protection cases. The new family assessment process will assist the Department with creating better matches between foster families and the children placed with them, which will lead to timely permanency and stable placements. The Contractor will train permanency workers and supervisors in each district office on how to use evidence-based screening and assessment tools which will inform case planning, which usually includes referrals to evidence-based treatments for those children who have experienced significant and complex trauma, resulting from abuse and neglect. These evidence-based treatments assist these children so they can eventually overcome past experiences and learn to function in a family unit.

Using the train-the-trainer model, the Contractor will train mental health providers on family-centered evidence-based treatments that will benefit adoptive parents who need special interventions to address family system changes, which must be in place in order to successfully parent children with trauma issues. The Contractor will ensure there are enough trained mental health providers, statewide, to meet the needs of the State's pre- and post-adoptive families. Lastly, the Contractor will assemble an advisory board that will serve the Contractor by identifying needs of pre- and post-adoptive children and families, as well as training needs in the mental health field. The advisory board will be comprised of key stakeholders, including families and youth.

The Contractor is the only trauma research and intervention center in the State with experience in research and evaluation of evidence-based trauma treatments. Not only does the Contractor have the existing infrastructure that was developed to work in collaboration with the Department that would support this project, but the Contractor has a long term, ongoing relationship with the Department through several other federally funded research initiative projects. These projects have been implemented in partnership with the Department and mental health providers, statewide, and include the previous Bridge Project and the current Partners for Change project.

The Contractor has been instrumental in assisting with the spread of evidence-based treatments for traumatized children in the State through the Bridge Project and the Partners for Change project. These projects initiated trauma screenings for youth and provided training in evidence-based trauma treatments to over 300 mental health providers across the state. Additionally, the projects included the development of a database, which the Department can build upon, that stores and tracks screening outcomes used in case planning.

The grant application required the Department to prove that the partnering agency had the infrastructure to support this initiative, which was accomplished through these aforementioned partnerships. The Contractor has been involved in the State's Systems of Care project and has a good working relationship with the new Care Management Organizations and the staff that are working on the implementation of these new programs. The Contractor has the national leadership, credibility, qualifications, ability and infrastructure to provide the necessary services to assist the Department in implementing this current project that will improve permanency and wellbeing outcomes for adopted youth and is highly respected by our federal partners due to the important work they have been doing in this field.

Should the Governor and Executive Council not approve this request; it will result in the loss of much needed resources to meet the needs of our pre- and post-adoptive population. Without this contract New Hampshire will continue to have a lack of pre-adoptive families that can meet the needs of the waiting children. Further, the children in State care will continue to have placement disruptions in foster homes and there will be a decline in the wellbeing outcomes of adopted children. If this request is not approved, New Hampshire will experience: a decrease in the wellbeing outcomes of children adopted from the child welfare system; a decrease in the number of adoptive homes in our state; and a decrease in the number of children adopted from foster care. Without this contract, the State will miss an opportunity to impact the lives of some of the most vulnerable children in the State system.

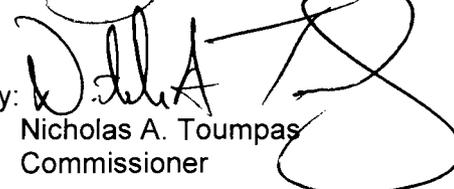
Area served: Statewide

Source of funds: 100% federal funds.

In the event that the federal funds become no longer available, general funds will not be requested to support this program.

Respectfully submitted,

  
Mary Ann Cooney  
Associate Commissioner

Approved by:   
Nicholas A. Toumpas  
Commissioner

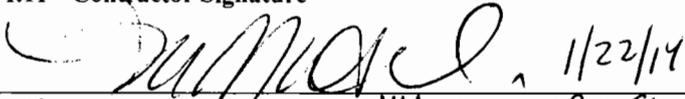
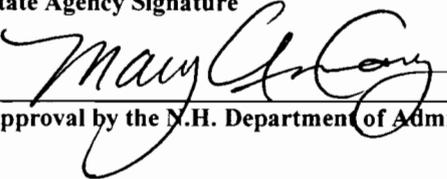
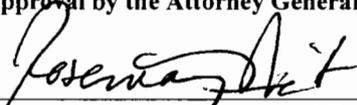
Subject: Dartmouth Trauma Intervention and Research Center Contract to Improve Permanency and Well-Being Outcomes for Children Adopted through DCYF

**AGREEMENT**

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

**GENERAL PROVISIONS**

**1. IDENTIFICATION.**

<b>1.1 State Agency Name</b> Department of Health & Human Services Division for Children, Youth and Families		<b>1.2 State Agency Address</b> 129 Pleasant Street Concord, NH 03301	
<b>1.3 Contractor Name</b> Trustees of Dartmouth College		<b>1.4 Contractor Address</b> Dartmouth College Office of Sponsored Projects 11 Rope Ferry Road #6210 Hanover, NH 03755-1404	
<b>1.5 Contractor Phone Number</b> 603-646-6575	<b>1.6 Account Number</b> 010-402-89030000-102-500731	<b>1.7 Completion Date</b> January 1, 2019	<b>1.8 Price Limitation</b> \$2,156,447
<b>1.9 Contracting Officer for State Agency</b> Eric D. Borrin		<b>1.10 State Agency Telephone Number</b> (603) 271-9558	
<b>1.11 Contractor Signature</b> 		<b>1.12 Name and Title of Contractor Signatory</b> Jill Mortali, Director	
<b>1.13 Acknowledgement:</b> State of <u>NH</u> , County of <u>Grafton</u> On <u>1/22/14</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.			
<b>1.13.1 Signature of Notary Public or Justice of the Peace</b> [Seal] 			
<b>1.13.2 Name and Title of Notary Public or Justice of the Peace</b> HEATHER A. ARNOLD Notary Public - New Hampshire My Commission Expires August 10, 2016			
<b>1.14 State Agency Signature</b> 		<b>1.15 Name and Title of State Agency Signatory</b> Mary Ann Cooney Associate Commissioner	
<b>1.16 Approval by the N.H. Department of Administration, Division of Personnel (if applicable)</b> By: _____ Director, On: _____			
<b>1.17 Approval by the Attorney General (Form, Substance and Execution)</b> By:  On: 2-4-14			
<b>1.18 Approval by the Governor and Executive Council</b> By: _____ On: _____			

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

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

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

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

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

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

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

**8. EVENT OF DEFAULT/REMEDIES.**

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

8.1.1 failure to perform the Services satisfactorily or on schedule;

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

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

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

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

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

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

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

#### 9. DATA/ACCESS/CONFIDENTIALITY/PRESERVATION.

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

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

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

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

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

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

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

#### 14. INSURANCE.

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

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

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

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

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

*Jmm*  
1/22/11

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

**15. WORKERS' COMPENSATION.**

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

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

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

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

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

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

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

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

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

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

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

Handwritten signature and date: 1/22/14



## Exhibit A

### Scope of Services

#### 1. PROVISIONS APPLICABLE TO ALL SERVICES

- 1.1 The Contractor agrees that, to the extent future legislative action by the New Hampshire General Court or federal or state court orders may have an impact on the Services described herein, the State Agency has the right to modify Service priorities and expenditure requirements under this Agreement so as to achieve compliance therewith.
- 1.2 The Contractor shall pursue any and all appropriate public sources of funds that are applicable to the funding of the Services, operations prevention, acquisition, or rehabilitation. Appropriate records shall be maintained by the Contractor to document actual funds received or denials of funding from such public sources of funds.

#### 2. Services To Be Provided

The Contractor hereby covenants and agrees that during the term of this Agreement, it will provide services to improve social emotional well-being, family functioning, and placement stability for children in pre adoptive and post adoptive families in the New Hampshire child Welfare system. These services include but are not limited to:

- 2.1. The Contractor will replace the current resource family assessment process with an evidence-informed structured decision-making model, which incorporates a matching component such as Structured Analysis Family Evaluation (SAFE) or a similar model of family assessment model which provides a structured decision making model to guide the family assessment process modeled after the type of structured decision-making that is often used in assessing for safety and risk in child protection cases.
  - 2.1.1. The contractor will work in collaboration with the Divisions training partner to coordinate training in the SAFE, or similar family assessment model for all resource workers, their supervisors and staff from all private child placing agencies.
  - 2.1.2. The contractor will measure and evaluate the efficacy of this home assessment model.
  - 2.1.3. The contractor will provide assistance to the division in develop new training for families based upon the needs identified using the SAFE or similar family assessment model.
- 2.2. The contractor will assist the division with identifying and implementing screening and assessment measures specifically for the population of pre and post adopted children and their families. This will include:
  - 2.2.1. Training permanency workers and supervisors in each district office in the utilization and application of screening measures
  - 2.2.2. The development of a platform where results of screening can be stored and utilized by Division staff



## Exhibit A

---

- 2.2.3. Developing training to assist staff in utilizing results of screening in their case planning and in the referral of children for evidenced based treatments.
- 2.3. The Contractor will provide training in family centered evidence-based treatments using a train the trainer model to providers in the Community Mental Health Centers, (CMHC's) and the private practitioners who provide services to the families and children involved in child welfare and will ensure that there are enough trained providers to meet the needs identified through the screening and assessments.
- 2.4. The contractor will assemble an advisory board, which shall be comprised of key stakeholders including families and youth.
- 2.5. The Contractor will meet all requirements set forward by the Children's Bureau including:
  - 2.5.1. Planning and Implementation plans
  - 2.5.2. Scheduling all travel and planning required for attendance for any key staff required at mandatory meetings
  - 2.5.3. All reporting requirements



## Exhibit B

### Method and Conditions Precedent to Payment

1. This contract is funded by funds made available under the Catalog of Federal Domestic Assistance (CFDA), as follows:  
CFDA #: 93.652  
Federal Agency: U.S. Department of Health and Human Services  
Program Title: Adoption Opportunities
2. The Contractor shall comply with all of the requirements of the grant under which the award was made and all of requirements of CFDA # 93.652.
3. The State shall pay the Contractor an amount not to exceed the price limitation, Section 1.8 Price Limitation.
4. Expenditures for each State Fiscal Year shall be in accordance with the line items as shown in Exhibits B-1, the Budget Narrative for the project.
5. Payment for said services shall be to the contractor, subject to the following conditions:
  - 3.1. Payment will be on a cost reimbursement basis based on actual expenditures incurred up to the total contract price incurred in the fulfillment of this agreement. An invoice template, provided by the Department shall be used for billing, and must be completed, signed (or emailed) to:  

Fiscal Administrator  
Division for Children, Youth and Families  
129 Pleasant Street  
Concord, NH 03301-3857  
  
dbclark@dhhs.state.nh.us
  - 3.2. Requests for payment shall be signed or submitted electronically by an authorized representative of the Contractor.
  - 3.3. Payment requests may be submitted monthly or at the end of each semester, but at a minimum must be submitted quarterly.
  - 3.4. A final payment will be submitted no later than sixty (60) days after the agreement ends. Failure to submit the invoice by this date could result in non-payment.
  - 3.5. Notwithstanding anything to the contrary herein, the Contractor agrees that payment under this Agreement may be withheld, in whole or in part, in the event of non-compliance with any Federal or State Law, rule or regulation



## Exhibit B

---

applicable to the services provided, or if the said services have not been satisfactory completed in accordance with the terms and conditions of this Agreement.

- 3.6. Payments may be withheld pending receipt of required reports as outlined in Exhibit A.
  
6. When the Contract Price limitation is reached, the program shall continue to operate at full capacity at no charge to the Division Children, Youth and Families for the duration of the Contract Period.
  
7. The Division reserves the right to renew the Agreement for up to two additional years, subject to continued availability of funds, satisfactory performance of services, and approval by the Governor and Executive Council.

**Exhibit B-1**

6.a - Personnel	Salary	SFY14	
		9/30/2013	6/30/2014
Kay Jankowski	\$ 86,549.00	\$ 25,997	
Erin Barnett	\$ 72,540.00	\$ 21,789	
Cathleen Yackley	\$ 72,540.00	\$ 14,526	
TBD	\$ 60,000.00	\$ 60,075	
CPDE-TBD (Center for Program, Design and Evaluation at Dartmouth)	\$ 71,936.00	\$ 36,013	
Karen Schifferdecker	\$ 96,428.00	\$ 14,482	
<b>Budget total for Personnel</b>		<b>\$ 172,882</b>	
<b>Description:</b>			
All staff listed are committed to project 12 months/year x 5 years			
<hr/>			
<b>6.c - Travel</b>			
<b>Budget total for Travel</b>		<b>\$</b>	<b>25,045</b>
<b>Description:</b>			
1. Annual Meeting: (Each Year) Trip to Washington, DC for 3 people @ 3 days. 2 nights stay in hotel, airfare, per diem			
3. Travel for Staff to run Focus Groups: (4 Groups meeting 2 times/year) average evaluators)			
7. Staff travel to State offices, avg 160 miles/roundtrip * .565/mile for approximately			
8. Consumer Participation, avg 160 miles/roundtrip * .565/mile for approximately 30			
3. Mileage reimbursement for attendees, \$2,260.00, Avg 160 miles/person roundtrip			
<hr/>			
<b>6.d - Equipment</b>			
<b>Budget total for Equipment</b>		<b>\$</b>	<b>2,890</b>
<b>Description:</b>			
1. Computer for Coordinator - Year 1 only: \$2,890.00			
2. Data Collection: Tablets, 10 Tablets at \$620.00/tablet, Year 1 only: \$6,200.00			
3. Data Collection: Programming of Tablets & General Data Instructions at			
<hr/>			
<b>6.e - Supplies</b>			
<b>Budget total for Supplies</b>		<b>\$</b>	<b>675</b>
<b>Description:</b>			
Project materials, supplies and duplication, \$75.00/month			
<hr/>			
<b>6.f - Contractual</b>			
<b>Budget for Contractual</b>		<b>\$</b>	<b>4,200</b>
<b>Description:</b>			
(TBN) Adoption Consultants, 3 consultants, \$100/hour - 15 hours year 1 & 7 hours years 2-5			
<hr/>			
			<b>Year 1</b>
<hr/>			
<b>6.h - Other</b>			
<b>Budget for Other</b>		<b>\$</b>	<b>12,401</b>
<b>Description:</b>			
1. Training Meetings: (6 meetings/year) Meeting room rental, \$300.00/meeting			
2. Training Meetings: (6 meetings/year) Food and beverages, \$500.00/meeting (\$20.00/person, 25 pec Meeting with Adoption Consultants (food/beverage & room rental), \$485/year			
Evaluation:			
4. Focus Groups Stipends: (4 Groups meeting 2 times/year) 8 participants at			
5. Food for Focus Groups: (4 Groups meeting 2 times/year) at \$100.00/meeting			
6. Phone Charges: Conference Calls, 24-60 minute calls/year with 5 callers/call at			
7. Stipends: Consumer Participation Payments, \$100.00 stipends for 30 consumers			
<hr/>			
<b>6.i - Total Direct Charges</b>		<b>\$</b>	<b>218,093</b>
<hr/>			
<b>6.j - Indirect Charges</b>		<b>\$</b>	<b>75,242</b>
<b>6.k - Total (Budget includes inflation at 103.0%)</b>		<b>\$</b>	<b>293,335</b>

New Hampshire Adoption Preparation and Preservation Project (NHAPP)  
Budget Narratives for NHAPP Project - Years 2 - 5

Exhibit B-2

	SFY15	SFY16	SFY17	SFY18	SFY19
Kay Jankowski	\$ 86,549.00	\$ 35,904	\$ 36,779	\$ 37,883	\$ 39,020
Erin Barnett	\$ 72,540.00	\$ 30,092	\$ 30,826	\$ 31,751	\$ 32,704
Cathleen Yackley	\$ 72,540.00	\$ 20,061	\$ 20,551	\$ 21,168	\$ 21,802
TBD	\$ 60,000.00	\$ 82,966	\$ 84,992	\$ 87,541	\$ 90,168
CPDE-TBD (Center for Program, Design and Evaluation at Dartmouth)	\$ 71,936.00	\$ 42,231	\$ 41,139	\$ 42,214	\$ 50,605
Karen Schifferdecker	\$ 96,428.00	\$ 20,001	\$ 20,489	\$ 21,103	\$ 21,737
<b>Budget total for Personnel</b>	<b>\$ 231,254</b>	<b>\$ 234,776</b>	<b>\$ 241,660</b>	<b>\$ 256,035</b>	<b>\$ 65,067</b>
<b>Description:</b> All staff listed are committed to project 12 months/year x 5 years					
<b>6.c - Travel</b>					
<b>Budget total for Travel</b>	<b>\$ 19,348</b>	<b>\$ 26,378</b>	<b>\$ 27,167</b>	<b>\$ 27,983</b>	<b>\$ 7,047</b>
<b>Description:</b> 1. Annual Meeting: (Each Year) Trip to Washington, DC for 3 people @ 3 days, 2 nights stay in hotel, airfare, per diem 2. Entrance Conference. REMOVED 3. Travel for Staff to run Focus Groups: (4 Groups meeting 2 times/year) average 160 4. State Meetings: (4 meetings/year with State to review evaluators) 7. Staff travel to State offices, avg 160 miles/roundtrip * .565/mile for approximately 35 8. Consumer Participation, avg 160 miles/roundtrip * .565/mile for approximately 30 3 Mileage reimbursement for attendees, \$2,260.00, Avg 160 miles/person roundtrip					
<b>6.d - Equipment</b>					
<b>Budget total for Equipment</b>	<b>\$ 39,494</b>	<b>\$ 7,899</b>	<b>\$ 8,136</b>	<b>\$ 8,380</b>	<b>\$ 2,110</b>
<b>Description:</b> 1. Computer for Coordinator - Year 1 only: \$2,890.00 2. Data Collection: Tablets, 10 Tablets at \$620.00/tablet, Year 1 only: \$6,200.00 3. Data Collection: Programming of Tablets & General Data Instructions at \$50.00/hour					
<b>6.e - Supplies</b>					
<b>Budget total for Supplies</b>	<b>\$ 920</b>	<b>\$ 948</b>	<b>\$ 976</b>	<b>\$ 1,006</b>	<b>\$ 253</b>
<b>Description:</b> Project materials, supplies and duplication, \$75.00/month					
<b>6.f - Contractual</b>					
<b>Budget for Contractual</b>	<b>\$ 4,850</b>	<b>\$ 3,800</b>	<b>\$ 3,563</b>	<b>\$ 3,800</b>	<b>\$ 950</b>
<b>Description:</b> (TBN) Adoption Consultants, 3 consultants, \$100/hour - 15 hours year 1 & 7 hours years 2-5 requires intervention studies to be evaluated by outside consultants, \$650.00/year REMOVED					
<b>6.h - Other</b>					
<b>Budget for Other</b>	<b>\$ 47,598</b>	<b>\$ 52,033</b>	<b>\$ 34,071</b>	<b>\$ 22,440</b>	<b>\$ 5,037</b>
<b>Description:</b> 1. Training Meetings: (6 meetings/year) Meeting room rental, \$300.00/meeting 2. Training Meetings: (6 meetings/year) Food and beverages, \$500.00/meeting (\$20.00/person, 25 people) Meeting with Adoption Consultants (food/beverage & room rental), \$485/year Evaluation. 4. Focus Groups Stipends: (4 Groups meeting 2 times/year) 8 participants at 5. Food for Focus Groups: (4 Groups meeting 2 times/year) at \$100.00/meeting 6. Phone Charges: Conference Calls, 24-60 minute calls/year with 5 callers/call at 7. Stipends: Consumer Participation Payments, \$100.00 stipends for 30 consumers  8. SAFE Training: (Structured Analysis Family Evaluation), 2 day training at \$700.00/person, 36 people in year 2, 13 people year 3, & 13 people year 4 9. "Train the Trainers" Workshops, Years 2 & 3 only 10. "Train the Trainers" Continuation Workshops, Years 4 & 5 only  State Audit Set Aside					
<b>6.i - Total Direct Charges</b>	<b>\$ 343,463</b>	<b>\$ 325,833</b>	<b>\$ 315,809</b>	<b>\$ 319,643</b>	<b>\$ 80,465</b>
<b>6.j - Indirect Charges</b>	<b>\$ 118,495</b>	<b>\$ 112,412</b>	<b>\$ 108,954</b>	<b>\$ 110,277</b>	<b>\$ 27,761</b>
<b>6.k - Total (Budget includes inflation at 103.0%)</b>	<b>\$ 461,958</b>	<b>\$ 438,245</b>	<b>\$ 424,763</b>	<b>\$ 429,920</b>	<b>\$ 108,226</b>

*JM*  
12/14



**SPECIAL PROVISIONS**

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

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

Contractor Initials *JMM*  
Date 11/22/14



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

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

8. **Maintenance of Records:** In addition to the eligibility records specified above, the Contractor covenants and agrees to maintain the following records during the Contract Period:
- 8.1. **Fiscal Records:** books, records, documents and other data evidencing and reflecting all costs and other expenses incurred by the Contractor in the performance of the Contract, and all income received or collected by the Contractor during the Contract Period, said records to be maintained in accordance with accounting procedures and practices which sufficiently and properly reflect all such costs and expenses, and which are acceptable to the Department, and to include, without limitation, all ledgers, books, records, and original evidence of costs such as purchase requisitions and orders, vouchers, requisitions for materials, inventories, valuations of in-kind contributions, labor time cards, payrolls, and other records requested or required by the Department.
- 8.2. **Statistical Records:** Statistical, enrollment, attendance or visit records for each recipient of services during the Contract Period, which records shall include all records of application and eligibility (including all forms required to determine eligibility for each such recipient), records regarding the provision of services and all invoices submitted to the Department to obtain payment for such services.
- 8.3. **Medical Records:** Where appropriate and as prescribed by the Department regulations, the Contractor shall retain medical records on each patient/recipient of services.
9. **Audit:** Contractor shall submit an annual audit to the Department within 60 days after the close of the agency fiscal year. It is recommended that the report be prepared in accordance with the provision of Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non Profit Organizations" and the provisions of Standards for Audit of Governmental Organizations, Programs, Activities and Functions, issued by the US General Accounting Office (GAO standards) as they pertain to financial compliance audits.
- 9.1. **Audit and Review:** During the term of this Contract and the period for retention hereunder, the Department, the United States Department of Health and Human Services, and any of their designated representatives shall have access to all reports and records maintained pursuant to the Contract for purposes of audit, examination, excerpts and transcripts.
- 9.2. **Audit Liabilities:** In addition to and not in any way in limitation of obligations of the Contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any state or federal audit exceptions and shall return to the Department, all payments made under the Contract to which exception has been taken or which have been disallowed because of such an exception.
10. **Confidentiality of Records:** All information, reports, and records maintained hereunder or collected in connection with the performance of the services and the Contract shall be confidential and shall not be disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes directly connected to the administration of the services and the Contract; and provided further, that the use or disclosure by any party of any information concerning a recipient for any purpose not directly connected with the administration of the Department or the Contractor's responsibilities with respect to purchased services hereunder is prohibited except on written consent of the recipient, his attorney or guardian.



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

11. **Reports:** Fiscal and Statistical: The Contractor agrees to submit the following reports at the following times if requested by the Department.
  - 11.1. Interim Financial Reports: Written interim financial reports containing a detailed description of all costs and non-allowable expenses incurred by the Contractor to the date of the report and containing such other information as shall be deemed satisfactory by the Department to justify the rate of payment hereunder. Such Financial Reports shall be submitted on the form designated by the Department or deemed satisfactory by the Department.
  - 11.2. Final Report: A final report shall be submitted within thirty (30) days after the end of the term of this Contract. The Final Report shall be in a form satisfactory to the Department and shall contain a summary statement of progress toward goals and objectives stated in the Proposal and other information required by the Department.
12. **Completion of Services:** Disallowance of Costs: Upon the purchase by the Department of the maximum number of units provided for in the Contract and upon payment of the price limitation hereunder, the Contract and all the obligations of the parties hereunder (except such obligations as, by the terms of the Contract are to be performed after the end of the term of this Contract and/or survive the termination of the Contract) shall terminate, provided however, that if, upon review of the Final Expenditure Report the Department shall disallow any expenses claimed by the Contractor as costs hereunder the Department shall retain the right, at its discretion, to deduct the amount of such expenses as are disallowed or to recover such sums from the Contractor.
13. **Credits:** All documents, notices, press releases, research reports and other materials prepared during or resulting from the performance of the services of the Contract shall include the following statement:
  - 13.1. The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, with funds provided in part by the State of New Hampshire and/or such other funding sources as were available or required, e.g., the United States Department of Health and Human Services.
14. **Prior Approval and Copyright Ownership:** All materials (written, video, audio) produced or purchased under the contract shall have prior approval from DHHS before printing, production, distribution or use. The DHHS will retain copyright ownership for any and all original materials produced, including, but not limited to, brochures, resource directories, protocols or guidelines, posters, or reports. Contractor shall not reproduce any materials produced under the contract without prior written approval from DHHS.
15. **Operation of Facilities: Compliance with Laws and Regulations:** In the operation of any facilities for providing services, the Contractor shall comply with all laws, orders and regulations of federal, state, county and municipal authorities and with any direction of any Public Officer or officers pursuant to laws which shall impose an order or duty upon the contractor with respect to the operation of the facility or the provision of the services at such facility. If any governmental license or permit shall be required for the operation of the said facility or the performance of the said services, the Contractor will procure said license or permit, and will at all times comply with the terms and conditions of each such license or permit. In connection with the foregoing requirements, the Contractor hereby covenants and agrees that, during the term of this Contract the facilities shall comply with all rules, orders, regulations, and requirements of the State Office of the Fire Marshal and the local fire protection agency, and shall be in conformance with local building and zoning codes, by-laws and regulations.
16. **Subcontractors:** DHHS recognizes that the Contractor may choose to use subcontractors with greater expertise to perform certain health care services or functions for efficiency or convenience, but the Contractor shall retain the responsibility and accountability for the function(s). Prior to

*JM*  
Date 11/22/14



subcontracting, the Contractor shall evaluate the subcontractor's ability to perform the delegated function(s). This is accomplished through a written agreement that specifies activities and reporting responsibilities of the subcontractor and provides for revoking the delegation or imposing sanctions if the subcontractor's performance is not adequate. Subcontractors are subject to the same contractual conditions as the Contractor and the Contractor is responsible to ensure subcontractor compliance with those conditions.

When the Contractor delegates a function to a subcontractor, the Contractor shall do the following:

- 16.1. Evaluate the prospective subcontractor's ability to perform the activities, before delegating the function
- 16.2. Have a written agreement with the subcontractor that specifies activities and reporting responsibilities and how sanctions/revocation will be managed if the subcontractor's performance is not adequate
- 16.3. Monitor the subcontractor's performance on an ongoing basis
- 16.4. Provide to DHHS an annual schedule identifying all subcontractors, delegated functions and responsibilities, and when the subcontractor's performance will be reviewed
- 16.5. DHHS shall, at its discretion, review and approve all subcontracts.

If the Contractor identifies deficiencies or areas for improvement are identified, the Contractor shall take corrective action.

#### DEFINITIONS

As used in the Contract, the following terms shall have the following meanings:

**COSTS:** Shall mean those direct and indirect items of expense determined by the Department to be allowable and reimbursable in accordance with cost and accounting principles established in accordance with state and federal laws, regulations, rules and orders.

**DEPARTMENT:** NH Department of Health and Human Services.

**FINANCIAL MANAGEMENT GUIDELINES:** Shall mean that section of the Contractor Manual which is entitled "Financial Management Guidelines" and which contains the regulations governing the financial activities of contractor agencies which have contracted with the State of NH to receive funds.

**PROPOSAL:** If applicable, shall mean the document submitted by the Contractor on a form or forms required by the Department and containing a description of the Services to be provided to eligible individuals by the Contractor in accordance with the terms and conditions of the Contract and setting forth the total cost and sources of revenue for each service to be provided under the Contract.

**UNIT:** For each service that the Contractor is to provide to eligible individuals hereunder, shall mean that period of time or that specified activity determined by the Department and specified in Exhibit B of the Contract.

**FEDERAL/STATE LAW:** Wherever federal or state laws, regulations, rules, orders, and policies, etc. are referred to in the Contract, the said reference shall be deemed to mean all such laws, regulations, etc. as they may be amended or revised from the time to time.

**CONTRACTOR MANUAL:** Shall mean that document prepared by the NH Department of Administrative Services containing a compilation of all regulations promulgated pursuant to the New Hampshire Administrative Procedures Act. NH RSA Ch 541-A, for the purpose of implementing State of NH and federal regulations promulgated thereunder.

**SUPPLANTING OTHER FEDERAL FUNDS:** The Contractor guarantees that funds provided under this Contract will not supplant any existing federal funds available for these services.



**REVISIONS TO GENERAL PROVISIONS**

1. Subparagraph 4 of the General Provisions of this contract, Conditional Nature of Agreement, is replaced as follows:
  4. **CONDITIONAL NATURE OF AGREEMENT.**

Notwithstanding any provision of this Agreement to the contrary, all obligations of the State hereunder, including without limitation, the continuance of payments, in whole or in part, under this Agreement are contingent upon continued appropriation or availability of funds, including any subsequent changes to the appropriation or availability of funds affected by any state or federal legislative or executive action that reduces, eliminates, or otherwise modifies the appropriation or availability of funding for this Agreement and the Scope of Services provided in Exhibit A, Scope of Services, in whole or in part. In no event shall the State be liable for any payments hereunder in excess of appropriated or available funds. In the event of a reduction, termination or modification of appropriated or available funds, the State shall have the right to withhold payment until such funds become available, if ever. The State shall have the right to reduce, terminate or modify services under this Agreement immediately upon giving the Contractor notice of such reduction, termination or modification. The State shall not be required to transfer funds from any other source or account into the Account(s) identified in block 1.6 of the General Provisions, Account Number, or any other account, in the event funds are reduced or unavailable.
  
2. Subparagraph 10 of the General Provisions of this contract, Termination, is amended by adding the following language:
  - 10.1 The State may terminate the Agreement at any time for any reason, at the sole discretion of the State, 30 days after giving the Contractor written notice that the State is exercising its option to terminate the Agreement.
  - 10.2 In the event of early termination, the Contractor shall, within 15 days of notice of early termination, develop and submit to the State a Transition Plan for services under the Agreement, including but not limited to, identifying the present and future needs of clients receiving services under the Agreement and establishes a process to meet those needs.
  - 10.3 The Contractor shall fully cooperate with the State and shall promptly provide detailed information to support the Transition Plan including, but not limited to, any information or data requested by the State related to the termination of the Agreement and Transition Plan and shall provide ongoing communication and revisions of the Transition Plan to the State as requested.
  - 10.4 In the event that services under the Agreement, including but not limited to clients receiving services under the Agreement are transitioned to having services delivered by another entity including contracted providers or the State, the Contractor shall provide a process for uninterrupted delivery of services in the Transition Plan.
  - 10.5 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.



**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

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

**ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS**

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

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

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

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



- has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- 1.6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 1.4.2, with respect to any employee who is so convicted
    - 1.6.1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - 1.6.2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - 1.7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1.1, 1.2, 1.3, 1.4, 1.5, and 1.6.
2. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

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

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

Contractor Name:

1/22/14  
Date

  
\_\_\_\_\_  
Jill M. Mortali, Director  
Office of Sponsored Projects

Contractor Initials Jmm  
Date 1/22/14



**CERTIFICATION REGARDING LOBBYING**

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

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

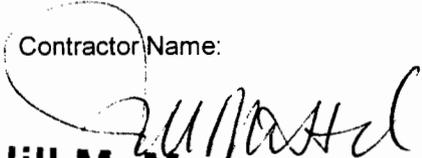
- Programs (indicate applicable program covered):
- \*Temporary Assistance to Needy Families under Title IV-A
  - \*Child Support Enforcement Program under Title IV-D
  - \*Social Services Block Grant Program under Title XX
  - \*Medicaid Program under Title XIX
  - \*Community Services Block Grant under Title VI
  - \*Child Care Development Block Grant under Title IV

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

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

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

11/22/14  
Date

Contractor Name:  
  
**Jill M. Mortali, Director**  
Name:  
**Office of Sponsored Projects**

Contractor Initials Jmm  
Date 11/22/14



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

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

**INSTRUCTIONS FOR CERTIFICATION**

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

Jmm  
1/22/14



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

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

**PRIMARY COVERED TRANSACTIONS**

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

**LOWER TIER COVERED TRANSACTIONS**

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

Date 1/22/14

Contractor Name:

Name: **Jill M. Mortali, Director**  
Title: **Office of Sponsored Projects**

Contractor Initials JMM  
Date 1/22/14



**CERTIFICATION REGARDING**  
**THE AMERICANS WITH DISABILITIES ACT COMPLIANCE**

The Contractor identified in Section 1.3 of the General Provisions agrees by signature of the Contractor's representative as identified in Sections 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this proposal (contract) the Contractor agrees to make reasonable efforts to comply with all applicable provisions of the Americans with Disabilities Act of 1990.

1/22/14  
Date

Contractor Name:

J. Mortali

Name:

Title:

**Jill M. Mortali, Director**  
**Office of Sponsored Projects**



**CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor identified in Section 1.3 of the General Provisions agrees, by signature of the Contractor's representative as identified in Section 1.11 and 1.12 of the General Provisions, to execute the following certification:

1. By signing and submitting this contract, the Contractor agrees to make reasonable efforts to comply with all applicable provisions of Public Law 103-227, Part C, known as the Pro-Children Act of 1994.

Contractor Name:

Date 1/22/14

  
Name: **J. M. Mortali, Director**  
Title: **Office of Sponsored Projects**

Contractor Initials JMM  
Date 1/22/14



**HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT**  
**BUSINESS ASSOCIATE AGREEMENT**

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

**Definitions**

1. "Breach" shall have the same meaning as the term "Breach" in Title XXX, Subtitle D, Sec. 13400.
2. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
3. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
4. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
5. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
6. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
7. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
8. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164.
9. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 164.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
10. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.
11. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 164.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.
12. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.501.
13. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.
14. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.
15. "Unsecured Protected Health Information" means protected health information that is not secured by a technology standard that renders protected health information unusable, unreasonable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.
16. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH Act.



**Use and Disclosure of Protected Health Information**

1. Business Associate shall not use, disclose, maintain or transmit Protected Health Information (PHI) except as reasonably necessary to provide the services outlined under Exhibit A of the Agreement. Further, the Business Associate shall not, and shall ensure that its directors, officers, employees and agents, do not use, disclose, maintain or transmit PHI in any manner that would constitute a violation of the Privacy and Security Rule.
2. Business Associate may use or disclose PHI:
  - 2.1. For the proper management and administration of the Business Associate;
  - 2.2. As required by law, pursuant to the terms set forth in paragraph d. below; or
  - 2.3. For data aggregation purposes for the health care operations of Covered Entity.
3. To the extent Business Associate is permitted under the Agreement to disclose PHI to a third party, Business Associate must obtain, prior to making any such disclosure, (i) reasonable assurances from the third party that such PHI will be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the third party; and (ii) an agreement from such third party to notify Business Associate, in accordance with the HITECH Act, Subtitle D, Part 1, Sec. 13402 of any breaches of the confidentiality of the PHI, to the extent it has obtained knowledge of such breach.
4. The Business Associate shall not, unless such disclosure is reasonably necessary to provide services under Exhibit A of the Agreement, disclose any PHI in response to a request for disclosure on the basis that it is required by law, without first notifying Covered Entity so that Covered Entity has an opportunity to object to the disclosure and to seek appropriate relief. If Covered Entity objects to such disclosure, the Business Associate shall refrain from disclosing the PHI until Covered Entity has exhausted all remedies.
5. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

**Obligations and Activities of Business Associate**

1. Business Associate shall report to the designated Privacy Officer of Covered Entity, in writing, any use or disclosure of PHI in violation of the Agreement, including any security incident involving Covered Entity data, in accordance with the HITECH Act, Subtitle D, Part 1, Sec. 13402.
2. The Business Associate shall comply with all sections of the Privacy and Security Rule as set forth in, the HITECH Act, Subtitle D, Part 1, Sec. 13401 and Sec.13404.
3. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
4. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section (3)b and (3)k herein. The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard provision #13 of this Agreement for the purpose of use and disclosure of protected health information.
5. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.



6. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
7. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.
8. Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR Section 164.528.
9. Within ten (10) business days of receiving a written request from Covered Entity for a request for an accounting of disclosures of PHI, Business Associate shall make available to Covered Entity such information as Covered Entity may require to fulfill its obligations to provide an accounting of disclosures with respect to PHI in accordance with 45 CFR Section 164.528.
10. In the event any individual requests access to, amendment of, or accounting of PHI directly from the Business Associate, the Business Associate shall within two (2) business days forward such request to Covered Entity. Covered Entity shall have the responsibility of responding to forwarded requests. However, if forwarding the individual's request to Covered Entity would cause Covered Entity or the Business Associate to violate HIPAA and the Privacy and Security Rule, the Business Associate shall instead respond to the individual's request as required by such law and notify Covered Entity of such response as soon as practicable.
11. Within ten (10) business days of termination of the Agreement, for any reason, the Business Associate shall return or destroy, as specified by Covered Entity, all PHI received from, or created or received by the Business Associate in connection with the Agreement, and shall not retain any copies or back-up tapes of such PHI. If return or destruction is not feasible, or the disposition of the PHI has been otherwise agreed to in the Agreement, Business Associate shall continue to extend the protections of the Agreement, to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI. If Covered Entity, in its sole discretion, requires that the Business Associate destroy any or all PHI, the Business Associate shall certify to Covered Entity that the PHI has been destroyed.

#### Obligations of Covered Entity

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

#### Termination for Cause

In addition to standard provision #10 of this Agreement the Covered Entity may immediately terminate the Agreement upon Covered Entity's knowledge of a breach by Business Associate of the Business Associate Agreement set forth herein as Exhibit I. The Covered Entity may either immediately terminate the Agreement or provide an opportunity for Business Associate to cure the alleged breach within a timeframe specified by Covered Entity. If Covered Entity determines that neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.



**Miscellaneous**

1. Definitions and Regulatory References. All terms used, but not otherwise defined herein, shall have the same meaning as those terms in the Privacy and Security Rule, and the HITECH Act as amended from time to time. A reference in the Agreement, as amended to include this Exhibit I, to a Section in the Privacy and Security Rule means the Section as in effect or as amended.
2. Amendment. Covered Entity and Business Associate agree to take such action as is necessary to amend the Agreement, from time to time as is necessary for Covered Entity to comply with the changes in the requirements of HIPAA, the Privacy and Security Rule, and applicable federal and state law.
3. Data Ownership. The Business Associate acknowledges that it has no ownership rights with respect to the PHI provided by or created on behalf of Covered Entity.
4. Interpretation. The parties agree that any ambiguity in the Agreement shall be resolved to permit Covered Entity to comply with HIPAA, the Privacy and Security Rule and the HITECH Act.
5. Segregation. If any term or condition of this Exhibit I or the application thereof to any person(s) or circumstance is held invalid, such invalidity shall not affect other terms or conditions which can be given effect without the invalid term or condition; to this end the terms and conditions of this Exhibit I are declared severable.
6. Survival. Provisions in this Exhibit I regarding the use and disclosure of PHI, return or destruction of PHI, extensions of the protections of the Agreement in section 3 k, the defense and indemnification provisions of section 3 d and standard contract provision #13, shall survive the termination of the Agreement.

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

Contractor Name:

Date 1/29/14

Mary Ann Cooney  
Name:  
Title: Mary Ann Cooney  
Associate Commissioner  
State Agency Name: DHHS

Date 1/22/14

Jill M. Mortali  
Name:  
**Jill M. Mortali, Director**  
**Office of Sponsored Projects**



**CERTIFICATION REGARDING THE FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY  
ACT (FFATA) COMPLIANCE**

The Federal Funding Accountability and Transparency Act (FFATA) requires prime awardees of individual Federal grants equal to or greater than \$25,000 and awarded on or after October 1, 2010, to report on data related to executive compensation and associated first-tier sub-grants of \$25,000 or more. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award is subject to the FFATA reporting requirements, as of the date of the award.

In accordance with 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), the Department of Health and Human Services (DHHS) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

1. Name of entity
2. Amount of award
3. Funding agency
4. NAICS code for contracts / CFDA program number for grants
5. Program source
6. Award title descriptive of the purpose of the funding action
7. Location of the entity
8. Principle place of performance
9. Unique identifier of the entity (DUNS #)
10. Total compensation and names of the top five executives if:
  - 10.1. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
  - 10.2. Compensation information is not already available through reporting to the SEC.

Prime grant recipients must submit FFATA required data by the end of the month, plus 30 days, in which the award or award amendment is made.

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (Reporting Subaward and Executive Compensation Information), and further agrees to have the Contractor's representative, as identified in Sections 1.11 and 1.12 of the General Provisions execute the following Certification:

The below named Contractor agrees to provide needed information as outlined above to the NH Department of Health and Human Services and to comply with all applicable provisions of the Federal Financial Accountability and Transparency Act.

11/22/14  
Date

Contractor Name:  
  
Name: Jill M. Mortali, Director  
Title: Office of Sponsored Projects



FORM A

As the Contractor identified in Section 1.3 of the General Provisions, I certify that the responses to the below listed questions are true and accurate.

1. The DUNS number for your entity is: 041027822
2. In your business or organization's preceding completed fiscal year, did your business or organization receive (1) 80 percent or more of your annual gross revenue in U.S. federal contracts, subcontracts, loans, grants, sub-grants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

NO  YES

If the answer to #2 above is NO, stop here

If the answer to #2 above is YES, please answer the following:

3. Does the public have access to information about the compensation of the executives in your business or organization through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C.78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

NO  YES

If the answer to #3 above is YES, stop here

If the answer to #3 above is NO, please answer the following:

4. The names and compensation of the five most highly compensated officers in your business or organization are as follows:

Name: _____	Amount: _____

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 9<sup>th</sup> day of April, A.D. 2013

A handwritten signature in black ink, 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 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 9<sup>th</sup> 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 23<sup>rd</sup> day of January, 2014.

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

## Appendix G: Sponsored Activities Administration and Intellectual Property Transactions

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

	<p>permission of PI (PI and COO, jointly, may delegate authority up to \$100,000 in writing to other staff members); -and-</p> <ul style="list-style-type: none"> <li>• OSP</li> </ul> <p><u>Up to \$250,000</u></p> <ul style="list-style-type: none"> <li>• PI; and</li> <li>• COO or Director of Budget and Fiscal Affairs, jointly;</li> <li>-and-</li> <li>• OSP</li> </ul> <p><u>Over \$250,000</u></p> <ul style="list-style-type: none"> <li>• PI and Dean or Dean’s designee, jointly; and</li> <li>• OSP</li> </ul> <p><u>Additional Approvals:</u></p> <ul style="list-style-type: none"> <li>• Approval by the General Counsel or Associate General Counsel is also required for transactions over \$500,000</li> </ul>
<p>Agreements relating to the transfer of materials used in scientific research</p>	<p>Director or Assistant Director, Technology Transfer Office; in their absence, Director or Associate Director, OSP</p>
<p>Agreements for licenses and options of inventions/patents owned by the College pursuant to the College’s Patent Policy</p>	<p>Director, Technology Transfer Office (in accordance with the College Patent Policy)</p>
<p>Agreements for licenses and options of works of authorship/copyrights owned by the College pursuant to the College’s Copyright Policy</p>	<p>Dean of Libraries with respect to works administered by the Libraries</p> <p>Director, Technology Transfer Office with respect to software</p> <p>General Counsel or Associate General Counsel with respect to all other works</p> <p>* All in accordance with the College Copyright Policy *</p>
<p>Authority to execute documents pertaining to the registration and protection of intellectual property, including but not limited to powers of attorney, assignments, small entity forms and certifications required by the United States Patent and Trademark Office of patent authorities of foreign</p>	<p>Director, Technology Transfer Office</p>

countries	
Authority to sign confidentiality and non-disclosure agreements in connection with the licensing (outgoing and incoming) and marketing of intellectual property	Director or Assistant Director, Technology Transfer Office
Engagement of attorneys to represent the College in connection with the evaluation of inventions and the filing and prosecution of patents	Director, Technology Transfer Office, in consultation with the Office of the General Counsel
State and federal trademark registrations; licenses for the use of College-owned trademarks	General Counsel or Trademark Administrator



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
1/16/2014

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

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

PRODUCER  Marsh USA Inc. Two Logan Square Philadelphia, PA 19103-2797 Contact: <a href="mailto:Philadelphia.Certs@marsh.com">Philadelphia.Certs@marsh.com</a>	CONTACT NAME:	
	PHONE (A/C, No, Ext):	FAX (A/C, No): FAX: 212-948-0360
INSURED  THE TRUSTEES OF DARTMOUTH COLLEGE 53 S. MAIN STREET, SUITE 212 HANOVER, NH 03755	EMAIL ADDRESS:	
	INSURER(S) AFFORDING COVERAGE	
	INSURER A:	Pinnacle Consortium of Higher Ed VT RRRG
	INSURER B:	Zurich American Insurance Company
	INSURER C:	Genesis Insurance Company
	INSURER D:	
	INSURER E:	
	INSURER F:	

COVERAGES      CERTIFICATE NUMBER:      REVISION NUMBER:

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

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	<b>GENERAL LIABILITY</b> <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			PCHE2013-04	07/01/2013	07/01/2014	EACH OCCURRENCE	\$2,000,000
							DAMAGE TO RENTED PREMISES (Each occurrence)	\$2,000,000
							MED EXP (Any one person)	\$5,000
							PERSONAL & ADV INJURY	\$2,000,000
							GENERAL AGGREGATE	\$5,000,000
							PRODUCTS - COMP/OP AGG	\$2,000,000
								\$
B	<b>AUTOMOBILE LIABILITY</b> <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS			BAP 9267272-03 SELF-INSURED FOR PHYSICAL DAMAGE	07/01/2013	07/01/2014	COMBINED SINGLE LIMIT (Each accident)	\$2,000,000
							BODILY INJURY (Per person)	\$
							BODILY INJURY (Per accident)	\$
							PROPERTY DAMAGE (Per accident)	\$
								\$
	<b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input type="checkbox"/> RETENTION \$						EACH OCCURRENCE	\$
							AGGREGATE	\$
								\$
	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (MANDATORY IN NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N/A				<input type="checkbox"/> WC STATUTORY LIMITS <input type="checkbox"/> OTHER	
							E.L. EACH ACCIDENT	\$
							E.L. DISEASE - EACH EMPLOYEE	\$
							E.L. DISEASE - POLICY LIMIT	\$

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

As respects the Dartmouth Trauma Intervention and Research Center Contract to Improve Permanency and Well-Being Outcomes for Children Adopted through DCYF.

<b>CERTIFICATE HOLDER</b>  NH Div. of Children, Youth and Families NH DHHHS 129 Pleasant Street Concord, NH 03301	<b>CANCELLATION</b>  SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE of Marsh USA Inc.  Manashi Mukherjee <i>Manashi Mukherjee</i>



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

1/16/2014

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

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

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

**COVERAGES** DARCO02      **CERTIFICATE NUMBER:** 12743466      **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
	<b>GENERAL LIABILITY</b> <input type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> OCCUR <hr/> GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			NOT APPLICABLE			EACH OCCURRENCE \$ XXXXXXXX DAMAGE TO RENTED PREMISES (Ea occurrence) \$ XXXXXXXX MED EXP (Any one person) \$ XXXXXXXX PERSONAL & ADV INJURY \$ XXXXXXXX GENERAL AGGREGATE \$ XXXXXXXX PRODUCTS - COMP/OP AGG \$ XXXXXXXX \$
	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS			NOT APPLICABLE			COMBINED SINGLE LIMIT (Ea accident) \$ XXXXXXXX BODILY INJURY (Per person) \$ XXXXXXXX BODILY INJURY (Per accident) \$ XXXXXXXX PROPERTY DAMAGE (Per accident) \$ XXXXXXXX \$ XXXXXXXX
	<input type="checkbox"/> <b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <input type="checkbox"/> <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE DED    RETENTION \$			NOT APPLICABLE			EACH OCCURRENCE \$ XXXXXXXX AGGREGATE \$ XXXXXXXX \$ XXXXXXXX
A C	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N N	N/A	2099375438 (AOS) 2099375472 (CA)	7/1/2013 7/1/2013	7/1/2014 7/1/2014	<input checked="" type="checkbox"/> WC STATUTORY LIMITS <input type="checkbox"/> OTHER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
B	Excess Work Comp	N	N	EWC008364	7/1/2013	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**

12743466

NH Div. of Children, Youth and Families, NH DHHS  
 129 Pleasant Street  
 Concord, NH 03301

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

AUTHORIZED REPRESENTATIVE

*Charles M. McDaniel*



## Dartmouth College

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

TELEPHONE: (603) 646-3007  
FAX: (603) 646-3670  
EMAIL: [sponsored.projects@dartmouth.edu](mailto: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
<b>Assets</b>		
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
<b>Total assets</b>	<b>6,182,484</b>	<b>5,974,993</b>
<b>Liabilities</b>		
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
<b>Total liabilities</b>	<b>1,770,794</b>	<b>1,957,443</b>
<b>Total Net Assets</b>	<b>\$ 4,411,690</b>	<b>\$ 4,017,550</b>
<b>Net Assets</b>		
Unrestricted	\$ 1,258,727	\$ 1,006,070
Temporarily restricted	2,101,508	1,991,249
Permanently restricted	1,051,455	1,020,231
<b>Total Net Assets</b>	<b>\$ 4,411,690</b>	<b>\$ 4,017,550</b>

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
<b>Endowment Activities</b>					
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
<b>Change in net assets from endowment activities</b>	<b>61,084</b>	<b>154,270</b>	<b>31,858</b>	<b>247,212</b>	<b>72,978</b>
<b>Operating Activities</b>					
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
<b>Change in net assets from operating activities</b>	<b>(2,244)</b>	<b>462</b>	<b>-</b>	<b>(1,782)</b>	<b>27,417</b>
<b>Non-operating Activities</b>					
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)
<b>Change in net assets from non-operating activities</b>	<b>193,817</b>	<b>(44,473)</b>	<b>(634)</b>	<b>148,710</b>	<b>(162,305)</b>
<b>Change in net assets</b>	<b>252,657</b>	<b>110,259</b>	<b>31,224</b>	<b>394,140</b>	<b>(61,910)</b>
<b>Net Assets, beginning of year</b>	<b>1,006,070</b>	<b>1,991,249</b>	<b>1,020,231</b>	<b>4,017,550</b>	<b>4,079,460</b>
<b>Net Assets, end of year</b>	<b>\$ 1,258,727</b>	<b>\$ 2,101,508</b>	<b>\$ 1,051,455</b>	<b>\$ 4,411,690</b>	<b>\$ 4,017,550</b>

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
<b>Endowment Activities</b>				
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
<b>Change in net assets from endowment activities</b>	<b>802</b>	<b>16,001</b>	<b>56,175</b>	<b>72,978</b>
<b>Operating Activities</b>				
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
<b>Change in net assets from operating activities</b>	<b>17,130</b>	<b>10,287</b>	<b>-</b>	<b>27,417</b>
<b>Non-operating Activities</b>				
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)
<b>Change in net assets from non-operating activities</b>	<b>(121,206)</b>	<b>(31,596)</b>	<b>(9,503)</b>	<b>(162,305)</b>
<b>Change in net assets</b>	<b>(103,274)</b>	<b>(5,308)</b>	<b>46,672</b>	<b>(61,910)</b>
<b>Net Assets, beginning of year</b>	<b>1,109,344</b>	<b>1,996,557</b>	<b>973,559</b>	<b>4,079,460</b>
<b>Net Assets, end of year</b>	<b>\$ 1,006,070</b>	<b>\$ 1,991,249</b>	<b>\$ 1,020,231</b>	<b>\$ 4,017,550</b>

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 Maintenance	Operation & Development	Auxiliaries	2013	2012	
Salaries and wages	\$ 220,978	\$ 25,973	\$ 17,200	\$ 16,730	\$ 13,616	\$ 350,991	\$ 326,856	
Employee benefits	81,988	9,359	6,105	5,797	4,833	124,583	112,937	
Fellowships and student support	10,251	-	-	-	448	14,672	13,716	
Materials, equipment, and supplies	34,897	6,659	1,735	1,572	16,314	72,102	67,654	
Purchased services	47,307	8,264	3,633	6,078	8,146	110,248	100,355	
Utilities, taxes, and occupancy	-	-	40,134	-	6,911	47,045	44,774	
Depreciation	39,585	2,609	5,625	46	9,782	57,647	52,289	
Lodging, travel, and similar costs	22,368	1,469	211	1,685	252	29,094	27,397	
Interest and amortization	-	-	23,292	-	942	24,234	22,805	
Other expenses	2,887	832	134	451	175	4,657	7,005	
	460,261	55,165	98,069	32,359	61,419	835,273	775,788	
Facilities operation & maintenance	74,624	4,917	(98,069)	87	18,441	-	-	
Total expenses for FY13	\$ 534,885	\$ 60,082	\$ -	\$ 32,446	\$ 92,528	\$ 835,273	\$ 835,273	
Total expenses 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
<b>Cash flows from operating activities</b>		
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)
<b>Net cash used by operating activities</b>	<b>(106,172)</b>	<b>(129,749)</b>
<b>Cash flows from investing activities</b>		
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
<b>Net cash used by investing activities</b>	<b>(21,629)</b>	<b>(158,925)</b>
<b>Cash flows from financing activities</b>		
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
<b>Net cash provided by financing activities</b>	<b>61,755</b>	<b>275,331</b>
<b>Net change in cash and cash equivalents</b>	<b>(66,046)</b>	<b>(13,343)</b>
Cash and cash equivalents, beginning of year	306,241	319,584
<b>Cash and cash equivalents, end of year</b>	<b>\$ 240,195</b>	<b>\$ 306,241</b>

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
<b>Total receivables, and other assets, net</b>	<b>\$ 153,764</b>	<b>\$ 183,828</b>

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
<b>Total gifts and pledge payments</b>	<b>\$ 155,823</b>	<b>\$ 164,724</b>

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):

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

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):

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

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):

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>	<u>Redemption or Liquidation</u>	<u>Days' Notice</u>
Assets:						
Investments:						
Cash and cash equivalents	\$ 238,098	\$ -	\$ -	\$ 238,098	Daily	1
Fixed income <sup>1</sup>	165,274	234,258	1	399,533	Daily-Monthly	1
Global equity:						
US equity <sup>2</sup>	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 <sup>3</sup>	42,425	131,686	18,271	192,382	Daily - Annual Quarterly-	1-120
Marketable alternative strategies <sup>4</sup>	-	193,253	825,199	1,018,452	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	<u>-</u>	<u>1,797</u>	<u>7,048</u>	<u>8,845</u>	Not Applicable	Not Applicable
<b>Total investments</b>	<b><u>\$ 996,862</u></b>	<b><u>\$ 1,144,487</u></b>	<b><u>\$ 2,582,896</u></b>	<b><u>\$ 4,724,245</u></b>		

<sup>1</sup> Fixed income includes privately held bonds.

<sup>2</sup> 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.

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

<sup>4</sup> 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 <sup>1</sup>	102,750	254,921	2	357,673	Daily-Monthly	1-7
Global equity:						
US equity <sup>2</sup>	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 <sup>3</sup>	-	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
<b>Total investments</b>	<b>\$ 773,973</b>	<b>\$ 1,087,335</b>	<b>\$ 2,514,456</b>	<b>\$ 4,375,764</b>		

<sup>1</sup> Fixed income includes privately held bonds.

<sup>2</sup> 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.

<sup>3</sup> 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

Notes to Financial Statements

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 contacts 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):

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Endowment net assets, June 30, 2012	\$ 833,511	\$ 1,700,362	\$ 952,511	\$ 3,486,384
Investment return:				
Investment income	7,432	24,078	-	31,510
Net gain in fair value:				
Realized	63,875	201,499	-	265,374
Unrealized	<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>
<b>Endowment net assets, June 30, 2013</b>	<b><u>\$ 894,595</u></b>	<b><u>\$ 1,854,632</u></b>	<b><u>\$ 984,369</u></b>	<b><u>\$ 3,733,596</u></b>
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
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>
<b>Endowment net assets, June 30, 2012</b>	<b><u>\$ 833,511</u></b>	<b><u>\$ 1,700,362</u></b>	<b><u>\$ 952,511</u></b>	<b><u>\$ 3,486,384</u></b>

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  
Notes to Financial Statements

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 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>
<b>Subtotal Tax-Exempt bonds</b>			<b>\$ 548,330</b>	<b>\$ 553,975</b>
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>
<b>Subtotal taxable bonds</b>			<b>\$ 500,000</b>	<b>\$ 500,000</b>
<b>Subtotal bonds</b>			<b>\$ 1,048,330</b>	<b>\$ 1,053,975</b>
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>
<b>Subtotal bonds, mortgages and notes payable</b>			<b>\$ 1,122,547</b>	<b>\$ 1,124,640</b>
Original issue premium, net			<u>4,240</u>	<u>4,235</u>
<b>Total bonds, mortgages, and notes payable, net</b>			<b><u>\$ 1,126,787</u></b>	<b><u>\$ 1,128,875</u></b>

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):

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

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):

	<u>Pension Benefits</u>		<u>Postretirement Benefits</u>	
	<u>2013</u>	<u>2012</u>	<u>2013</u>	<u>2012</u>
<b>Change in benefit obligation:</b>				
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	<u>(1,730)</u>	<u>14,869</u>	<u>(65,270)</u>	<u>59,977</u>
End of year	<b><u>\$ 120,696</u></b>	<b><u>\$ 120,920</u></b>	<b><u>\$ 226,449</u></b>	<b><u>\$ 274,684</u></b>

Dartmouth College

Notes to Financial Statements

	Pension Benefits		Postretirement Benefits	
	2013	2012	2013	2012
<b>Change in estimated fair value of plan assets:</b>				
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>
<b>Funded status (plan assets less than benefits obligation)</b>	<u>\$ (6,765)</u>	<u>\$ (8,402)</u>	<u>\$ (226,449)</u>	<u>\$ (274,684)</u>

	Pension Benefits		Postretirement Benefits	
	2013	2012	2013	2012
<b>Net periodic benefit (income) cost included the following:</b>				
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>

<b>Weighted-average assumptions:</b>				
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
<b>Amounts recognized in non-operating activities:</b>				
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)
<b>Amounts recognized in operating activities:</b>				
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 <sup>1</sup>	-	67,936	-	67,936
Limited partnerships <sup>2</sup>	-	-	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 <sup>1</sup>	-	48,216	-	48,216
Limited partnerships <sup>2</sup>	-	-	4,148	4,148
<b>Total investments</b>	<b>\$ 570</b>	<b>\$ 107,800</b>	<b>\$ 4,148</b>	<b>\$ 112,518</b>

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

<sup>2</sup> 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)
<b>Balance as of June 30, 2013</b>	<b>\$ 3,912</b>

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

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

Notes to Financial Statements

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):

	<u>2013</u>	<u>2012</u>
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	<u>33,741</u>	<u>26,768</u>
<b>Total other operating income</b>	<b>\$ <u>131,745</u></b>	<b>\$ <u>133,365</u></b>

**J. Net Assets**

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

	<u>2013</u>			
	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	
<b>Detail of net assets:</b>				
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	<u>894,595</u>	<u>1,854,632</u>	<u>984,369</u>	<u>3,733,596</u>
<b>Total net assets</b>	<b>\$ <u>1,258,727</u></b>	<b>\$ <u>2,101,508</u></b>	<b>\$ <u>1,051,455</u></b>	<b>\$ <u>4,411,690</u></b>

Dartmouth College  
Notes to Financial Statements

	2012			Total
	Unrestricted	Temporarily Restricted	Permanently Restricted	
<b>Detail of net assets:</b>				
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
<b>Total net assets</b>	<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

*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](mailto:sponsored.projects@dartmouth.edu)

### Dartmouth College Mission

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

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

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

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

## **Dartmouth College Board of Trustees 2013-2014**

Emily P. Bakemeier '82  
Deputy Provost, Arts and Humanities  
Yale University

Gail Koziara Boudreaux '82  
Executive Vice President, UnitedHealth Group  
Chief Executive Officer, UnitedHealthcare

R. William Burgess Jr. '81  
Managing General Partner, ABS Ventures

James G. Coulter '82 (*Vice chair*)  
Founding Partner, TPG Capital

Denise M. Dupre '80  
Adjunct Professor, Harvard Extension

Gregg L. Engles '79  
Chairman, Chief Executive Officer, and Founder  
Dean Foods Company

Nathaniel C. Fick '99  
Chief Executive Officer  
Endgame, Inc.

Annette Gordon-Reed '81  
Professor of Law, Harvard Law School  
Professor of History in the Faculty of Arts and Sciences, Harvard University  
Carol K. Pforzheimer Professor, Radcliffe Institute for Advanced Study

Philip J. Hanlon, Ph.D.  
President  
Dartmouth College

**Margaret Hassan**  
Governor State of New Hampshire

**William W. Helman.IV '80**  
Partner, Greylock

**David C. Hodgson '78**  
Managing Director  
General Atlantic, LLC

**Jeffrey Immelt '78**  
Chairman & CEO, GE

**Richard H. Kimball '78**  
Founding General Partner  
Technology Crossover Ventures

**Morton M. Kondracke '60**  
Executive Editor and Columnist  
Roll Call

**Michell H. Kurz '73**  
Academic Dean, Director of College Counseling, and  
Chair of the Math Department  
Bronx Center for Science and Mathematics

**Stephen Mandel Jr. '78 (Chair)**  
Managing Director, Lone Pine Capital LLC

**Sherri Carroll Oberg '82**  
President & CEO, Acusphere Inc.

**Trevor Rees-Jones '73**  
Founder & President, Chief Oil and Gas, LLC

**John B. Replogle '88**  
Chief Executive Officer and President  
Seventh Generation

**John Rich '80**  
Professor and Chair, Health Management Policy  
Drexel University

**Laurel J. Richie '81**  
President  
WNBA, LLC

**Steven Roth '62**  
Chairman, Vornado Realty Trust

**Peggy Epstein Tanner '79**  
Seeds of Peace

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

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

## CURRICULUM VITAE

**Mary Kathryn (Kay) Jankowski, Ph.D.**

### Education:

Postdoctoral Fellowship  
1999-2001

Dartmouth Medical School  
Hanover, NH

Internship  
1997 – 1999

Dartmouth Medical School  
Hanover, NH

Ph.D.  
Clinical Psychology  
1993 - 1999

University of Vermont  
Burlington, VT

B.A.  
Psychology  
1986-1990

Pomona College  
Claremont, CA

### Licensure:

Licensed Psychologist in State of New Hampshire  
(Lic. #921)

### Academic Appointment:

September 2004 – present  
Assistant Professor of Psychiatry,  
Dartmouth Medical School

July 2001- August 2004  
Instructor in Psychiatry,  
Dartmouth Medical School

### Other Professional Positions:

1990 – 1993 Research Assistant, Department of  
Epidemiology, Dana-Farber Cancer Institute, Boston,  
MA

Committee Membership and Consultations: September 2011 – present Consultant for Child and  
Family Services

December 2011 – 2012 Consultant for Vermont  
Department of Mental Health, Children's Mental Health  
Services

2008 – present Consultant for the New Hampshire Division for Children, Youth and Families

January 2011 – present Member of the New Hampshire Children's Behavioral Health Collaborative and Evidence Based Treatment subcommittee and Workforce Development subcommittee

January 2010 – present Member of the New Hampshire Division for Children, Youth and Families Committee on Organizational Learning

2002 – 2004 Executive Committee for the Adolescent Resource Center, a joint venture of the University of New Hampshire and State of New Hampshire

Journal Referee Activities:

Journal of Consulting and Clinical Psychology  
Journal of Adolescent Health  
Community Mental Health Journal

Professional Membership:

American Psychological Association (2001 to present)  
New Hampshire Psychological Association (2005 to present)

Clinical Responsibilities:

Provide clinical service through Dartmouth Hitchcock Psychiatric Associates since approximately 2005

Teaching Experience/responsibilities:

2010- present Provide psychotherapy supervision to pre-doctoral and post-doctoral psychology trainees as part of the Dartmouth APA approved Psychology Training Program

2006- present Provide psychotherapy supervision to Child Psychiatry Fellows

2011 – present Guest lecturer to Psychiatry residents and pre-doctoral psychology interns on career development

2006 – present Teach seminar on cognitive behavioral therapy with children and adolescents and trauma treatment for children and adolescents for Child Psychiatry Fellows

2000 – present Guest lecturer on assessment and treatment of trauma and PTSD for pre-doctoral psychology interns

2007 – 2010 Guest lecturer on treating PTSD in people with severe mental illness to 3<sup>rd</sup> year psychiatry residents as part of their community mental health course

2001 – 2004 Taught structured clinical interviewing to psychiatry residents

2000 – 2002 Taught bimonthly didactic on administration of structured clinical interviewing for psychology interns

1997 Teaching Assistant, Adult Assessment class for clinical psychology doctoral students. Department of Psychology, University of Vermont

1993 – 1994 Teaching Assistant, Undergraduate Developmental Psychology class, University of Vermont

Research Interests:

Trauma and PTSD

Development and testing of treatments for PTSD in special populations including adolescents, children in foster care, juvenile justice youth, and adults with severe mental illness;

Implementation Science and Systems Change

Implementation of evidence-based practices in child and adolescent mental health, child welfare and juvenile justice; Creating more trauma and mental health informed child serving systems within child welfare, juvenile justice and the Courts

Health Risk Behavior in Adolescents

Correlates and patterns of risk taking among adolescents; identification and assessment of multiple risk taking teens

Research Funding:

Immunological Markers in Vietnam Veterans with PTSD. Veterans Administration. 1999-2001. PI: Peter Morganelli. Role on Project: Project Coordinator.

A Randomized Clinical Trial of Cognitive-Behavioral Treatment for PTSD in Women. Veterans Administration Multi-Site Cooperative Study. 2001-

2006. PI: Paula Schnurr. Role on Project: Assessment Supervisor and Training Coordinator (2001-2002).

New Hampshire State Incentive Grant (SIG) to fund community coalition interventions to reduce substance abuse in teens. Substance Abuse and Mental Health Services Administration. 2000 – 2003. Lead Evaluator: Stan Rosenberg. Role on Project: Evaluator.

Treatment for PTSD in People with Severe Mental Illness. NIH. 2002 – 2005. Co-PIs: Kim Mueser and Stan Rosenberg. Role on Project: Co-Investigator and Lead Therapist.

Pilot Study of Cognitive-Behavioral Treatment for Posttraumatic Stress Disorder in Adolescents. Hitchcock Foundation. 2004 – 2006. PI: Mary K. Jankowski.

New Hampshire Project for Adolescent Trauma Treatment. Substance Abuse and Mental Health Services Administration. 1.6 Million. 2005–2008. PI: Stan Rosenberg. Role on Project: Project Manager and Lead Supervisor.

The New Hampshire Child/Adolescent Trauma Telehealth Project. New Hampshire Endowment for Health. \$450,000. 2007-2010. PI: Stan Rosenberg. Role on Project: Co-Investigator and Lead Clinical Consultant.

Project Prevent: Delivering Child Parent Psychotherapy to young traumatized children and their caretakers. New Hampshire Endowment for Health. 2009 – 2012. PI: Harriet Rosenberg. Role on Project: Lead supervisor and clinical coordinator.

The New Hampshire Bridge Project. Substance Abuse and Mental Health Services Association. \$1.2 million. 2009– 2012. PI: Stan Rosenberg. Role on Project: Project Director.

Trauma-Focused CBT for Juvenile Justice Youth in Residential Care Settings. NIH. (total amount). 2011-2014. PI: Judy Cohen. Role on Project: Site PI.

The New Hampshire Partners for Change Project:  
Improving Child Well-being in New Hampshire's Child  
Welfare System. DHHS, Administration for Children,  
Youth and Families. \$3.2 million. 2012-2017. PI:  
Mary K. Jankowski.

Invited Presentations:

Barnett, E. and Jankowski, M.K. (2013, May). Critical Issues When Providing Services to Traumatized Children Involved in Child Welfare: What Child Welfare Staff and Other Care Providers Want to Know. Workshop presented at the 2013 Annual DCYF and DJJS Conference. Manchester, NH.

Ashley, S. and Jankowski, M.K. (2013, January). Expanding Trauma-Informed Services in Child Welfare Systems. Webinar presented by the National Child Welfare Resource Center.

Barnett, E. and Jankowski, M.K. (2012, October). Providing Trauma Informed Care in Schools: What Teachers and Guidance Counselors Need to Know. NH NAMI Conference on Addressing Mental Health Issues in Schools. Concord, NH.

Jansen, M.A., Jankowski, M.K., Peters, R.H., Pratt, S.I., Mueser, K.T., and Glynn, S.M. (2012, August) Workshop on New and Emerging Clinical Practices for Treating People with Serious Mental Illness. The 120<sup>th</sup> American Psychological Association Annual Convention. Orlando, FL.

Jankowski, M.K. and the Breakthrough Series Collaborative New Hampshire Team. (2012, May). The NH Bridge Project and Creating Placement Stability Using a Trauma-Informed Approach to Child Welfare. NH DCYF/DJJS 18<sup>th</sup> Annual Conference: Engaging Family Voice, Discovering Solutions Together. Manchester, NH.

Jankowski, M.K. and Robb, M.D. (2012, April). Trauma Focused Cognitive Behavioral Therapy. Two day training conducted for NH Community Mental Health Centers. Concord, NH.

Jankowski, M.K., Howard, M., Schuster, C, Vance, J.E., and Tenner, R. (2012, March). From screening to treatment of trauma in juvenile justice populations: Experience in New Hampshire and Ohio. All Network Meeting of the National Child Traumatic Stress Network. Baltimore, MD.

Jankowski, M.K. and Ashley, S. (2012, January). The New Hampshire Bridge Project: Serving Traumatized Children and Youth in the Family Courts, Child Welfare and Juvenile Justice Settings. The 26<sup>th</sup> Annual San Diego International Conference on Child and Family Maltreatment. San Diego, CA.

Jankowski, M.K. and Rosenberg, H. (2011, December). Coping with Stress: A CBT Program for Teens with Trauma. Webinar presented by Hazelden Press.

Jankowski, M.K. (2011, September). Trauma Informed Care for Juvenile Justice Involved Youth. Coalition for Juvenile Justice Northeast Region Conference: Changing the Face of Juvenile Justice. Manchester, N.H.

Jankowski, M.K. and Barnett, E. (2011, September). Leading Evidence Based Treatments for Traumatized Children and Families: Trauma Focused CBT and Child Parent Psychotherapy. Attorney General's Conference on Child Abuse and Neglect. Manchester, N.H.

Jankowski, M.K. (2010, November). Creating a More Trauma-Informed Child Welfare System. Keynote Presentation at Weaving Family Tapestries: Enriching Lives, NH Foster and Adoptive Parent Annual Conference. Concord, NH.

Jankowski, M.K. (2010, August). Can You Hear Me Now: Use of Technology to Spread Evidence Based Practices. Keynote Presentation at the Rural Behavioral Health Symposium. Glendale, AZ.

Jankowski, M.K. (2010, April). Trauma Focused Cognitive Behavioral Therapy. Workshop presented at the NH Mental Health Symposium. Manchester, NH.

Jankowski, M.K. and Robb, M. (2010, March). Trauma Focused Cognitive Behavioral Therapy. Two day training conducted for Dartmouth Trauma Interventions Research Center. Concord, NH.

Jankowski, M.K., Rosenberg, H, and Rosenberg, S.D. (2009, October). Trauma Focused-Cognitive Behavioral Workshop. Workshop presented at the Annual Attorney General's Conference on Child Abuse. Bedford, NH.

Rosenberg, H, Robb, M., Jankowski, M.K. and Rosenberg, S.D. (2009, October). Child Parent Psychotherapy for Traumatized and At-Risk Young Children. Workshop presented at the Annual New Hampshire Attorney General's Conference on Child Abuse. Bedford, NH.

Jankowski, M.K. and Ryan, E. (2009, October). Trauma Focused Cognitive Behavioral Therapy. Two day training conducted for the NH Department of Children, Youth and Families. Concord, NH.

Rosenberg, H., Jankowski, M.K., Rosenberg, SD, Robb, M, Barnett, E. (2009, September). Implementation of the child-parent psychotherapy model in New Hampshire. Paper presented at the New Hampshire Infant Mental Health Conference. North Conway, NH.

Jankowski, M.K. and Stearns, S.D. (2009, May). Can you see me now? Teaching and disseminating two evidence based child mental health treatments in NH, using videoconferencing. Paper presented at Department of Psychiatry Grand Rounds. Lebanon, NH.

Jankowski, M.K. (2008, April). Child physical abuse: Prevalence, consequences and treatment. Paper presented at the 5<sup>th</sup> Annual Shield our Children from Harm Conference: Physical Abuse: Spanning the Ages and Aspects. Lebanon, NH.

Jankowski, M.K. (2008, March). Child trauma: Prevalence, correlates, consequences and treatment. Keynote address at Trauma 101: A Primer for Educators and Community Service Providers. Laconia, NH.

Jankowski, M.K. (2007, November). The New Hampshire Project for Adolescent Trauma Treatment: A web based screen for assessing trauma, PTSD and associated symptoms. Paper presented at the New Grantees Meeting for the National Child Traumatic Stress Network, Richmond, VA.

Jankowski, M.K. (2007, October). The cognitive-behavioral treatment of adolescents with PTSD. Workshop sponsored by Casey Family Services of New Hampshire. Concord, NH.

Jankowski, M.K. (2007, October). Dissemination of evidence-based practices for child trauma related disorders: A case example. Paper presented at the TF-CBT Eastern Learning Collaborative, Baltimore, MD.

Jankowski, M.K., Rosenberg, H.R., Lesser A. (2007, February). Engagement and retention of adolescents in trauma treatment. Paper presented at the National Child Traumatic Stress Network All Network Meeting, Pittsburgh, PA.

Jankowski, M.K. (2006, February). Pediatric traumatic stress. Paper presented at the New Hampshire Nurses Association Conference on Pediatric Nursing, Nashua, NH.

Jankowski, M.K. (2005, January). Risk-taking Behaviors in NH Teens: Findings from the 2001 and 2003 NH Youth Risk Behavior Survey (YRBS). Paper presented at the Access to Treatment for Co-Occurring Disorders in Adolescents and Young Adults Conference, Concord, NH.

Jankowski, M.K. and Hamblen, J.L. (2005, February). Cognitive Behavioral Treatment of Posttraumatic Stress Disorders in Youth. Workshop sponsored by the NH Psychological Association and Womankind Counseling Center, Concord, NH.

Jankowski, M.K. (2005, March). Cognitive Behavioral Treatment of Posttraumatic Stress Disorder in Youth. Grand Rounds presented at New Hampshire Hospital. Concord, NH.

Jankowski, M.K. and Hamblen, J.L. (2005, April). Cognitive Behavioral Treatment of Posttraumatic Stress Disorder in Youth. Workshop sponsored by West Central Behavioral Health. Lebanon, NH.

Jankowski, M.K., Hamblen, J.L., and Acker, K. (2003, May). Cognitive-Behavioral Therapy for Posttraumatic Stress Disorder in Persons with Severe Mental Illness. Paper presented at the Integrating Trauma, Substance Abuse and Mental Health Conference, Augusta ME.

Mueser, K.T., Rosenberg, S.D., Jankowski, M.K., and Hamblen, J.L. (2002, November). Cognitive-Behavioral Treatment of PTSD in Severe Mental Illness: Results of a Pilot Study. In J. DeViva (Chair), Fitting the Treatment to the Patient: Adapting CBT for Patients with

Complicated Posttraumatic Presentations. Symposium conducted at the meeting of the Association for the Advancement of Behavior Therapy, Reno, NV.

Jankowski, M. K., Rosenberg, H., Sengupta, A., and Rosenberg, S.D. (2002, October). Development of a Brief Screen to Identify Adolescents Engaged in Multiple High Risk Behaviors. Poster session presented at the 49<sup>th</sup> annual meeting of the American Academy of Child and Adolescent Psychiatry, San Francisco, CA.

Jankowski, M. K., Rosenberg, H., and Rosenberg, S.D. (2002, October). Patterns of ATOD Initiation and Use in NH Teens: Prevalence, Risk Factors and Policy Implications. Presented at the New Hampshire Substance Abuse Conference. Whitefield, NH.

Jankowski, M.K., Hamblen, J.L., & McKee, T. (November, 2001). Individual Cognitive Behavioral Treatment for PTSD in Persons with Severe Mental Illness. Connecting Trauma, Substance Abuse, and Mental Health, Augusta ME.

Rosenberg, S.D. & Jankowski, M.K. (August, 2001). Providing Trauma Services for People with Severe Mental Illness. Presented at the New Hampshire Homeless Service Providers Conference. North Conway, NH.

Jankowski, M. K. (April, 2001). Modified PTSD Treatment for People with Severe Mental Illness. Presented at the 6th Annual Mastering the Key Connection: Clinical training conference on trauma services in the public mental health system. New York, NY.

Jankowski, M. K. (November, 1999). Treatment of PTSD in a Woman with Severe Mental Illness. Presented at the 15th Annual Meeting of the International Society for Traumatic Stress Studies, Miami, FL.

Descamps, M.J., Mueser, K.T., Rosenberg, S.D., Salyers, M.P., Jankowski, M.K., Friedman, M.J., Goguen, C. (November, 1999). Modification of a Protocol for Treating PTSD in Women with Severe Mental Illness. Presented at the 15th annual meeting of the International Society for Traumatic Stress Studies, Miami, FL.

#### Books:

Jankowski, M.K., Rosenberg, H.J., Rosenberg, S.D., Mueser, K.T. (2011). Coping with Stress: A CBT Program for Teens with Trauma. Hazelden Press: Center City, MN.

#### Book Chapters:

Rieker, P.P. and Jankowski M. K. (1995). Sexism and women's psychological status. In C. Willie, P.P. Rieker, B. Kramer, and B. Brown. (Eds.), Racism, Sexism, and Mental Health. Pittsburgh: University of Pittsburgh Press.

Foy, D.W., Glynn, S. M., Schnurr, P. P., Jankowski, M. K., Wattenberg, M., Weiss, D.S., Marmar, C.R., and Gusman, F.D. (2000). Group psychotherapy for posttraumatic stress disorder. T. M. Keane, & M. J. Friedman (Eds.) Effective Treatments for PTSD: Practice

Guidelines from the International Society for Traumatic Stress (pp. 155-175). New York: Guilford.

Jankowski, M.K., Mueser, K.T., and Rosenberg, S.D. (2006). Psychosis with comorbid PTSD. In W. Larkin & A.P. Morrison (Eds.), Trauma and Psychosis (pp. 75-100). New York: Routledge.

Rosenberg, H.J. and Jankowski, M.K. (2009). Adolescents. In K.T.Mueser, S.D. Rosenberg, and H.J. Rosenberg (Ed.), Treatment of posttraumatic stress disorder in special populations (pp. 255-266) Washington, D.C.: American Psychological Association.

#### Journal Articles:

Rosenberg, H., Jankowski, MK, Fortuna, L, Rosenberg, S, Mueser, K. (2011) "A Pilot Study of a Cognitive Restructuring Program for Treating Posttraumatic Disorders in Adolescents", Psychological Trauma: Theory, Research and Policy, 3(1) 94-99.

Lu, W, Mueser, K.T., Rosenberg, S.D., and Jankowski, M.K. (2008). Correlates of adverse childhood experiences among adults with severe mood disorders. Psychiatric Services, 59, 1018-1026.

Wolford, G., Rosenberg, S.D., Rosenberg, H.J., Swartz, M.S., Butterfield, M.I. et al. (2008). A clinical trial comparing interviewer and computer-assisted assessment among clients with severe mental illness. Psychiatric Services, 59, 769-775.

Mueser, K.T., Rosenberg, S.D., Xie, H., Jankowski, M.K., Bolton, E.E., et al. (2008). A randomized controlled trial of cognitive-behavioral treatment for posttraumatic stress disorder in severe mental illness. Journal of Consulting and Clinical Psychology, 76, 259-271.

Jankowski, M.K., Rosenberg, H.J., Sengupta, A., Rosenberg, S.D, Wolford, G. (2007). Development of a screening tool to identify adolescents engaged in multiple problem behaviors: The adolescent risk behavior screen (ARBS). Journal of Adolescent Health, 40, 180.e19-180.e26.

Rosenberg, S.D., Lu, W., Mueser, K.T., Jankowski, M.K, and Cournos, F. (2007). Correlates of adverse childhood events among adults with schizophrenia spectrum disorders. Psychiatric Services, 58, 245-253.

Pratt, S.I., Rosenberg, S.D., Mueser, K.T., Brancato, J., Salyers, M.P., Jankowski, M.K., and Descamps, M. (2005). Evaluation of a PTSD psychoeducational program for psychiatric inpatients. Journal of Mental Health, 14: 121-127.

Rosenberg, H.J., Jankowski, M.K., Sengupta, A, Wolfe, R.S., Wolford, G.L., & Rosenberg, S.D. (2005). Single and multiple suicide attempts and associated health risk factors in New Hampshire adolescents. Suicide and Life-Threatening Behavior, 35 (5), 547-557.

Jankowski, M. K., Schnurr, P. P., Adams, G. A., Green, B. L., Ford, J. D., and Friedman, M. J. (2004). A mediational model of PTSD in World War II veterans exposed to mustard gas. Journal of Traumatic Stress, 17 (4), 303-310.

Mueser, K. T., Rosenberg, S. D., Jankowski, M. K., Hamblen, J. L., and Descamps, M. (2004). A cognitive-behavioral treatment program for posttraumatic stress disorder in persons with severe mental illness. Psychiatric Rehabilitation Skills, 7, 107-146.

Jankowski, M.K. and Hamblen, J.L. (2004). Cognitive-behavioral treatment for PTSD in people with severe mental illness: Three case studies. Psychiatric Rehabilitation Skills, 7, 147-170.

Rosenberg, S. D., Mueser, K. T., Jankowski, M. K., Salyers, M. P., Acker, K. (2004). Cognitive behavioral treatment of PTSD in people with severe mental illness: Results of a pilot study. Psychiatric Rehabilitation Skills, 7, 171-186.

Jankowski, M.K., Leitenberg, H., Coffey, P., and Henning, K. (2002). Parental caring as a possible buffer against sexual revictimization in young adult survivors of childhood abuse. Journal of Traumatic Stress, 15 (3), 235 – 244.

Rosenberg, S., Mueser, K., Jankowski, K., and Hamblen, J. (2002). Trauma exposure and PTSD in people with severe mental illness. PTSD Research Quarterly 13(3), 1-4.

Rosenberg, S.D., Mueser, K.T., Friedman, M.J., Gorman, P.G., Drake, R.E., Vidaver, R.M., Torrey, W.C., and Jankowski, M.K. (2001). Developing best practices for post-traumatic disorders in people with severe mental illness: A review and proposal. Psychiatric Services, 52 (11), 1453 – 1461.

Jankowski, M.K. (2001). [Review of the book Posttraumatic Stress Intervention: Challenges, Issues, and Perspectives]. Journal of Nervous and Mental Disease, 189, 731-732.

Schnurr, P.P., Friedman, M.J., Sengupta, A., Jankowski, M.K., & Holmes, T. (2000). PTSD and utilization of medical treatment services among male Vietnam veterans. Journal of Nervous and Mental Disease, 188, 496-504.

Jankowski, M.K., Leitenberg, H., Henning, K, and Coffey, P. (1999). Intergenerational transmission of dating aggression as a function of witnessing only same sex parents vs. opposite sex parents vs. both parents as perpetrators of domestic violence. Journal of Family Violence, 14, 267-278.

Schnurr, P.P. & Jankowski, M.K. (1999). Physical health and posttraumatic stress disorder: Review and synthesis. Seminars in Clinical Neuropsychiatry, 4, 295-304.

Henning, K., Leitenberg, H., Coffey, P., Bennett, T., and Jankowski, M.K. (1997). Long-term psychological adjustment to witnessing interparental physical conflict during childhood. Child Abuse and Neglect., 21 (6), 501-515.

Coffey, P., Leitenberg, H., Henning, K., Bennett, R.T., and Jankowski, M.K. (1996). Dating violence: The association between methods of coping and women's psychological adjustment. *Violence and Victims.*, 11 (3), 227-238..

Jankowski, M. K. (1995). Catherine R. Stimpson: Charting the course of women's studies since its inception. *Women and Therapy*, 17 (3/4), 489-494.

O'Leary, J.F., Fairclough, D.L., Jankowski, M.K., and Weeks, J.C. (1995). Comparison of time-tradeoff utilities and rating scale values of cancer patients and their relatives: evidence for a possible plateau relationship. *Medical Decision Making*, 15 (2): 132-137.

## **Erin R. Barnett, Ph. D.**

### **Curriculum Vitae**

**Prepared September 20, 2013**

---

#### **I. Education**

2008-2009 Clinical Psychology Pre-Doctoral Intern, Dartmouth Medical School

2006-2009 University of Missouri-St. Louis Ph.D.

2004-2006 University of Missouri-St. Louis M.A.

2000-2004 University of Nebraska-Omaha B.A.

#### **II. Post-doctoral training**

2009-2010 Dartmouth Medical School / VA's National Center for PTSD

#### **III. Academic appointments**

2013-current Assistant Professor, Department of Psychiatry, Geisel School of Medicine

#### **IV. Dartmouth Institutional Leadership Roles NA**

#### **V. Licensure and certification**

2010 Licensed clinical psychologist NH #1206

#### **VI. Hospital Appointments NA**

#### **VII. Other professional positions**

2009-present VA's National Center for PTSD Psychologist/Education Specialist

#### **VIII. Teaching activities**

##### **A. Undergraduate Medical Education NA**

##### **B. Graduate Education (List classes taught for Ph.D. and Masters students):**

2009-2012 Geisel School of Medicine Trauma Seminar for Facilitator 90 min weekly  
at Dartmouth psychology interns

**C. Graduate Medical Education** NA**D. Undergraduate college** NA**E. Continuing Medical Education**

2012	NCTSN <i>The Application of Trauma Screening/Assessment in Child Welfare Settings</i>	Co-presenter	90 minute training
2011	Attorney General Conference <i>Evidence-based treatments for traumatized children and families</i>	Co-presenter	90 minute training
2010	CHaD Conference <i>Child-parent psychotherapy</i>	Co-presenter	120 minute training

**F. Community Education**

2010-2011	UNH/ Granite State College <i>Caring for Children who have Experienced Trauma</i>	Adjunct faculty Taught two 12 hour courses to foster parents and professionals
2010-2011	UNH/ Granite State College <i>Impact of Domestic Violence on Foster Children</i>	Adjunct faculty Taught one 6 hour course to foster parents and professionals

**IX. Student/Fellow advising/mentoring**

2013-present	Mary Beth Medvide, pre-doctoral clinical psychology intern	Clinical Supervisor	Geisel School of Medicine at Dartmouth
2012-2013	Jaimi Ramsey, pre-doctoral clinical psychology intern	Clinical Supervisor	Geisel School of Medicine at Dartmouth

**X. Research Funding****A. Current**

2012- 2017	<i>The Partners for Change Project: Improving Well-Being for Youth in the NH Child Welfare System</i> 90CO1099/01	Project Coordinator 40%	DHHS (Jankowski, PI)
2013- 2015	<i>TF-CBT for Juvenile Justice Youth in Residential Care</i>	Project Coordinator 20%	(Cohen, Jankowski, PIs)

**B. Past**

2009-2012	<i>The New Hampshire Bridge Project</i> U79SM057261	Research Associate 40%	SAMHSA (Rosenberg, PI)
2009- 2012	<i>Effectiveness of CBT for Post-Disaster Distress</i> 5P60MH082598	Research Associate 20%	NIMH (Hamblen, PI)
2007-2008	<i>Acceptance and Commitment Therapy for Adolescents</i>	Project Coordinator 50%	U Missouri Research Board (Greco, PI)
2007-2008	<i>Experimental Study of Body Objectification in Men and Women</i>	Dissertation	U Missouri St Louis Feminist Research Award (\$1150)

**C. Pending** NA**XI. Program Development**

Assisted Dr. Kay Jankowski in writing several grant proposals, including her current DHHS-funded 5 year, \$3.2 million project to improve the well-being of foster children in NH, as well as a 2 year National Child Traumatic Stress Network breakthrough series collaborative award to improve placement stability in NH foster children by creating more trauma-informed systems of care.

Advanced the development of the Dartmouth Medical School/Geisel School of Medicine Trauma Seminar for pre-doctoral clinical psychology interns emphasizing evidence-based assessment and treatment for traumatic stress; facilitated seminar 2009-2012.

**XII. Entrepreneurial Activities** NA**XII. Major Committee Assignments** NA**XIV. Memberships, office, committee assignments in professional societies** NA**XV. Editorial Boards**

2004-2006      *Society for the Psychology of Women*      Assistant Editor

**XVI. Journal Reviewer Activity**

2013-present      *Journal of Traumatic Stress*      Ad Hoc Reviewer

2010-present      *Journal of Clinical Psychology*      Ad Hoc Reviewer

2009-2011      *Psychology of Women Quarterly*      Ad Hoc Reviewer

### **XVII. Awards and Honors**

2012            Exceptional Contributions to Research and Education,  
National Center for PTSD, \$900

2011            Special Contribution Award, National Center for PTSD, \$1000

2007            Jayne E. Stake Clinical Training Award, UM–St. Louis

2007            Lou Sherman Graduate Student Award, UM–St. Louis, \$2000

### **XVIII. Invited Presentations**

**International location:** NA

**National location:**

**Barnett, E.** (June 2012) *Implementing Child-Parent Psychotherapy in Rural New Hampshire*. International Child Violence and Family Violence Conference. Portsmouth, NH.

**Regional/local location:**

**Barnett, E.** and Jankowski, K. (May 2013). Presented at the annual DCYF conference. *Critical issues when providing services to children involved with child welfare*. Concord, NH.

**Barnett, E.** (November 2012). *The cost of caring: Compassion fatigue*. Presented at the annual NH Foster and Adoptive Parent Association conference. Concord, NH.

**Barnett, E.** and Jankowski, K. (October 2012). *Looking through the trauma lens*. Presented at the NH Mental Health and Schools Conference. Concord, NH.

**Barnett, E.** (September 2012). *Impact of trauma on children in child welfare*. Presented to Department of Children, Youth, and Family post-adoption staff. Concord, NH.

**Barnett, E.** (November 2011). *Early childhood trauma*. Presented to New Hampshire Early Supports and Services directors. Concord, NH.

**Barnett, E.** (April 2011). *Looking through the Trauma Lens*. Presented to the Claremont School District staff at an in-service workshop. Claremont, NH.

Robb, M., Racusin, B., **Barnett, E.**, Williams, M. (April 2011) *Child-parent psychotherapy*. Children's Hospital at Dartmouth annual conference. Quechee, VT.

**Barnett, E.** (2010, January). *Attachment Disorders in Young Children*. Presented to school

administrators, counselors, and teachers at the Claremont School District Teacher's Meeting. Claremont, NH.

**Barnett, E.** (2009, November). *Attachment: The Hidden Trauma*. Presented to judges, school administrators, attorneys, mental health providers, and guardian-ad-litums at the Sullivan County Judge's Breakfast. Claremont, NH.

**Barnett, E.** (September 2009) *Child-parent psychotherapy: A case example*. New Hampshire Infant Mental Health Conference. North Conway, NH.

## **XIX. Bibliography**

### **A. Peer-reviewed publications in print or other media**

#### **Original articles:**

**Barnett, E.,** Bernardy, N., Jenkyn, A., Lund, B., Alexander, B., & Friedman, M. (under review). Prescribing: clinician's perspectives on evidence-based psychotherapies for PTSD: Gatekeeping and Access within VA.

**Barnett, E.,** Rosenberg, H., Osofsky, J., Rosenberg, S., & Wolford, G. (in press). Dissemination and implementation of Child-Parent Psychotherapy in Rural Public Health Settings. *Child and Adolescent Mental Health*.

**Reviews:** NA

#### **Book chapters:**

Hamblen, J. L., **Barnett, E.,** Hermann, B., Schnurr, P. (2013). Overview of PTSD treatment research: The impact of trial design. In J. G. Beck & D. M. Sloan (Eds.), *The Oxford Handbook of Traumatic Stress Disorders*.

Hamblen, J. L., **Barnett, E.,** & Norris, F. H. (2012). Long term mental health treatment for adult disaster survivors. In J. Framingham and M. Teasley (Eds.), *Behavioral health response to disasters (pp. 301-318)*. CRC Press.

Greco, L. A., **Barnett, E.,** Blomquist, K. K., & Gevers, A. (2008). Body image, acceptance, and health in adolescence. In L. A. Greco & S. C. Hayes (Eds.), *Acceptance and mindfulness interventions for children, adolescents, and families*. Reno, NV: Context Press-New Harbinger.

**Letters to the editor:** NA

**Abstracts:** NA

### **B. Non-peer-reviewed publications in print or other media NA**

# Cassie Yackley, Psy.D.

Licensed Psychologist (#1046)

---

## ADMINISTRATION, MANAGEMENT, AND SUPERVISORY EXPERIENCE

### **Administrative Director**

April 2013 - Present

*Partners for Change Project*

*Dartmouth Trauma Interventions Research Center (DTIRC, Lebanon, NH)*

- Establish and coordinate research procedures and assist in designing and evaluation outcomes of project
- Coordinate effective implementation of project initiatives within the Department of Children, Youth, and Families (DCYF)
- Interfacing between Dartmouth project staff, DCYF central office and district offices, and community providers

### **Clinical Coordinator**

July 2012 - Present

*Children's Team*

*Riverbend Community Mental Health, Franklin, NH*

- Engage in leadership, collaboration, and teamwork to support clinical team in the provision high quality services and compliance with documentation requirements
- Provide ongoing individual and group supervision to team members
- Design and deliver staff trainings on topics such as TFCBT and CPP
- Collaborate with area agencies and systems such as school districts, DCYF, juvenile justice, Head Start, and the Child Advocacy Center of Merrimack County
- Manage administrative operations to optimize efficient service delivery and manage resources to obtain positive financial outcomes

### **Chief Psychologist/Director of Training,**

June 2005 – Present

*Internship in Professional Psychology (IPPP)*

*Riverbend Community Mental Health, Concord, NH*

- Fulfill administrative responsibilities for an APA accredited pre-doctoral internship training program in professional psychology
- Successfully completed two APA self-study processes for program reaccreditation
- Design, organize, and teach year-long seminar training series
- Manage IPPP budget through grant writing and management, balancing productivity demands for interns and revenue generation
- Provide clinical and administrative supervision of pre-doctoral interns

### **Adjunct Faculty/Supervisor**

September 2006 – Present

*Antioch University New England, Keene, NH*

- Provide supervision practicum students, including extensive use of videotape review and conducting formal evaluations
- Developed three doctoral practicum positions at Riverbend CMHC

### **Program Coordinator**

September 2004 – July 2012

*ASD Emotional and Social Enrichment Program (AESEP)*

*Riverbend Community Mental Health, Concord, NH*

- Developed comprehensive programming for children with an autism spectrum disorder (ASD) ages 3 to 18 years, including: diagnostic evaluation, psychotherapy, and group social skill training
- Provided training regarding treatment of ASDs and comorbid conditions for staff and for community agencies (Concord Hospital, schools, Child and Family Services, etc.)
- Managed grant funding for program sustainability

**Assistant Director**

September 2004 – May 2005

*Internship in Professional Psychology (IPPP)*

*Riverbend Community Mental Health, Concord, NH*

- Assisted in the development and implementation of training program seminar series
- Served as primary clinical supervisor for five pre-doctoral interns

**CLINICAL AND CONSULTATION EXPERIENCE**

**Reflective Practice Consultant**

October 2013 – October 2014

*NH Association for Infant Mental Health*

- Provide group and individual consultation to mental health professionals seeking certification as an IMH Specialist

**Licensed Psychologist**

May 2003 – July

2012

*Riverbend Community Mental Health, Concord, NH*

- Offered individual, family, and group therapy to severely emotionally disturbed (SED) population of children and adolescents (and their families), specializing in the treatment of trauma, ASDs, and psychosis
- Conducted comprehensive psychological evaluations employing a range of objective and projective assessment measures and procedures
- Training and consultation group participant in two evidence-based treatments: Trauma Focused Cognitive Behavior Therapy (TFCBT) & Child Parent Psychotherapy (CPP)
- Supervised postdoctoral candidates for psychology licensure in NH in the Children's Intervention Program and Emergency Services Department at Riverbend CMHC

**Licensed Professional Counselor**

August 2000 – May 2003

*Ackerman and Associates, P.C., Greeley, CO*

- Conducted psychotherapy in office, home, and community settings with children, adults, and families, with emphases in providing Multi-Systemic Therapy in the treatment of victims of sexual abuse and non-offending family members
- Provided individual, family, and family-group psychotherapy and foster parent in-home consultation and group therapy for children placed in a foster home for local child protective agency in cases involving parent/child reunification
- Conducted comprehensive psychological evaluations for diagnostic and clinical decision-making, disability qualification assessments, custody evaluations, and ADD and ADHD screenings

**Pre-Doctoral Psychology Intern**

August 1999 – August 2000

*Children's Intervention Program**Riverbend Community Mental Health Concord, NH*

- Provided individual and family psychotherapy to children and adolescents with complex psychiatric disorders
- Conducted psychoeducational and clinically-oriented evaluations
- Participated in a multidisciplinary and multi-agency treatment teams to provide comprehensive mental health services to youth and families
- Served in a high school wellness clinic providing therapy and participating on school administrative team formed to discuss student concerns and provide referrals for appropriate services

**Career Counselor—Graduate Assistant**

August 1996 – June 1998

*University of Northern Colorado Career Services, Greeley, CO*

- Provided individual career counseling to students at all levels of career development
- Taught seminars and courses aimed at career planning and guidance
- Interpreted interest inventories and personality measures to assist in career planning

**Adolescent & Family Treatment Specialist**

January 1995 – August 1995

*Belloni Counseling Services, Coos Bay, OR*

- Provided psychotherapy for youth and their family members in a group home setting including treatment for sexual abuse, psychiatric problems, and drug and alcohol issues
- Collaborated with and trained residential treatment staff regarding therapeutic milieu management and handling youth with difficult emotional and behavioral problems

**School Counselor**

September 1994 – August 1995

*Millicoma Middle School, Coos Bay, OR*

- Performed administrative duties of counseling program serving a student body of 600
- Consulted with school staff regarding educational planning and behavioral interventions
- Coordinated Millicoma's state school assessment program
- Provided individual and group counseling

**School Counselor**

January 1994 – June 1994

*Newport Middle School, Newport, OR*

- Offered individual and group counseling services for student body of 450 in semi-rural community with a significant degree of poverty
- Served as an administrator on student assistance teams formed to develop individualized education and behavior plans for students

**Counseling Intern**

September 1992 - 1993

*Oregon State University, Corvallis, OR**Child Protective Services*

- Provided individual psychotherapy for children and adolescents who had been neglected and/or abused by their parents

- Conducted psychotherapeutic groups for preadolescent, sexually abused girls  
*Adams Elementary School*
- Counseled elementary school children individually and in groups
- Provided psychoeducational instruction in the classroom setting

**Assistant Crisis Worker**

May 1990 – June 1991

*Northwest Youth Services, Bellingham, WA*

- Planned and implemented daily activities for residents of youth group home
- Conducted psychoeducational and activity-based groups for youth residents

**PRESENTATIONS**

**Presenter/Training Committee Member**

January 2006 – September 2012

*Agency-Wide Presentations (Ethics, ASDs, CPP)*

Riverbend Community Mental Health, Concord, NH

**Invited Presenter**

March 2012

*Understanding and Treating Youth on the Autism Spectrum*

Child and Family Services, Concord, NH

**Invited Presenter**

September 2011

*An Overview of Child Parent Psychology*

Department of Children, Youth, and Families (DCYF), Concord, NH

**Invited Presenter**

October 2011

*Working Effectively with Individuals with an Autism Spectrum Disorder*

Merrimack Valley School District, Penacook, NH

**Invited Presenter**

October 2011

*Practical Strategies for Students with an ASD*

NAMI Mental Health and Schools Conference, Concord, NH

**Invited Presenter**

November 2011

*Understanding and Effective Treatment of Trauma*

Merrimack County Justice Department, Concord, NH

**Invited Presenter**

January 2007

*Understanding Asperger's Syndrome*

Concord Hospital, Concord, NH

**Educational Staff In-Service**

May 2005

*Group Interventions for Asperger's Syndrome*

Concord School District, Concord, NH

<b>Educational Staff In-Service</b> <i>Understanding Asperger's Syndrome</i> Pittsfield Elementary School, Pittsfield, NH	May 2004
<b>Invited Presenter</b> , Child Abuse and Neglect <i>Treating Victims of Sexual Abuse</i> University of Northern Colorado, Greeley, CO	May 1999
<b>Invited Presenter</b> , Child Abuse and Neglect <i>Treating Adolescent Victims of Sexual Abuse</i> University of Northern Colorado, Greeley, CO	May 1998
<b>Panel Member</b> , Writing the Qualitative Dissertation <i>Evaluation Methods in Qualitative Research</i> Rocky Mountain Psychological Association, Fort Collins, CO	May 1999
<b>Poster Session</b> <i>Directives and Direction in Counseling Practice</i> Rocky Mountain Association for Counselor Education and Supervision, Breckenridge, CO	October 1998
<b>Facilitator</b> , Transitions in Qualitative Research Seminar <i>What is Research?</i> University of Northern Colorado, Greeley, CO	September 1998
<b>Poster Session</b> <i>Eating Disorders: The Insider's Perspective</i> Western Psychological Association, Albuquerque, NM	April 1998
<b>Poster Session</b> <i>On the Front Line: Experiences of Direct Service Staff Member</i> Western Psychological Association, Albuquerque, NM	April 1998
<b>Panel Member</b> , Writing the Qualitative Dissertation <i>Qualitative Research Methodology</i> UNC Annual Symposium for Graduate Research and Scholarship, Greeley, CO	April 1998
<b>Invited Presenter</b> , Trauma <i>Trauma in the School Setting</i> University of Northern Colorado, Greeley, CO	June 1997

## TEACHING

<b>Adjunct Faculty</b> <i>Autism Spectrum Disorders Certificate Program</i>	October 2009 – Present
--	------------------------

*Antioch University New England, Keene, NH*

- Designed and teach *Introduction to Educational and Clinical Assessments for ASDs*
- Designed and teach *Advanced Counseling Techniques for ASDs*
- Fulfill faculty responsibilities, including: meeting attendance, program assessment and development tasks as requested by the program director

**Instructor**

September 1998 – May 1999

*Introduction to Psychology*

*University of Northern Colorado, Greeley, CO*

- Developed syllabus and conducted classes including lecturing, and grading

**Teaching Assistant**

May 1998 – August 1998

*Introduction to Qualitative Research*

*University of Northern Colorado, Greeley, CO*

- Co-taught a graduate-level qualitative research course including preparing and delivering lessons, evaluating assignments, and providing feedback on research proposals

**Instructor**

August 1996 – June 1998

*Career Theories and Employment Trends*

*University of Northern Colorado, Greeley, CO*

- Designed lessons and activities for courses in career exploration, evaluated student progress, and interpreted career interest inventories

**EDUCATION**

**Doctor of Psychology: Counseling Psychology** (*APA Accredited*)  
University of Northern Colorado, Greeley, CO

August 2002

**Master of Science: Counseling** (*CACREP Accredited*)  
Oregon State University, Corvallis, OR

December 1993

**Bachelor of Arts: Psychology** (Minor: Communication)  
Western Washington University, Bellingham, WA

August 1991

**RESEARCH** (1999 - Present)

**Dissertation Committee Member**

May 2009 - Present

Antioch University New England, Keene, NH

*Supporting Parents of Children with Asperger's Syndrome*

**Dissertation Committee Member**

August – December 2007

Antioch University New England, Keene, NH

*Understanding the Needs of Parents of Children with Asperger's Syndrome*

**Dissertation** April 1999 – April 2002  
University of Northern Colorado, Greeley, CO  
*Youth Perceptions of Violence: A Collaborative Inquiry*

*Dissertation (Awarded Dean's Citation for Outstanding Dissertation): "A Collaborative Inquiry with Youth on Their Perceptions of Violence: 'I Can Put a Good Story Behind All This Violence Stuff.'"*

**Graduate Research Assistant** May 1998 – September 1998  
University of Northern Colorado, Greeley, CO  
*Transitions in Qualitative Research: Preparing for a New Century of Research*

**Graduate Research Assistant** May 1997 – September 1997  
University of Northern Colorado, Greeley, CO  
*Eating Disorders: The Insider's Perspective*

**Research Apprenticeship** January 1997 – May 1997  
University of Northern Colorado, Greeley, CO  
*Hiring Preference of PsyD Versus PhD Candidates*

**Qualitative Research Colloquium Participant** September 1998 – April 1999  
University of Northern Colorado, Greeley, CO  
*Development of Qualitative Research Approaches at UNC*

### PROFESSIONAL ACTIVITIES

**At-Large Board Member** September 2011 - Present  
*New Hampshire Psychological Association*

**Member** September 2007 - Present  
*NH Regional Expert ASD Consultation Hub (REACH)*

**Member** June 2005 -Present  
*Riverbend CMHC Training Committee*

**Member** July 2008 - July 2009  
*Diversity Task Force, NH Office of Minority Affairs*

## BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors in the order listed on Form Page 2.  
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Butcher, Rebecca L.	POSITION TITLE Research Associate		
eRA COMMONS USER NAME (credential, e.g., agency login) RLBUTCHER			
EDUCATION/TRAINING <i>(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)</i>			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	MM/YY	FIELD OF STUDY
University of Vermont, Burlington, VT	BS	1989	Physical Therapy
Boston University, Boston, MA	MS	1995	Applied Movement Science
University of New Hampshire, Manchester, NH	MPH	2012	Public Health

### A. Personal Statement

With over 20 years as a clinician, consultant and assistant professor in healthcare service delivery, and more recent experience designing and conducting mixed methods evaluations for a wide range of programs, I am well qualified to serve as Research Associate to the lead Evaluator for this application. I have assisted in evaluations of both state- and community-based policy initiatives and interventions, as well as learning collaboratives aimed at improving health in a variety of contexts ranging from developing countries, urban and rural settings, and higher education institutions. As the Co-Evaluator, I will work closely with PI and State project leaders to provide timely and ongoing feedback to assist in designing methods, collecting data, and the analysis and reporting of findings related to program goals.

### B. Positions and Honors

2011-current    Research Associate, Center for Program Design & Evaluation at Dartmouth, Community and Family Medicine, Geisel School of Medicine, Lebanon, NH

2002-2011     Physical Therapist, Senior Clinical Research Staff, Wentworth Homecare & Hospice, Dover, NH

1999-2008     Consultant and Educator, The Dogwood Institute, Atlanta, GA

1995-2002     Clinical Assistant Professor, Sargent College of Allied Health Professions, Boston University, Boston, MA

1991-1994     Physical Therapist, Staff and Senior Level, Portsmouth Regional Hospital, Portsmouth, NH

1989-1991     Physical Therapist, Elliot Hospital, Manchester, NH

### C. Peer-Reviewed Publications

1. Aytur SA, RL Butcher, CH Carlson, KE Schifferdecker. Creating Safe Neighborhoods for Obesity Prevention: Perceptions of Urban Youth. In V Brennan, S Kumanyika, and R Zambrana (Eds.) Obesity Interventions in Underserved US Populations: Evidence and Directions. (In Press) Baltimore: Johns Hopkins University Press.
2. Butcher, R. L., Ellis, T., Holt, K.G. (2001). Teaching Spasticity and Weakness from a Dynamical Systems Perspective: Part II. *Neurology Report*, 25 (3), 106-113.

3. Holt, K.G., Saltzman, E., Ellis, T., Butcher, R.L. (2001). Teaching Spasticity and Weakness from a Dynamical Systems Perspective: Part I. *Neurology Report*, 25 (3), 102-105.
4. "Teaching Materials and Strategies for Entry-Level Curricula in Neurologic Rehabilitation Across the Lifespan: A Compendium of Examples.", Neurology Section, APTA, Jan. 2001.
5. Holt, KG, Butcher, R. & Fonseca ST. (2000). Limb stiffness in active movements of children with spastic hemiplegic cerebral palsy. *Pediatric Physical Therapy*.
6. "A Measure of Limb Stiffness during Active Movement", Butcher, R.L. Boston University, Master's Thesis.

#### **D. Funded Support**

**VA Quality Scholars Fellowship** (Tina Foster, Program Director) Aug 2013-Dec 2013  
 Veterans Administration Office of Academic Affiliations (OAA) & The Dartmouth Institute

The VAQS Fellowship is a 2-year fellowship for physicians and graduate-level nurses to develop knowledge and experience in quality improvement methods for applications in healthcare delivery, research and education. In partial fulfillment of the Dartmouth Hub site's contract with VA's Office of Academic Affiliations (OAA), this mixed methods evaluation examined contextual supports, program structures, delivery, and outcomes at the eight sites to describe overall accomplishments, systematic issues and future recommendations for the program.

Role: Lead Evaluator

**Wellness at Dartmouth** (Melissa Minor, Program Director) 2013-ongoing  
 Dartmouth College

The Wellness program, created in 2012, provides a range of health promotion and supports including health coaching, screening, and primary care clinic to benefits-eligible staff and faculty, spouses/partners and adult dependents with the goal of empowering people to initiate and sustain positive lifestyle choices. This three year evaluation includes environmental assessment, interviews and focus groups with stakeholders across the institution, consulting client in program evaluation and dashboard display of monthly benchmarks.

Role: Co-Evaluator

**Partners for Change** (Mary Kay Jankowski, PI) 2013-ongoing

Dartmouth Trauma Intervention Research Ctr (DTIRC) & NH Div of Children Youth, and Families (DCYF) funded by 5 year grant from Federal DHHS Administration of Children and Families (ACF).

A joint project to provide training and technology updates to state child welfare staff and community mental health providers in evidence based screening, assessment, and treatment practices for children and youth with history of trauma and PTSD. Project consists of interventions and program evaluation components at three main levels: a) the NH child welfare (including Juvenile Justice) System, b) staff and providers across all regions of the state, and c) children and families. In a mixed methods longitudinal transformation randomized cross-over design with pilot project, the primary domains of evaluation include: program implementation, system integration, cost-benefit analyses, and outcomes across all three levels.

Role: Co-Evaluator

**NCHIP** (Patricia Lanter, MD, PI, Lisa Johnson, MS, Project Manager) 2012-ongoing

The Dartmouth Institute of Health Policy and Clinical Practice.

The National College Health Improvement Program convened a 32-institution learning collaborative on high risk drinking on college campuses. Using the Breakthrough Series Initiative model, institutional teams learned improvement science methods to better measure and track high risk drinking rates and associated harms, as

well as determine the effectiveness of newly-applied evidenced-based interventions aimed at individuals, environments, and systems.

Role: Co-Evaluator, Phase I Impact Assessment  
Lead Evaluator, Phase II Realist Evaluation  
Co-Evaluator, Phase II Impact Assessment

**In Shape Together** (Karen Schifferdecker, PhD, MPH, PI) 2011-ongoing  
Prevention Research Center at Dartmouth (CDC; HRSA funded) in collaboration with three partner communities: Keene and Manchester, NH and St. Johnsbury, VT.

This project focused on an innovative intergenerational neighborhood physical activity and nutrition program aimed at building community capacity and wellness through community assessment, goal setting, and team- and individually-based activities. In the final year of project with current focus on dissemination and publication.  
Role: Program Design; Project Manager for Implementation; Contribution to scholarly publications.

**New Hampshire Injury Prevention Program** (Rhonda Seigel, MS, PI) 2012-2013  
CDC Core VIPP.

Develop logic model, health impact measures and a comprehensive evaluation plan around four state priority areas across a five-year funding period. Each priority area has 2-4 policy or intervention components requiring measurement indicators to link with either existing data sources or from which new evaluation methods are developed to track impact and effectiveness.

Role: Evaluator

**ARISE** (Mark Splaine, MD, PI) 2011-2012

John Snow Inc.

The ARISE project, based in Uganda, focused on improving routine immunizations in one district of Uganda through a health unit learning collaborative. Participants learned quality improvement methods to apply in their own health unit.

Role: Co- Evaluator

## **E. Selected Scientific Presentations**

“Evaluation of Injury Prevention Programs,” 1 hour presentation before regional audience of injury prevention specialists and state program directors at *Perspectives of Enhancing Injury Prevention: Research & Practice*, Waltham, MA. Oct. 24, 2012.

“Principles of Program Evaluation.” 1-hr presentation to UNH MPH students, Manchester, NH. June 2012.

“An Internal Assessment of the NH Department of Health and Human Services.” Presentation before NH DHHS leaders and agency officials as part of their Service Delivery Transformation project. Concord, NH. May 2012.

“Preventing Falls in Your Facility.” 1-hr keynote speech to NH Association of Residential Care Homes. Concord, NH. Oct. 26, 2010.

“Recovery of Function Post-Stroke: Evidence-based Treatment Strategies.” Two-day continuing education seminar co-sponsored by *The Dogwood Institute* May 2000 - 2008. Four to six courses taught per year in facilities around the country.

“Using Evidence in Teaching”, a Roundtable Discussion at the Neurology Section, *APTA Combined Sections Meeting*, Boston, MA, Feb. 2002.

"The Sixth Annual Stroke Update for Health Professionals", co-presented with physicians at Lutheran Medical Center, Brooklyn, NY for the AHA, June, 2002.

"Motor Control, Cognition, and Motor Learning for the Neurological and Geriatric Patient: Functional Assessment, Evaluation and Treatment". *The Dogwood Institute*. Oct. 1999 – May 2000. Southwestern Medical Center, San Antonio, TX & Southwestern VA Training Center, Hillsville, VA.

"Using the Disablement Model to Teach Physical Therapy Students the Process of Diagnosis", *APTACombined Sections Meeting*, Seattle, Washington, February 1999.

"New Concepts in Total Knee Replacement Management", April 1993. *Portsmouth Regional Hospital, Portsmouth, NH*

Hungarian Teaching Fellowship in Total Joint Replacement, June 1993. *Portsmouth Regional Hospital, Portsmouth, NH*. Assisted in program coordination and teaching for a visiting Hungarian physician and physical therapist.

"A Multidisciplinary Approach to Management of the Stroke Patient", Nov. 1991. *Ports. Reg Hospital*

## BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors in the order listed on Form Page 2.  
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Karen E. Schifferdecker	POSITION TITLE Assistant Professor		
eRA COMMONS USER NAME (credential, e.g., agency login) KASCHIFFERDECKER			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY
Luther College, Decorah, IA	BA	05/89	Biology
University of Connecticut, Storrs, CT	MA	05/93	Medical Anthropology
University of Connecticut, Storrs, CT	PhD	05/00	Medical Anthropology
Dartmouth College, Hanover, NH	MPH	06/11	Public Health

### A. Personal Statement

### B. Positions and Honors

- 1995 - 1996 Research Co-Director, Northeastern Connecticut Rural Health Needs Assessment Center for International Community Health Studies, University of Connecticut
- 2000 - 2012 Director, Office of Community-Based Education and Research, Dartmouth Medical School
- 2001 Research Consultant, NH REACH 2010 Diabetes and Hypertension Study on African Descent and Latino Populations. NH AHEC and NH Minority Health Coalition, Manchester, NH
- 2000 - 2005 Research Associate, Department of Community and Family Medicine, Dartmouth Medical School
- 2005 - Assistant Professor, Department of Community and Family Medicine, Dartmouth Medical School
- 2010 - Associate Director, Center for Program Design and Evaluation at Dartmouth, Dartmouth Medical School
- 2011 - 2013 Research Consultant, Institute for Innovative Technology In Medical Education, Lebanon, NH

### C. Peer-Reviewed Publications (selected)

1. Carney PA, Pipas CF, Eliassen MS, Mengshol SC, Fall LH, Schifferdecker KE, Olson AL, Peltier DA, Nierenberg DW. (2002) An Analysis of Students' Clinical Experiences in an Integrated Primary Care Clerkship. *Academic Medicine*, 77: 681-687. (PMID12114140)
2. Carney, PA, Schifferdecker KE, Pipas CF, Fall LH, Poor DA, Peltier DA, Nierenberg DW, Brooks WB. (2002) A Collaborative Model for Supporting Community-based Interdisciplinary Education. *Academic Medicine*, 77: 610-620. (PMID12114138).
3. Reed, V. A., Schifferdecker, K.E., & Pipas, C. F. Development and Assessment of a Cultural-Immersion Diversity Experience for Family Medicine Students. *Annals of Behavioral Science and Medical Education*. 2007: 13(2): 78-86.
4. Schifferdecker KE, Homa K, Reed VA. A Training Intervention to Improve Information Management in Primary Care. *Family Medicine*. 2008: 40(6): 248-257. (PMC2839360)

5. Reed, VA, Schifferdecker, KE, & Homa, K. Improving information management in primary care: The proof is in the pudding. *Informatics in Primary Care*. 2008; 16: 211-217. (PMID19094408)
6. Homa K, Schifferdecker KE, Reed VA. Do Lessons Learned in a Training Intervention on Web-based Health Care Resources Diffuse to Non-exposed Members in the Primary Care Setting: A Comparative Study. *Quality Management in Health Care*. 2008; 17(4): 330-340. (PMID19020403)
7. Schifferdecker KE, Reed VA. Using Mixed Methods Research in Medical Education: Basic Guidelines for Researchers. *Medical Education*. 2009; 43: 637-644. (PMID19573186)
8. Reed VA, Schifferdecker KE, Rezaee ME, O'Connor S., & Larson, RJ. The effect of computers for weight loss: A systematic review and meta-analysis of randomized trials. *Journal of General Internal Medicine*. 2012; 27(1): 99-108. (PMID21805218)
9. Schifferdecker KE, Berman NB, Fall LH, Fischer MR. Adoption of computer-assisted learning in medical education: the educators' perspective. *Medical Education*. 2012; 46(11): 1063-1073. (PMID23078683)
10. Reed VA, Schifferdecker KE, Turco M. Motivating and Assessing Continuing Medical Education Learning Outcomes Via a Personal Learning Plan<sup>®</sup>. *The Journal of Continuing Education in the Health Professions*. 2012; 32(4): 287-294. (PMID23280533)
11. Bazos D, Schifferdecker KE, Fedrizzi R, Holbeke J, Ruggles L, Goldsberry Y. Action-Learning Collaboratives as a Platform for Community-Based Participatory Research to Advance Obesity Prevention. *Journal of Healthcare of the Poor and Underserved*. 2013; 24 (2) (Supplement): 61-79. (PMID23727965)

#### D. Research Support (selected)

Facilitating Patient Reported Outcome Measurement for Key Conditions 10/1/13 - 9/30/16

E. Fisher, PI

Patient Centered Outcomes Research Institute (PCORI)

This project will implement a mixed methods methodology to develop two condition-specific patient reported outcome instruments (PROMIS-CSIA) that integrate generic and condition-specific patient-reported outcome measures. The instruments will focus on two high impact conditions, osteoarthritis of the knee and heart failure, with the goal of optimizing their use by both patients and clinicians.

1P20GM104416

Center for Molecular Epidemiology

3/1/2013 - 1/31/2018

M. Karagas, PI

National Institutes of Health

The primary goals of the center are to support the infrastructure for: 1) stimulating rigorous innovative research and fostering the career development of junior investigators and recruiting new faculty, 2) promoting translation of emerging technologies and basic research findings on common pathways of disease etiology and progression by providing core research services.

Award #: 90CO1099

Partners for Change Project

9/30/2013 – 9/29/2014

M Jankowski, PI

Administration for Children and Families

Project aims to improve the social and emotional well-being of children, youth and families served by the NH child welfare system by providing training and support to child welfare workers and community mental health providers in the screening, referral, assessment and treatment of vulnerable children and adolescents in NH.

Contract #: VA741-13-C-001

Department of Veterans Affairs' Quality Scholars Program Evaluation

8/15/2013-12/31/2013

T. Foster, PI

Department of Veterans Affairs

This project focuses on a mixed methods evaluation of the VA Quality Scholars Program (VAQS) at the fellow, faculty and organizational levels to study the accomplishments and barriers of the program in light of VA objectives and overall goals for the program and how the program might be improved.

Implementation of Patient-reported Measures

10/01/2011 – 09/29/2014

E. Fisher, PI

Booz Allen Hamilton

This research study examines the implementation of patient-reported measures (PRMs) across clinical practice settings across the United States to assess readiness of practice sites to implement use of PRMs, variations in implementation and changes in patient care and health outcomes.

1 UB6HP20157-01-00

09/01/2010 – 08/31/2015

R Orgren, PI

New Hampshire Public Health Training Center

Health Resources and Services Administration

The grant aims to strengthen the technical, scientific, managerial, and leadership competence of the public health workforce in New Hampshire.

#### **E. Past Research Support (selected)**

iPad Implementation at Geisel School of Medicine at Dartmouth

07/01/2012 - 08/31/2013

L. Fall, Project Leader

Geisel School of Medicine Dean's Office

This project was a mixed methods evaluation of an iPad project at the Geisel School of Medicine to implement the use of iPads in all first-year medical school classes.

Multispecialty Portfolio Approval Program Evaluation Project

04/01/2012 - 02/05/2013

K Schifferdecker, PI

American Boards of Family Medicine, Internal Medicine, and Pediatrics.

This project was a mixed methods evaluation of the Multispecialty Maintenance of Certification Portfolio Approval Program at the physician, organizational and program partner levels to study: 1) how the program has worked; 2) how it might be improved; and 3) suggestions for rolling the program out to multiple institutions.

Africa Routine Immunization System Essentials -- System Innovation

4/01/2010-6/30/2012

M. Splaine, PI

Melinda Gates Foundation

The project focuses on an external evaluation of the ARISE program, which involved implementation of an Action Learning Collaborative model in Uganda among rural health clinics focused on improving child immunizations coverage and tracking.

Examining Manchester, N.H., as a case study in building resident and institutional capacity for long-term sustainability of healthy communities. Robert Wood Johnson Foundation.

01/15/2011-01/14/2012

S. Aytur, PI

A grant to systematically examine the collaborative public policy process in Manchester, New Hampshire that combined a public health prevention perspective with evidence-based criminal justice initiatives.

1U48DP001935-01

10/01/2009 - 09/29/2014

E. Fisher, PI

Reducing Disparities in Health for Vulnerable Populations in NH and VT

Dartmouth Population Health Research Center (DPHRC)

Centers for Disease Control and Prevention Research Center

The overall mission of the PRCD is to measurably reduce disparities in cardiovascular health for vulnerable populations across the lifespan.

**DARTMOUTH COLLEGE**  
 Improve Permanency and Well-Being Outcomes for Children Adopted through DCYF  
 9/30/2013-6/30/2014

Key Personnel

<b>Name</b>	<b>Job Title/Project Title</b>	<b>Salary</b>	<b>% Paid from this Contract</b>	<b>Amount Paid from this Contract (w/ Fringe Benefits)</b>
Jankowski, Kay	Assistant Professor/Principal Investigator	\$86,549	30.00%	\$25,997
Barnett, Erin	Assistant Professor/Project Director	\$72,540	30.00%	\$21,789
Yackley, Cathleen	Administrative Director/Project Coordinator	\$72,540	20.00%	\$14,526
TBN	NHAPP Program Manager	\$60,000	100.00%	\$60,075
Butcher, Rebecca	Research Associate/Evaluator	\$71,936	50.00%	\$36,013
Schifferdecker, Karen	Assistant Professor/Senior Evaluator	\$96,428	15.00%	\$14,482
<b>TOTAL</b>				<b>\$172,882</b>