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**STATE OF NEW HAMPSHIRE  
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
OFFICE OF MINORITY HEALTH AND REFUGEE AFFAIRS**

Nicholas A. Toumpas  
Commissioner

97 Pleasant Street, Thayer Building, Concord, NH 03301-6504  
603-271-3986 Fax: 603-271-0824 TDD Access: 1-800-735-2964

Trinidad L. Tellez, M.D.  
Director

September 24, 2012

*100% federal  
Retroactive*

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

**REQUESTED ACTION**

Authorize the Department of Health and Human Services, Office of Minority Health and Refugee Affairs to enter into a **retroactive** no cost extension of its contract with Southern New Hampshire University, (VC # 177206, B005) 2500 North River Road, Manchester, NH 03106, to provide Capacity Building as part of the Health Profession Opportunity Project by extending the contract end date from September 29, 2012 to March 29, 2013, retroactive to September 30, 2012. This request is for a no cost extension only. The amendment will allow Southern New Hampshire University fully meet contracted deliverables. The original contract was approved on May 23, 2012 (Item #42) and the amended contract will not exceed the original contract ceiling of \$33,086.00. Funds are available in State Fiscal Year 2013 in the following account with authority to adjust amounts if needed and justified between State Fiscal Years:

05-95-95-950010-5993 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SERVICES, HHS: COMMISSIONER, OFFICE OF THE COMMISSIONER, HEALTH PROF OPPORTUNITIES

SFY	Appropriation	Class/Object	Class Title	Current Modified Budget	Increase (Decrease) Amount	Revised Modified Budget
2012	010-095-59930000	102-500731	Contracts for Program Services	\$9,469.00	(\$8,936.10)	\$532.90
2013	010-095-59930000	102-500731	Contracts for Program Services	\$23,617.00	\$8,936.10	\$32,553.10
Total				\$33,086.00	\$0.00	\$33,086.00

**EXPLANATION**

The purpose of this Requested Action is to amend the original Agreement by extending the termination date from September 29, 2012 to March 29, 2013 so the Southern New Hampshire University can fully complete contracted deliverables. The timeframe for this project has been short and several essential elements of project implementation have been delayed. Extension of the contract end date required approval from the Administration for Children and Families and securing that approval delayed preparation of this amendment. Amending the contract will ensure that the Health Profession Opportunity Project and its participants receive full benefit from Southern New Hampshire University's work. Making the amendment retroactive to the original contract end date will allow important project activities to proceed without interruption or delay.

The purpose of this contract has been to provide a Capacity Building initiative to build structural capacity within a healthcare education program to recruit, retain and advance minority students and employees. This initiative is

one component of a larger Health Profession Opportunity Project to serve New Hampshire Temporary Assistance to Needy Families recipients and other low-income adults to train for and secure employment in healthcare. The vendor has worked in partnership with the Office of Minority Health and Refugee Affairs, the federal Administration for Children and Families, and external organizations. The major objective of this Capacity Building initiative and this contract is to support Southern New Hampshire University's Program in Community Mental Health to assess its recruitment and student retention policies and practices, its curricula and teaching models and its community partner networks, to make changes consistent with known best practices and to increase access to its program for Temporary Assistance to Needy Families recipients and other low income individuals, including racial, ethnic and linguistic minorities.

The Health Profession Opportunity Project Case Management and Training contract was approved by Governor and Council on April 13, 2011, item #74 and was subsequently amended and approved by Governor and Council on September 28, 2011, item # 103. New Hampshire Health Profession Opportunity Project objectives serve as the basis for Capacity Building efforts, in that capacity building is intended to develop systems that can be sustained long-term to support Health Profession Opportunity Project goals and objectives. The vendor partners with the Office of Minority Health and Refugee Affairs to achieve these objectives by assessing and then adapting its policies and practices to achieve the goal of greater inclusion for Temporary Assistance to Needy Families recipients and other low income individuals including racial, ethnic and linguistic minorities. The Southern New Hampshire University Program in Community Mental Health is working collaboratively to increase access to graduate education for previously disadvantaged individuals and reports directly to the Health Profession Opportunity Project Director. The vendor has demonstrated that it has the requisite organizational and workforce development experience and has the capacity to be flexible and responsive to requests for change in approach, strategy or priorities as the Project evolves. The vendor is experienced in working with individuals who experience barriers to higher education such as persons with mental illness and their families. The vendor knows and is well known to required partners and others in the state and understands the unique challenges and barriers faced by vulnerable and minority populations.

Approval for this amendment is necessary to meet the funding requirements from the Administration for Children and Families and to ensure infrastructure development for enhanced access to higher education and to inform the Health Profession Opportunity Project of key strategies to increase access to healthcare education and training broadly for Temporary Assistance to Needy Families recipients and other low-income populations.

The Administration for Children and Families approved this contract amendment prior to submission to Governor and Council, and determined that the contract meets federal requirements for Capacity Building for the New Hampshire Health Profession Opportunity Project over the contract period.

Should Governor and Executive Council determine to not authorize this Request, the project will not be completed as designed. The Office of Minority Health and Refugee Affairs will not be able to comply with guidelines set by the federal Administration for Children and Families and the opportunity to fulfill this requirement of this federally funded demonstration project will be lost. The Administration for Children and Families has framed this as a national initiative to find best practices that can be replicated to address issues of unemployment and an under-skilled healthcare workforce. The Administration for Children and Families has dedicated extensive resources to these projects, and it is expected that the larger Health Profession Opportunity Project will be continuously informed and improved upon by an ongoing capacity to create pathways for training and employment for low-income individuals.

This contract was competitively bid. The Request for Proposals was posted on the Department of Health and Human Services website beginning February 23, 2012, and advertised in the New Hampshire Union Leader for three days: February 23, 24, 26, 2012.

Performance for this contract is monitored quarterly based upon the following:

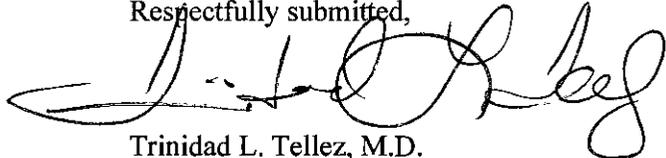
1. Work collaboratively and communicate effectively with the Office of Minority Health and Refugee Affairs and other key stakeholders.
2. Follow work plan, maintain timelines and notify the Office of Minority Health and Refugee Affairs of any changes in work plan or timeline
3. Submit monthly invoices/expenditure reports in a timely manner and with supporting details.
4. Submit other project reports and updates as requested.
5. Participate in a monitoring and evaluation process led by the Office of Minority Health and Refugee Affairs cooperative agreement with the Administration for Children and Families and facilitated by a hired external evaluator.
6. Remain flexible with evaluation criteria to be designated by the Office of Minority Health and Refugee Affairs and the Administration for Children and Families and prepare to incorporate several types of evaluations into regular reporting including an anchor evaluation, a performance management evaluation, and a more in-depth federal evaluation to include uniform data sets and standardized measures across different projects funded by the Administration for Children and Families nationally.
7. Participate as requested in the Employer Research Initiative for Health Profession Opportunity Project, an Administration for Children and Families funded partner project led by Brandeis University's Institute on Assets and Social Policy (IASP).
8. Responsiveness to assurance and certifications.
9. Timely submission of required reports.

Area served: Statewide

Source of Funds: 100% Federal Funds derived from the United States Department of Health and Human Services, Administration for Children and Families through the "Health Profession Opportunity Grants to Serve Temporary Assistance to Needy Families Recipients and Other Low-Income Individuals" program.

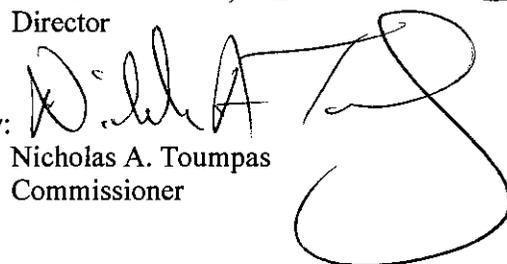
In the event that Federal Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Trinidad L. Tellez, M.D.  
Director

Approved by:



Nicholas A. Toumpas  
Commissioner



**AMENDMENT**

This agreement (hereinafter called the “Amendment”) dated this **12<sup>th</sup> day of September, 2012**, by and between the State of New Hampshire, acting by and through its Department of Health and Human Services (hereinafter referred to as the “Department”) and Southern New Hampshire University with a place of business at 2500 North River Road, Manchester, New Hampshire 03106 (hereinafter referred to as the “Contractor”).

WHEREAS, pursuant to an Agreement (hereinafter called the “Agreement”) dated April 5, 2012, and approved by the Governor and Council on May 23, 2012, Agenda Item #103, the Contractor agreed to perform certain services upon the terms and conditions specified in the Agreement and in consideration of payment by the Department of certain sums as specified therein for the length of time specified therein; and

WHEREAS, pursuant to the provisions of Section 18 of the Agreement, the Agreement may be amended, waived or discharged only by a written instrument executed by the parties thereto; and

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

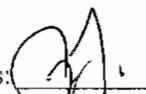
NOW THEREFORE, in consideration of the foregoing, and the covenants and conditions contained in the Agreement and set forth herein, the parties do hereby agree as follows:

1. Amendment and modification of Agreement:
  - a. Amend P-37 Section 1.7 Completion Date by striking 9/29/12 and inserting 3/29/13 in its place.
2. Amendment and modification of Standard Exhibit A:
  1. Amend Contract Period to extend contract end date from September 29, 2012 to March 29, 2013.
  2. Amend Article II, Section F, Paragraph 6 by striking the existing report schedule and inserting in its place the following:

<b>Reporting Period</b>	<b>Report Due Date</b>
Quarter 3: April 1-June 30	July 15, 2012
Quarter 4: July 1-September 29	October 15, 2012
Quarter 1: Oct 1 – December 29	January 15, 2013
Quarter 2: January 1 – March 29	April 15, 2013

- c. Amend Work Plan by striking it in its entirety.
- d. Amend Timeline of Activities by striking these in their entirety.
- e. Replace Work Plan and Timeline by inserting the following:

<b>Activity</b>	<b>Completion Date</b>
-----------------	------------------------

Contractor Initials:   
Date: 9/12/12

1. Complete research on best practices for recruitment and retention of racial, ethnic and linguistic minorities and low income students within postsecondary education settings.	October 30, 2012
2. Complete identification of agencies representing minorities and low income groups and key contacts.	November 15, 2012
3. Complete collection of SNHU admissions and recruitment data.	November 30, 2012
4. Complete faculty, student and alumni survey.	January 1, 2013
5. Determine dissemination activities and complete implementation planning.	January 15, 2013

3. Amendment and modification of Standard Exhibit B:

Amend Exhibit B, #1 by striking the end date of September 29, 2012 and inserting in its place March 29, 2013.

4. Amend Exhibit B-1 Staff List Form by striking the budget period July 1, 2012 to Sept. 29, 2012 and inserting July 1, 2012 to March 29, 2013.

5. Amendment and modification of Exhibit B-2:

Budget Form and Justification-Budget for State Fiscal Period by striking 7/1/12 to 9/29/12 and inserting 7/1/12 to 3/29/13.

Amend Exhibit B-2: Budget Form and Justification- Budget for Federal Project Period by striking the end date of 9/29/12 and inserting 3/29/13.

6. To Amend by adding Standard Exhibit C-1 Additional Special Provisions

7. To Amend Standard Exhibits D, E, F, G, H, I, and J by extending the Period Covered from September 29, 2012 to March 29, 2013.

8. This Amendment shall be effective retroactive to September 30, 2012, and remain effective through March 29, 2013 upon approval of Governor and Executive Council.

9. Continuance of Agreement:

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

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

Contractor Initials:   
Date: 9/12/12

THE STATE OF NEW HAMPSHIRE  
Office of Minority Health and Refugee Affairs  
of the Department of Health and Human Services

Agency

By *Mary Ann Coopers*  
Nicholas Toumpas, Commissioner  
Department of Health and Human Services

By *Patricia Lynott*  
Patricia Lynott, Provost and  
Senior Vice President for Academic Affairs,  
Southern New Hampshire University

STATE OF  
COUNTY

On this the 28<sup>th</sup> day of September 2012, before me, Theresa M. Jones  
the undersigned officer, personally appeared Mary Ann Coopers, known to me (or  
satisfactorily proven) to be the person whose name subscribed to the within instrument, and  
acknowledged that he/she executed the same for purposes therein contained.  
In witness thereof I hereto set my hand and official seal.

*Theresa M. Jones*  
Notary Public  
My Commission Expires \_\_\_\_\_  
**THERESA M. JONES**  
Notary Public - New Hampshire  
My Commission Expires October 17, 2012

STATE OF  
COUNTY OF

On this the 12<sup>th</sup> day of September 2012, before me, Jane Yerrington  
the undersigned officer, personally appeared Patricia Lynott, known to me (or  
satisfactorily proven) to be the person whose name subscribed to the within instrument, and  
acknowledged that he/she executed the same for purposes therein contained.

In witness thereof I hereto set my hand and official seal.

*Jane Yerrington*  
Notary Public  
My Commission Expires \_\_\_\_\_  


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

OFFICE OF THE ATTORNEY GENERAL

By: *Jeanne P. Herrick*  
Jeanne P. Herrick, Attorney  
Date: 18 Sept. 2012

GOVERNOR AND EXECUTIVE COUNCIL

By: \_\_\_\_\_

Date: \_\_\_\_\_

Contractor Initials: *[Signature]*  
Date: 9/12/12

**NH Department of Health and Human Services**

**STANDARD EXHIBIT C-1**

**ADDITIONAL SPECIAL PROVISIONS**

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

**4. CONDITIONAL NATURE OF AGREEMENT.**

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

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

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

10.2 In the event of early termination, the Contractor shall, within 15 days of notice of early termination, develop and submit to the State a Transition Plan for services under the Agreement, including but not limited to, identifying the present and future needs of clients receiving services under the Agreement and establishes a process to meet those needs.

10.3 The Contractor shall fully cooperate with the State and shall promptly provide detailed information to support the Transition Plan including, but not limited to, any information or data requested by the State related to the termination of the Agreement and Transition Plan and shall provide ongoing communication and revisions of the Transition Plan to the State as requested.



10.4 In the event that services under the Agreement, including but not limited to clients receiving services under the Agreement are transitioned to having services delivered by another entity including contracted providers or the State, the Contractor shall provide a process for uninterrupted delivery of services in the Transition Plan.

10.5 The Contractor shall establish a method of notifying clients and other affected individuals about the transition. The Contractor shall include the proposed communications in its Transition Plan submitted to the State as described above.

**3. Subparagraph 14.1.1 of the General Provisions of this contract is deleted and the following subparagraph is added:**

14.1.1 comprehensive general liability against all claims of bodily injury, death or property damage, in amounts of not less than \$250,000 per claim and \$1,000,000 per occurrence and excess/umbrella liability coverage in the amount of \$1,000,000 per occurrence; and

A handwritten signature in black ink, followed by the date "9/12/12".

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 SOUTHERN NEW HAMPSHIRE UNIVERSITY is a New Hampshire nonprofit corporation formed August 21, 1968. I further certify that it is in good standing as far as this office is concerned, having paid the fees required by law.



In TESTIMONY WHEREOF, I hereto set my hand and cause to be affixed the Seal of the State of New Hampshire, this 27<sup>th</sup> day of April, A.D. 2012

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

William M. Gardner  
Secretary of State

CERTIFICATE OF AUTHORITY

I, Paul J. LeBlanc, President of Southern New Hampshire University do hereby certify that:

1. I am the President of Southern New Hampshire University.
2. I am authorized to delegate authority subordinates to authorize legally binding contracts on behalf of Southern New Hampshire University.
3. The following is a true, accurate and complete copy of Article VII, Section 1, of the By-laws of Southern New Hampshire University currently in force:

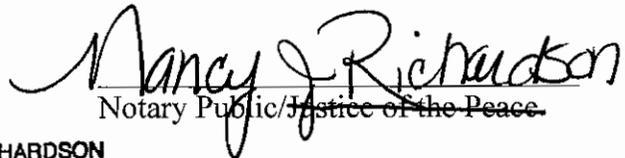
Execution of Written Instruments. Contracts, deeds, documents and instruments shall be executed by the President or Treasurer under the seal of the University affixed and attested by the Secretary unless (a) the board shall designate another person/and or procedure for execution in a particular situation, or (b) the President shall designate a member of the University's Senior Management Team as executor in a particular situation.

4. That I, Paul J. LeBlanc hereby delegate to Patricia A. Lynott, Provost and Senior Vice President of Academic Affairs, the authority to enter into agreements and other instruments that are legally binding on Southern New Hampshire University.
5. The forgoing provisions have not been amended or revoked and remain in full force and in effect as of September 12, 2012.

IN WITNESS WHEREOF, I have hereunto set my hand as the President of the University this 12<sup>th</sup> of September 2012.



IN WITNESS WHEREOF I hereunto set my hand and official seal.



Notary Public/Justice of the Peace.

NANCY J. RICHARDSON  
Notary Public - New Hampshire

My commission expires: My Commission Expires December 14, 2016



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
09/18/2012

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

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

PRODUCER Fred C. Church 41 Wellman Street P.O. Box 1865 Lowell, MA 01853-1865	1-978-458-1865	CONTACT NAME: Claire Bolduc PHONE (A/C, No, Ext): 978-322-7168 E-MAIL ADDRESS: cbolduc@fredcchurch.com	FAX (A/C, No): 978-454-1865
INSURED Southern New Hampshire University 2500 North River Road Manchester, NH 03106		INSURER(S) AFFORDING COVERAGE	
		INSURER A: United Educators Insurance	NAIC #
		INSURER B: Charter Oak Fire Ins. Co.	
		INSURER C: Travelers Indemnity Company	
		INSURER D:	
		INSURER E:	
		INSURER F:	

**COVERAGES**

CERTIFICATE NUMBER: 29106177

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	GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			CGL201200220900	07/01/12	07/01/13	EACH OCCURRENCE	\$ 1,000,000
							DAMAGE TO RENTED PREMISES (Ea occurrence)	\$ 1,000,000
							MED EXP (Any one person)	\$ 5,000
							PERSONAL & ADV INJURY	\$
							GENERAL AGGREGATE	\$ 3,000,000
							PRODUCTS - COMP/OP AGG	\$
								\$
B	AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> NON-OWNED AUTOS			810717K5266COF12	07/01/12	07/01/13	COMBINED SINGLE LIMIT (Ea accident)	\$ 1,000,000
							BODILY INJURY (Per person)	\$
							BODILY INJURY (Per accident)	\$
							PROPERTY DAMAGE (Per accident)	\$
								\$
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> EXCESS LIAB DED <input checked="" type="checkbox"/> RETENTION \$ 10,000			GLU201200220900	07/01/12	07/01/13	EACH OCCURRENCE	\$ 25,000,000
							AGGREGATE	\$ 25,000,000
								\$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below			YKUB717K524212	07/01/12	07/01/13	WC STATUTORY LIMITS	OTHER
							E.L. EACH ACCIDENT	\$ 500,000
							E.L. DISEASE - EA EMPLOYEE	\$ 500,000
							E.L. DISEASE - POLICY LIMIT	\$ 500,000
A	Professional Liability			ELS201200220900	07/01/12	07/01/13	Educators Legal	5,000,000
							Each Claim	5,000,000
							Annual Aggregate	5,000,000

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

Certificate Holder is named as an additional insured on the General Liability Policy.

**CERTIFICATE HOLDER**Health Profession Opportunity Project  
Office of Minority Health & Refugee Affairs-NHDHHS  
Robin Hlobeczy  
97 Pleasant Street, Thayer Building  
Concord, NH 03301

USA

**CANCELLATION**

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

AUTHORIZED REPRESENTATIVE

*Herman P. Latman*

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**Financial Statements**  
**Southern New Hampshire University**

**June 30, 2011 and 2010**



Mayer Hoffman McCann P.C.  
Toflas New England Division  
An Independent CPA Firm

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Financial Statements

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#### *Financial Statements:*

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Mayer Hoffman McCann P.C.  
Tofias New England Division  
An Independent CPA Firm

500 Boylston Street ■ Boston, MA 02116  
Tel: 617.761.0600 ■ Fax: 617.761.0601 ■ www.cbiztofias.com

*Independent Auditors' Report*

The Board of Trustees  
Southern New Hampshire University  
Manchester, New Hampshire

We have audited the accompanying statements of financial position of Southern New Hampshire University (the "University") as of June 30, 2011 and 2010, and the related statements of revenues, expenses and changes in net assets and cash flows for the years then ended. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with U.S. generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Southern New Hampshire University as of June 30, 2011 and 2010, and the changes in its net assets and its cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

*Mayer Hoffman McCann P.C.*

September 22, 2011  
Boston, Massachusetts

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

Statements of Financial Position

June 30,

Assets	<u>2011</u>	<u>2010</u>
Cash and cash equivalents	\$ 245,422	\$ 609,835
Short-term investments, at fair value	27,179,521	26,051,892
Student accounts and other receivable, net	5,376,078	3,695,636
Other assets, net	3,142,032	2,778,854
Contributions receivable, net	41,932	176,841
Student loans receivable, net	3,704,174	3,785,064
Deposits with trustees	5,787,795	9,175,538
Long-term investments, at fair value	47,703,147	28,506,852
Property and equipment, net	<u>75,933,860</u>	<u>71,041,639</u>
Total assets	<u>\$ 169,113,961</u>	<u>\$ 145,822,151</u>
<b>Liabilities and Net Assets</b>		
Liabilities:		
Accounts payable and accrued expenses	\$ 12,092,960	\$ 12,501,767
Student deposits and advance payments	21,804,918	12,758,852
Interest rate swap	1,238,463	1,142,867
Bonds payable	63,569,192	66,611,597
Refundable advances – U.S. Government grants	<u>3,086,771</u>	<u>3,141,449</u>
Total liabilities	<u>101,792,304</u>	<u>96,156,532</u>
Net assets:		
Unrestricted:		
Board designated	-	865,512
Undesignated	<u>50,862,683</u>	<u>34,805,771</u>
Total unrestricted	<u>50,862,683</u>	<u>35,671,283</u>
Temporarily restricted	<u>5,334,879</u>	<u>4,114,362</u>
Permanently restricted	<u>11,124,095</u>	<u>9,879,974</u>
Total net assets	<u>67,321,657</u>	<u>49,665,619</u>
Total liabilities and net assets	<u>\$ 169,113,961</u>	<u>\$ 145,822,151</u>

See accompanying notes to financial statements.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

Statement of Revenues, Expenses and Changes in Net Assets  
Year Ended June 30, 2011 (with comparative totals for 2010)

	Board		Total		Temporarily Restricted		Permanently Restricted		2010
	Unrestricted	Designated	Unrestricted	Designated	Restricted	Restricted	Restricted	Restricted	
<b>Operating:</b>									
Revenues and other support:									
Tuition and fees	\$ 117,863,504	-	\$ 117,863,504	-	\$ 117,863,504	-	\$ 98,674,871		
Residence and dining	11,661,763	-	11,661,763	-	11,661,763	-	10,264,500		
Less institutional student aid	(26,092,188)	-	(26,092,188)	-	(26,092,188)	-	(20,832,213)		
Tuition and fees, net	\$ 103,433,079	-	\$ 103,433,079	-	\$ 103,433,079	-	\$ 88,107,158		
Other auxiliary enterprises	1,438,734	-	1,438,734	-	1,438,734	-	1,359,314		
Contributions	458,935	-	458,935	-	458,935	-	795,961		
Grants and contracts	1,374,295	-	1,374,295	-	1,374,295	-	1,748,218		
Investment income and gains	1,178,521	-	1,178,521	-	1,178,521	-	581,892		
Other interest income	438,637	-	438,637	-	438,637	-	379,298		
Other income	1,656,660	-	1,656,660	-	1,656,660	-	1,474,850		
Total operating revenues	\$ 109,978,861	-	\$ 109,978,861	-	\$ 110,764,062	-	\$ 94,484,143		
Net assets released from restrictions	572,441	-	572,441	-	(572,441)	-	-		
Endowment income appropriated for spending policy	587,052	-	587,052	-	587,052	-	587,052		
Total operating revenues and other support	\$ 111,138,354	-	\$ 111,138,354	-	\$ 111,351,114	-	\$ 95,071,195		
<b>Expenses:</b>									
Instruction	37,826,338	-	37,826,338	-	37,826,338	-	36,441,155		
Academic support	6,923,440	-	6,923,440	-	6,923,440	-	6,907,939		
Student services	16,143,035	-	16,143,035	-	16,143,035	-	14,556,771		
General institutional	27,074,155	-	27,074,155	-	27,074,155	-	21,697,352		
Auxiliary enterprises	10,361,814	-	10,361,814	-	10,361,814	-	10,358,445		
Total operating expenses	\$ 98,328,782	-	\$ 98,328,782	-	\$ 98,328,782	-	\$ 89,961,662		
Increase in net assets from operations	\$ 12,809,572	-	\$ 12,809,572	-	\$ 13,022,332	-	\$ 5,109,533		
<b>Nonoperating:</b>									
Contributions for long-term investment	-	-	-	-	1,234,421	-	1,273,778		
Investment income and gains, net of endowment income appropriated for spending policy	3,527,921	-	3,527,921	-	4,545,378	-	687,116		
Net realized loss on sale of assets	(135,719)	-	(135,719)	-	(135,719)	-	(231,472)		
Net unrealized loss on interest rate swaps	(95,596)	-	(95,596)	-	(95,596)	-	(1,061,420)		
Extinguishment of debt	(49,266)	-	(49,266)	-	(49,266)	-	-		
Increase in net assets from nonoperating revenue	3,247,340	-	3,247,340	-	5,499,218	-	668,002		
Increase in net assets	16,056,912	-	16,056,912	-	18,521,550	-	5,777,535		
<b>Board designated:</b>									
Designated net assets	-	(865,512)	(865,512)	-	(865,512)	-	(1,134,488)		
Change in net assets	16,056,912	(865,512)	15,191,400	1,220,517	17,656,038	\$	4,643,047		
Net assets at beginning of year	34,805,771	865,512	35,671,283	4,114,362	49,665,619		45,022,572		
Net assets at end of year	\$ 50,862,683	-	\$ 50,862,683	5,334,879	67,321,657	\$	49,665,619		

See accompanying notes to financial statements.

SOUTHERN NEW HAMPSHIRE UNIVERSITY

Statement of Revenues, Expenses and Changes in Net Assets  
Year Ended June 30, 2010

	Board		Total		Temporarily		Permanently		2010
	Unrestricted	Designated	Unrestricted	Restricted	Restricted	Restricted	Restricted	Restricted	
<b>Operating:</b>									
Revenues and other support:									
Tuition and fees	\$ 98,674,871	-	98,674,871	-	-	-	-	\$	98,674,871
Residence and dining	10,264,500	-	10,264,500	-	-	-	-		10,264,500
Less institutional student aid	(20,832,213)	-	(20,832,213)	-	-	-	-		(20,832,213)
Tuition and fees, net	\$ 88,107,158	-	88,107,158	-	-	-	-	\$	88,107,158
Other auxiliary enterprises	1,359,314	-	1,359,314	-	-	-	-		1,359,314
Contributions	442,517	-	442,517	-	390,896	-	-		833,413
Grants and contracts	1,748,218	-	1,748,218	-	-	-	-		1,748,218
Investment income and gains/(losses)	(430,310)	-	(430,310)	-	1,012,202	-	-		581,892
Other interest income	379,298	-	379,298	-	-	-	-		379,298
Other income	1,474,850	-	1,474,850	-	-	-	-		1,474,850
Total operating revenues	93,081,045	-	93,081,045	-	1,403,098	-	-		94,484,143
Net assets released from restrictions	671,384	-	671,384	-	(671,384)	-	-		-
Endowment income appropriated for spending policy	587,052	-	587,052	-	-	-	-		587,052
Total operating revenues and other support	\$ 94,339,481	-	94,339,481	731,714	-	-	-	\$	95,071,195
Expenses:									
Instruction	36,441,155	-	36,441,155	-	-	-	-		36,441,155
Academic support	6,907,939	-	6,907,939	-	-	-	-		6,907,939
Student services	14,556,771	-	14,556,771	-	-	-	-		14,556,771
General institutional	21,697,352	-	21,697,352	-	-	-	-		21,697,352
Auxiliary enterprises	10,358,445	-	10,358,445	-	-	-	-		10,358,445
Total operating expenses	\$ 89,961,662	-	89,961,662	-	-	-	-	\$	89,961,662
Increase in net assets from operations	\$ 4,377,819	-	4,377,819	731,714	-	-	-	\$	5,109,533
Nonoperating:									
Contributions for long-term investment	-	-	-	-	1,273,778	-	-		1,273,778
Investment income and gains, net of endowment income	19,278	-	19,278	-	617,938	-	49,900		687,116
appropriated for spending policy	(231,472)	-	(231,472)	-	-	-	-		(231,472)
Net realized loss on sale of assets	(1,061,420)	-	(1,061,420)	-	-	-	-		(1,061,420)
Net unrealized loss on interest rate swaps	(1,273,614)	-	(1,273,614)	-	617,938	-	1,323,678		668,002
Increase in net assets from nonoperating revenue	3,104,205	-	3,104,205	1,349,652	-	-	1,323,678		5,777,535
Increase in net assets									
Board designation:									
Designated net assets	-	(1,134,488)	(1,134,488)	-	-	-	-		(1,134,488)
Reclassification of net assets	(652,869)	-	(652,869)	619,016	-	-	33,853		-
Change in net assets	\$ 2,451,336	(1,134,488)	1,316,848	1,968,668	1,357,531	-	-	\$	4,643,047
Net assets at beginning of year	32,354,435	2,000,000	34,354,435	2,145,694	8,522,443	-	-		45,022,572
Net assets at end of year	\$ 34,805,771	865,512	35,671,283	4,114,362	9,879,974	-	-	\$	49,665,619

See accompanying notes to financial statements.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

Statements of Cash Flows

Years Ended June 30, 2011 and 2010

	<b>2011</b>	<b>2010</b>
Cash flows from operating activities:		
Increase in net assets	\$ 17,656,038	\$ 4,643,047
Adjustments to reconcile increase in net assets to net cash provided by operating activities:		
Depreciation and amortization expense	3,934,033	3,714,420
Realized and unrealized gain on investments	(7,269,855)	(1,410,955)
Loss on wind hedge		
Realized (gain) loss on sale of assets	135,720	231,472
Unrealized loss on interest rate swap market valuation	95,596	1,061,420
Contributions for long-term investments	(1,234,421)	(1,273,778)
Change in current assets	(1,908,711)	(46,824)
Change in current liabilities	8,637,259	4,470,879
Net cash provided by operating activities	20,045,659	11,389,681
Cash flows from investing activities:		
Purchase of equipment and building improvements	(8,983,747)	(9,008,091)
Proceeds from sales of property and equipment	21,773	341,519
Purchase of investments	(37,360,934)	(14,875,928)
Proceeds from sale of investments	24,306,865	3,685,298
(Increase) decrease in long-term student loans receivable, net	80,890	49,549
Net cash used in investing activities	(21,935,153)	(19,807,653)
Cash flows from financing activities:		
Payments on long-term debt	(3,025,000)	(1,710,000)
Amortization of premium on debt	(17,405)	(17,405)
Decrease in deposits with trustees	3,387,743	8,013,504
Decrease in government grants refundable advances	(54,678)	(63,728)
Contributions for long-term investments	1,234,421	1,273,778
Net cash provided by financing activities	1,525,081	7,496,149
Net decrease in cash and cash equivalents	(364,413)	(921,823)
Cash and cash equivalents at beginning of year	609,835	1,531,658
Cash and cash equivalents at end of year	\$ 245,422	\$ 609,835
Supplemental disclosure:		
Interest paid	\$ 2,284,783	\$ 2,015,901

See accompanying notes to financial statements.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (1) Background

Southern New Hampshire University (the "University") is a private, coeducational institution. Enrollment consists of approximately 2,000 students in the day school; 11,000 enrollments in the graduate school; 10,000 enrollments in the division of continuing education; and 25,000 enrollments in distance education. The University offers associate's degrees in culinary arts and several business-related fields. Bachelor of Science and Arts degrees are offered in twenty areas of business, education, and liberal arts study. Master's degrees are offered in business administration, accounting, business education, international business, computer information systems, community economic development, fine arts, and elementary education. Doctoral degrees are offered as a Ph.D. in Community Economics Development and a DBA in International Business.

The University participates in student financial aid programs sponsored by the United States Department of Education which facilitate the payment of tuition and other expenses for students. Such programs are subject to audit by the funders or their representatives.

### (2) Summary of Significant Accounting Policies

#### (a) Basis of Statement Presentation

The accompanying financial statements, which are presented on the accrual basis of accounting, have been prepared to focus on the University as a whole and to present balances and transactions according to the existence or absence of donor-imposed restrictions. Accordingly, net assets and changes therein are classified as follows:

**Permanently Restricted Net Assets** – Net assets subject to donor-imposed stipulations that they be maintained permanently by the University. Generally, the donors of these assets permit the University to use all or part of the income earned and capital gains, if any, on related investments for general or specific purposes. Any unexpended appreciation on permanently restricted net assets is included in temporarily restricted net assets.

**Temporarily Restricted Net Assets** – Net assets subject to donor-imposed and/or statutory stipulations that may or will be met by actions of the University and/or the passage of time.

**Board Designated Net Assets** – Net assets subject to Trustee-imposed stipulations.

**Unrestricted Net Assets** – Net assets not subject to donor or Trustee-imposed stipulations.

Revenues are reported as increases in unrestricted net assets unless use of the related assets is limited by donor-imposed restrictions. Expenses are reported as decreases in unrestricted net assets. Expirations of temporary restrictions on net assets, that is, accomplishment of the donor-imposed stipulated purpose and/or elapse of the stipulated time period, are reported as net assets released from restriction.

Contributions, including unconditional promises to give, are recognized as revenues in the period verifiably committed. Contributions subject to donor-imposed stipulations that are met in the same reporting period are reported as unrestricted support. Promises to give that are scheduled to be received after the balance sheet date that do not include permanent restrictions, are shown as increases in temporarily restricted net assets and are reclassified to unrestricted net assets when the purpose or time restrictions are met. Promises to give subject to donor-imposed stipulations that the corpus be maintained permanently are recognized as increases in permanently restricted net assets.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

Conditional promises to give are not recognized until they become unconditional, that is, when the conditions on which they depend are substantially met.

The University reports contributions of land, buildings, or equipment as unrestricted support unless the donor places restrictions on their use. Contributions of cash or other assets that must be used to acquire long-lived assets are reported as unrestricted support provided the long-lived assets are placed in service in the same reporting period; otherwise, the contributions are reported as temporarily restricted support until the assets are acquired and placed in service.

Dividends, interest, and net gains (losses) on investments are reported as follows:

- as increases in permanently restricted net assets if the terms of the gift require that they be added to the principal of a permanent endowment fund;
- as increases in temporarily restricted net assets if the terms of the gift or state law imposes restrictions on the current use of the income or net gains or unrealized gains on permanently restricted funds; and
- as increases in unrestricted net assets in all other cases.

### (b) *Contributions Receivable*

Unconditional promises to give are recorded at fair value when initially pledged. Initial recording for pledges expected to be collected in one year or more is arrived at by discounting the pledge to its present value by a risk adjusted rate to account for the inherent risk associated with the expected future cash flows. Unconditional promises to give are periodically reviewed to estimate an allowance for doubtful collections. Management estimates the allowance by a review of historical experience and a specific review of collection trends that differ from plans on individual accounts. Conditional promises to give are not included as support until the conditions are substantially met.

### (c) *Operations*

The Statement of Revenues, Expenses and Changes in Net Assets reports the change in net assets from operating and nonoperating activities. Operating revenues consist of those items attributable to the University's academic programs or research conducted by the academic departments. Unrealized gains and losses on investments and nonrecurring gains and losses pertaining to physical plant assets and long-term debt refinancing, including changes in value of the interest rate swap, permanently restricted contributions received and any realized and unrealized gains and losses pertaining to permanently restricted net assets are reported as nonoperating revenue.

Expenses associated with the operation and maintenance, debt interest, and depreciation of University plant assets are allocated on the basis of square footage utilized by the functional categories.

Expenses associated with fundraising activities of the University were \$1,220,960 and \$1,359,060 in 2011 and 2010, respectively, and are included in the general institutional category on the Statement of Revenues, Expenses and Changes in Net Assets. The amount of contributions received were \$2,030,382 and \$2,107,191 in 2011 and 2010, respectively.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

**(d) Cash and Cash Equivalents**

For the purpose of the Statement of Cash Flows, the University considers cash equivalents as investments with maturities at date of purchase of three months or less. The University maintains cash balances at financial institutions which, at times, may exceed federally insured limits. The University monitors its exposure associated with cash and cash equivalents and has not experienced any loss in such accounts.

**(e) Accounts Receivable**

Accounts receivable are carried at their net realizable value. Management estimates the allowance for doubtful accounts based on an aging of accounts. Recoveries of accounts receivable previously written off are recorded as revenue when received. Accounts receivable are considered past due if any portion of the receivable balance is outstanding for more than 90 days or the student no longer attends the institution.

**(f) Investments**

Investments are carried at fair value. Fair value is determined per the fair value policies described later in this section. Cash and cash equivalents held by investment managers is considered part of investments given the expectation of near term investment of such funds.

Interest, dividends, and net gains or losses on investments are reported as increases or decreases in permanently restricted net assets if the terms of the original gift require that they be applied to the principal of a permanent endowment fund; as increases or decreases in temporarily restricted net assets if the terms of the gift and/or relevant state law impose restrictions on the current use of the income or net gains and losses; and as increases or decreases in unrestricted net assets in all other cases.

**(g) Property and Equipment**

Constructed and purchased property and equipment are carried at cost. Long-lived fixed assets, with the exception of land, are depreciated using the straight-line method over their estimated useful lives, which range from three to fifty years. Costs of library books and periodicals are expensed in the year acquired.

**(h) Deposits with Trustees**

Deposits with Trustees use is limited pursuant to the University's bond agreements. These amounts are carried at fair value as described later in this section.

**(i) Student Deposits and Advance Payments**

Students' reservation deposits along with advance payments for tuition, room and board, and certain other revenues are deferred and recorded as revenue as they are earned.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

(j) *Student Loans Receivable and Refundable Advances*

The University makes uncollateralized loans to students based on financial need. Student loans are funded through Federal government loan programs or institutional resources. At June 30, 2011 and 2010, student loans represented 3.4% and 3.8% of total assets, respectively.

One such program is the Perkins Loan Program ("Perkins"). Perkins funds may be reloaned by the University after collection, but in the event that the University no longer participates in the Program, a portion of the amounts are generally refundable to the Federal government. Funds advanced by the Federal Government of \$3,086,771 and \$3,141,449 at June 30, 2011 and 2010, respectively, are classified as liabilities in the Statements of Financial Position. Perkins loans receivable are carried at their estimated net realizable value. Perkins loans receivable are considered past due if any portion of the receivable balance is outstanding for more than 90 days. Interest and late fees are recorded when received. Perkins loans that are in default and meet certain requirements can be assigned to the Department of Education, which reduces the Perkins refundable U.S. Government grants.

Included in student loans receivable are University funded loans of \$1,723,677 and \$1,489,366 at June 30, 2011 and 2010, respectively, which are carried at their net realizable value.

For all loans, management estimates the allowance for credit losses based on historical collection experience and current economic conditions which, in management's judgment, could influence the ability of loan recipients to repay the amounts per the loan terms. Institutional loan balances are written off only when they are deemed to be permanently uncollectible. Amounts due under the Perkins Loan Program are guaranteed by the Federal government and, therefore, no reserves are placed on any past due balances under the program.

(k) *Fair Value*

The University reports required types of assets and liabilities at fair value on a recurring and non recurring basis depending on the underlying accounting policy for that particular item. Assessing fair value measures include deposits with trustees, investments and interest rate swaps. Non recurring measures include pledges. These standards require an entity to maximize the use of observable inputs (such as quoted prices in active markets) and minimize the use of unobservable inputs (such as appraisals or valuation techniques) to determine fair value. In addition, the University reports certain investments using the net asset value per share as determined by investment managers under the so called "practical expedient". The practical expedient allows net asset value per share to represent fair value for reporting purposes when the criteria for using this method are met. Fair value standards also require the University to classify these financial instruments into a three-level hierarchy, based on the priority of inputs to the valuation technique or in accordance with net asset value practical expedient rules, which allow for either Level 2 or Level 3, depending on lock up and notice periods associated with the underlying funds.

Instruments measured and reported at fair value are classified and disclosed in one of the following categories:

Level 1 – Quoted prices are available in active markets for identical instruments as of the reporting date. Instruments which are generally included in this category include listed equity and debt securities publicly traded on a stock exchange.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

Level 2 – Pricing inputs are other than 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 2 also include investments reported at net asset value per share with lock up periods of 90 days or less.

Level 3 – Pricing inputs are unobservable for the instrument and include situations where there is little, if any, market activity for the instrument. The inputs into the determination of fair value require significant management judgment or estimation. Level 3 also includes investments reported at net asset value per share with lock up periods in excess of 90 days.

In some instances, the inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such instances, an instrument's level within the fair value hierarchy is based on the lowest level of input that is significant to the fair value measurement.

Market price is affected by a number of factors, including the type of instrument and the characteristics specific to the instrument. Instruments with readily available active quoted prices or for which fair value can be measured from actively quoted prices generally will have a higher degree of market price observability and a lesser degree of judgment used in measuring fair value. It is reasonably possible that changes in values of these instruments will occur in the near term and that such changes could materially affect amounts reported in these financial statements.

*(l) Use of Estimates*

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates. Significant management estimates included in the financial statements relate to the allowance for doubtful loans, contributions and accounts receivable, fair value of certain investments, fair value of interest rate swap contracts useful lives of depreciable assets, and the allocation of common expenses over program functions.

*(m) Obligation Under Interest Rate Swap Contract*

The University reports the value of its interest rate swap at fair value. Fair value is determined per the fair value policies as described later in this section.

*(n) Uncertain Tax Positions*

The University accounts for the effect of any uncertain tax positions based on a “more likely than not” threshold to the recognition of the tax positions being sustained based on the technical merits of the position under scrutiny by the applicable taxing authority. If a tax position or positions are deemed to result in uncertainties of those positions, the unrecognized tax benefit is estimated based on a “cumulative probability assessment” that aggregates the estimated tax liability for all uncertain tax positions. The University has identified its tax status as a tax-exempt entity as its only significant tax position; however, the University has determined that such tax position does not result in an uncertainty requiring recognition. The University is not currently under examination by any taxing jurisdictions. The University’s Federal and state tax returns are generally open for examination for three years following the date filed.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

*(o) Tax Status*

The University is a tax-exempt University as described in Section 501(c)(3) of the Internal Revenue Code and is generally exempt from income taxes pursuant to Section 501(a) of the Code. Given the limited taxable activities of the University, management concluded that disclosures relative to tax provisions are not necessary.

*(p) Advertising*

Advertising and marketing costs are expensed as incurred and amounted to \$4,049,552 and \$1,685,584 for the years ended June 30, 2011 and 2010, respectively.

*(q) Functional Expense Allocation*

Costs have been allocated to functional classifications based on percentage of effort, usage, square footage, and other criteria.

*(r) Reclassification*

Certain reclassifications have been made to the prior year financial statements in order to conform with the current year presentation.

*(s) Subsequent Events*

The University has evaluated subsequent events through September 22, 2011, the date that the financial statements were issued.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

(3) **Investments**

The University's investments are summarized as follows at June 30:

	Fair value	
	2011	2010
Short-term investments:		
Money market funds	\$ 4,541,320	\$ 4,592,549
Repurchase agreements	17,187,975	16,329,284
Certificates of deposit	5,450,226	5,130,059
Total short-term investments	27,179,521	26,051,892
Long-term investments:		
Stocks	46,245	51,431
Corporate bonds	32,191	-
Government bonds	-	3,319,165
Money market funds	3,375,500	2,215,905
Mutual funds	22,596,343	11,741,898
Global equity funds	2,973,304	-
Global fixed income funds	2,114,420	1,333,721
Inflation-hedging funds	8,824,554	4,906,038
Hedged equity/flexible capital funds	7,392,373	4,741,333
Private equity funds	348,217	197,359
Total long-term investments	47,703,147	28,506,850
Total investments	\$ 74,882,668	\$ 54,558,742

The following is the return on investments for the years ended June 30, 2011 and 2010:

	2011	2010
Dividends and interest	\$ 1,285,792	\$ 1,007,737
Investment management fees	(134,114)	(284,610)
Net gain on sale of investments	1,071,769	495,717
Unrealized gain on investments	4,535,679	637,216
Total return/(loss) on investments	\$ 6,759,126	\$ 1,856,060

**Wind Hedge**

The University has invested in an energy hedge to offset electrical expenses. The hedge is tied to natural gas rates as traded on the commodities market. Costs are expensed as incurred and amounted to \$509,025 and \$520,528 for the years ended June 30, 2011 and 2010, respectively.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (4) Disclosure About Fair Value of Financial Instruments

The valuation of the University's financial assets and liabilities by the above fair value hierarchy consisted of the following at June 30, 2011:

	Portion Carried at Fair Value	Quoted Prices in Active Markets Level 1	Significant Observable Inputs Level 2	Significant Unobservable Inputs Level 3
<b>Assets:</b>				
Deposits with trustees	\$ 5,787,795	\$ 5,787,795	\$ -	\$ -
<b>Short-term investments:</b>				
Money market funds	4,541,320	4,541,320	-	-
Repurchase agreements	17,187,975	17,187,975	-	-
Certificates of deposit	5,450,226	5,450,226	-	-
<b>Long-term investments:</b>				
Stocks	46,245	46,245	-	-
Corporate bonds	32,191	32,191	-	-
Money market funds	3,375,500	3,375,500	-	-
Mutual funds	22,596,343	22,596,343	-	-
Global equity funds	2,973,304	-	2,973,304	-
Global fixed income funds	2,114,420	-	2,114,420	-
Inflation-hedging funds	8,824,554	-	8,824,554	-
Hedged equity/flexible capital funds	7,392,373	-	7,392,373	-
Private equity funds	348,217	-	-	348,217
<b>Total assets at fair value</b>	<b>\$ <u>80,670,463</u></b>	<b>\$ <u>59,017,595</u></b>	<b>\$ <u>21,304,651</u></b>	<b>\$ <u>348,217</u></b>
<b>Interest rate swap</b>	<b>\$ <u>(1,238,463)</u></b>	<b>\$ <u>-</u></b>	<b>\$ <u>(1,238,463)</u></b>	<b>\$ <u>-</u></b>
<b>Total liabilities at fair value</b>	<b>\$ <u>(1,238,463)</u></b>	<b>\$ <u>-</u></b>	<b>\$ <u>(1,238,463)</u></b>	<b>\$ <u>-</u></b>

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

The valuation of the University's financial assets and liabilities by the above fair value hierarchy consisted of the following at June 30, 2010:

	Portion Carried at Fair Value	Quoted Prices in Active Markets Level 1	Significant Observable Inputs Level 2	Significant Unobservable Inputs Level 3
<b>Assets:</b>				
Deposits with trustees	\$ 9,175,538	\$ 9,175,538	\$ -	\$ -
<b>Short-term investments:</b>				
Money market funds	4,592,549	4,592,549	-	-
Certificates of deposit	5,130,059	5,130,059	-	-
Repurchase agreements	16,329,284	16,329,284	-	-
<b>Long-term investments:</b>				
Stocks	51,431	51,431	-	-
Government bonds	3,319,165	3,319,165	-	-
Money market funds	2,215,905	2,215,905	-	-
Mutual funds	11,741,898	11,741,898	-	-
Global fixed income funds	1,333,721	-	1,333,721	-
Inflation-hedging funds	4,906,038	-	4,906,038	-
Hedged equity/flexible capital funds	4,741,333	-	4,741,333	-
Private equity funds	197,359	-	-	197,359
<b>Total assets at fair value</b>	<b>\$ <u>63,734,280</u></b>	<b>\$ <u>52,555,829</u></b>	<b>\$ <u>10,981,092</u></b>	<b>\$ <u>197,359</u></b>
 Interest rate swap	 \$ <u>(1,142,867)</u>	 \$ -	 \$ <u>(1,142,867)</u>	 \$ -
 <b>Total liabilities at fair value</b>	 <b>\$ <u>(1,142,867)</u></b>	 <b>\$ -</b>	 <b>\$ <u>(1,142,867)</u></b>	 <b>\$ -</b>

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

The changes in instruments measured at fair value for which the University has used Level 3 inputs to determine fair value are as follows:

	<b>Level 3</b>
<b>Balance, July 1, 2009</b>	\$ 87,444
Purchases	110,000
Sales	(27,000)
Realized and unrealized gains (losses)	26,915
<b>Balance, June 30, 2010</b>	\$ 197,359
Purchases	172,282
Sales	(37,992)
Realized and unrealized gains (losses)	16,568
<b>Balance, June 30, 2011</b>	\$ 348,217
Changes in unrealized gains (losses) included in earnings related to Level 3 investments still held June 30, 2011	\$ 26,915
Changes in unrealized gains (losses) included in earnings related to Level 3 investments still held June 30, 2010	\$ 16,568

### *Fair Value Treatment*

Investments not considered Level 1 are categorized as Level 2 instruments when the University has the ability to redeem its investment in the entity at net asset value per share at year-end or within 90 days of year-end. Investments not considered Level 1 are categorized as Level 3 instruments when the University cannot redeem its investment within 90 days of year-end. A summary of the significant categories of such investments utilizing the net asset value practical expedient and their attributes are as follows:

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

	Fair Value	Unfunded Commitments	Redemption Frequency (if Currently Eligible)	Redemption Notice Period
Global equity funds	\$ 2,973,304	\$ -	Monthly	10 Days
Global fixed income funds	2,114,420	-	Daily/Monthly	15 Days
Inflation-hedging funds	8,824,554	-	Monthly	30 Days
Hedged equity/flexible capital funds	7,392,373	-	Quarterly/Annually	90 Days
Private equity funds	<u>348,217</u>	<u>2,949,268</u>	Liquidation of fund	N/A
	<u>\$ 21,652,868</u>	<u>\$ 2,949,268</u>		

**Global equity funds** – includes investments in funds of funds that invest in U.S. and international equity securities. The funds are designed to give the managers the flexibility to invest both domestic and internationally within their area of expertise. The redemption restriction period for these investments was ten days as of June 30, 2011.

**Global fixed income funds** – includes investments in funds of funds that invest in U.S. and international debt securities. The funds are designed to give the managers the flexibility to invest both long and short within their area of expertise. The redemption restriction period for these investments ranged from one to fifteen days at June 30, 2011.

**Inflation-hedging funds** – includes investments in various liquid assets, seeking strong relative performance in a rising inflationary environment. These underlying vehicles invest in energy equities, metals and mining equities, commodities, and inflation-protected core bonds. There is a monthly redemptive period on this investment.

**Hedged equity/flexible capital funds** – includes investments in hedge funds that invest both long and short primarily in U.S. common stocks. Management of the hedge funds has the ability to shift investments from value to growth strategies, from small to large capitalization stocks, and from a net long position to a net short position. Investments representing approximately 45% of the value of the investments in this category cannot be redeemed because the investments include restrictions that do not allow for redemption in the first twenty-four months after acquisition. Thereafter a 90-day notice period is required. The remaining restriction period for these investments was sixty days at June 30, 2011.

**Private equity funds** – includes investments in three private equity funds that invest primarily in U.S. technology, medical devices, and biotechnology companies. These investments can never be redeemed with the funds. Instead, the nature of the investments in this category is that distributions will be received as the underlying investments of the fund are liquidated. It is estimated that the underlying assets of the fund will be liquidated over the next five to seven years.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

As with most funds, under certain unsure circumstances, fund managers may restrict distributions to investors.

Management has assessed that fair value approximates carrying value for cash and cash equivalents, student accounts receivable and other receivables, and accounts payable given the short-term nature of these instruments. Management has no practical or cost effective way of determining fair value for loans receivable, contributions, and refundable advances. The fair value of bonds payable is noted in the table below. Management believes that this information is not meaningful to readers given the long-term commitments from the credit enhancing partner.

### *Bonds Payable*

Using discounted cash flow analysis, the University estimated fair value of its total indebtedness was approximately \$62,538,901 and \$64,702,762 at June 30, 2011 and 2010, respectively.

### *Interest Rate Swap*

The University uses the interest rate swap to manage interest rate risk exposure. The University's interest rate swap mitigates exposure to interest rate risk, primarily through converting portions of floating rate debt under the bond agreement to a fixed rate basis. This agreement involves the receipt or payment of floating rate amounts in exchange for fixed rate interest payments over the life of the agreement without an exchange of the underlying principal amounts. The University does not enter into derivative instruments for trading or speculative purposes.

The University's interest rate swap has been recorded as a liability in the Statements of Financial Position at fair value. Management determines the fair value of the interest rate swap using the assistance of a third-party expert. The value of the swap instrument represents the estimated cost to the University to cancel the agreements at the reporting date which is based on option pricing models that consider risks and market factors. Net payments or receipts under the swap agreement are included in the operating expense section and the change in fair value of the swap is included in the nonoperating section of the Statement of Revenues, Expenses and Changes in Net Assets.

As a result of the use of derivative instruments, the University is exposed to risk that the counterparties will fail to meet their contractual obligations. To mitigate the counterparty risk, the University only enters into contracts with selected major financial institutions based upon their credit ratings and other factors, and continually assesses the creditworthiness of counterparties. At June 30, 2011 and 2010, the counterparty to the University's interest rate swap had an investment grade rating. To date, the counterparty has performed in accordance with their contractual obligation.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The University had the following swap outstanding at June 30, 2011 and 2010:

<i>2011</i>				
<i>Notional Amount</i>	<i>Termination Date</i>	<i>Interest Rate Received</i>	<i>Interest Rate Paid</i>	<i>Fair Value</i>
\$ <u>32,730,000</u>	December 1, 2013	USD-LIBOR-BBA (.187%) x 1.5%	2.27%	\$ <u>1,238,463</u>
<u>\$ 32,730,000</u>				<u>\$ 1,238,463</u>
<i>2010</i>				
<i>Notional Amount</i>	<i>Termination Date</i>	<i>Interest Rate Received</i>	<i>Interest Rate Paid</i>	<i>Fair Value</i>
\$ <u>32,730,000</u>	December 1, 2013	USD-LIBOR-BBA (.348%) x 1.5%	2.27%	\$ <u>1,142,867</u>
<u>\$ 32,730,000</u>				<u>\$ 1,142,867</u>

Net realized and unrealized gain (loss) on the interest rate swap were the following for the years ended June 30, 2011 and 2010:

	<u>2011</u>	<u>2010</u>
Realized loss (interest paid more than interest received)	\$ (644,317)	\$ (646,599)
Unrealized loss	<u>(95,596)</u>	<u>(1,061,420)</u>
Net loss on interest rate swap	<u>\$ (739,913)</u>	<u>\$ (1,708,019)</u>

***Derivative Instruments***

Certain of the University's derivative instruments contain provisions that require the University or the counterparty's debt to maintain an investment grade credit rating from each of the major credit rating agencies. If the University's debt were to fall below investment grade, it would be in violation of those provisions, and the counterparties to the derivative instruments could request immediate payment or demand immediate and ongoing full overnight collateralization on derivative instruments in net liability positions. The University had no derivative instruments with credit-risk related contingent features that are in a liability position on June 30, 2011 and 2010.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

**(4) Contributions Receivable**

Contributions receivable are summarized as follows at June 30:

	2011	2010
Unconditional promises expected to be collected in:		
Less than one year	\$ 5,750	\$ 5,150
One year to five years	39,500	234,700
Thereafter	-	-
	45,250	239,850
Less allowance for uncollectibles	(1,437)	(59,962)
Less discount to present value	(1,881)	(3,047)
Contributions receivable	\$ 41,932	\$ 176,841

**(5) Accounts and Loans Receivable**

Accounts and loans receivable are presented net of the following allowances for doubtful accounts:

	2011	2010
Student accounts receivable	\$ 1,150,000	\$ 575,000
Student loans receivable	300,000	300,000
Total	\$ 1,450,000	\$ 875,000

The allowances for the Perkins and student loans were collectively evaluated for impairment.

***Financing Receivables***

Student loans receivable consist of the following at June 30:

	30-60 Days Past Due	60-90 Days Past Due	Greater than 90 Days Past Due	Total Past Due	Current	Total Financing Receivable
<b>June 30, 2011</b>						
Perkins Loans	\$ 226,591	\$ 43,154	\$ 517,946	\$ 787,691	\$ 3,216,483	\$ 4,004,174
Total	\$ 226,591	\$ 43,154	\$ 517,946	\$ 787,691	\$ 3,216,483	\$ 4,004,174
<b>June 30, 2010</b>						
Perkins Loans	\$ 33,040	\$ 72,262	\$ 567,869	\$ 673,171	\$ 3,411,893	\$ 4,085,064
Total	\$ 33,040	\$ 72,262	\$ 567,869	\$ 673,171	\$ 3,411,893	\$ 4,085,064

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

The Federal Government and the University share these loans on a 75/25 split and they are guaranteed by the U.S. Government. Therefore, no reserves are placed on any past due balances under the program.

**(6) Property and Equipment**

Property and equipment at June 30, 2011 and 2010 are comprised of the following:

	2011	2010
Land	\$ 6,841,680	\$ 6,841,680
Land improvement	2,947,671	2,419,212
Buildings and leasehold improvements	83,084,799	81,199,781
Furniture and equipment	16,884,735	16,698,246
Motor vehicles	695,518	712,245
Construction in process	4,637,682	-
Total	115,092,085	107,871,164
Less accumulated depreciation	(39,158,225)	(36,829,525)
Net property and equipment	\$ 75,933,860	\$ 71,041,639

The University recorded depreciation expense of \$3,934,033 and \$3,714,420 for the years ended June 30, 2011 and 2010, respectively. Net interest in the amount of \$-0- and \$12,659 was capitalized to construction in progress for the years ended June 30, 2011 and 2010, respectively.

During 2010, the University sold its Laconia building for gross proceeds of \$370,000 and a gain of approximately \$136,000.

**(7) Deposits with Trustees**

Deposits with Trustees at June 30 are comprised of the following and are invested in Treasury securities which are considered to be Level 1 for the purpose of fair value disclosures:

	2011	2010
Construction funds	\$ 758,911	\$ 3,952,599
Debt service reserves	3,497,683	3,479,169
Debt service payments	1,531,201	1,743,770
	\$ 5,787,795	\$ 9,175,538

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

**(8) Notes and Bonds Payable**

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

	2011	2010
Bonds payable:		
Dormitory and Dining Facilities, Construction, and Consolidation Bonds of 1972 payable to the Department of Housing and Urban Development due serially to 2012 with interest at 3%. Certain dormitory buildings, the cafeteria and student center are pledged as collateral.	\$ 50,000	\$ 100,000
Fixed Rate Revenue Bonds issued May 2000 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2031; weighted average rate of 7.35%	-	1,570,000
Fixed Rate Revenue Bonds issued September 2003 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2034; weighted average rate of 5.84%	6,365,000	6,570,000
Fixed Rate Revenue Bonds issued June 2005 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2036; weighted average rate of 5.10%	17,615,000	17,925,000
Fixed Rate Revenue Bonds issued July 2006 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2027; weighted average rate of 4.52%	7,510,000	7,875,000
Variable Rate Revenue Bonds issued December 2008 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2039; interest rate tied to USD-SIFMA-Municipal Swap Index (rate was 0.09% and 0.26% as of 2011 and 2010, respectively)	31,695,000	32,220,000
Total bonds payable	63,235,000	66,260,000
Premiums paid on bonds:		
Premium on 2005 and 2006 Issues	334,192	351,597
Total notes and bonds payable and premium	\$ 63,569,192	\$ 66,611,597

On January 1, 2011 the University called the remaining \$1,300,000 of its 2000 Bond Series Issue at a price of 101% or \$1,313,000. The \$270,000 principal payment due on the 2000 Bond Series Issue had previously been paid by the University during the 2011 fiscal year. The call resulted in an expense of \$49,266.

In December 2008, the University issued Series 2008 bonds for \$32,730,000. Some of the proceeds were used to advance refund portions of the Series 2003 and 2005 bonds. The advanced refunding resulted in a gain of \$4,594,579 and the write off of prior issuance costs of \$923,802.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

Payments on the 2008 bond issue are guaranteed under a direct pay letter of credit issued by TD Bank. The letter of credit expires on December 17, 2013, at which time it must be renewed. The University is obligated under a reimbursement agreement with the bank to repay any drawings under the letter of credit. Under the terms of the reimbursement agreement, the University is subject to certain restrictive covenants involving financial results, additional indebtedness, and the maintenance of certain financial ratios. In conjunction with the 2000, 2003, 2005, 2006 and 2008 bond issuances, the University is required to maintain certain financial ratios and is in compliance with these requirements at June 30, 2011 and 2010.

Scheduled aggregate principal repayments of notes and bonds payable outstanding at June 30, 2011 are as follows:

Fiscal year ending June 30:		
2012	\$	1,505,000
2013		1,505,000
2014		1,560,000
2015		1,115,000
2016		785,000
Thereafter		<u>56,765,000</u>
Total	\$	<u><u>63,235,000</u></u>

The University has a \$1,000,000 unsecured revolving line of credit. No borrowings were outstanding at any time during the years ended June 30, 2011 or 2010. Advances on the line of credit bear interest at the one month London Interbank Offering Rate (LIBOR) plus 1.5% (1.686% and 1.847% at June 30, 2011 and 2010, respectively).

**(9) Temporarily Restricted Net Assets**

Temporarily restricted net assets consist of the following at June 30:

	2011	2010
Purpose restrictions:		
Financial aid	\$ 1,882,194	\$ 1,741,082
Instructional	1,092,717	1,094,024
Building	<u>692,342</u>	<u>484,477</u>
	3,667,253	3,319,583
Unappropriated unrealized gains on investments	1,625,694	617,938
Time restrictions:		
Financial aid	<u>41,932</u>	<u>176,841</u>
	<u><u>\$ 5,334,879</u></u>	<u><u>\$ 4,114,362</u></u>

Unspent endowment gains and income are classified as temporarily restricted until the University appropriates and spends such sums in accordance with the terms of the underlying endowment and relevant State law, at which time they will be reclassified to unrestricted revenues.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

**(10) Permanently Restricted Net Assets**

Permanently restricted net assets consist of the following at June 30:

	<b>2011</b>	<b>2010</b>
Endowment funds for:		
Academic support	\$ 411,955	\$ 405,235
Financial aid	10,712,140	9,474,739
	\$ 11,124,095	\$ 9,879,974

**(11) Net Assets Released from Restrictions**

Net assets released from temporary donor restrictions were as follows for the years ended June 30:

	<b>2011</b>	<b>2010</b>
Purpose restrictions:		
Student aid and other	\$ 572,441	\$ 671,384

**(12) Retirement Plan and Trust**

The University has a defined contribution retirement plan (the Plan) covering substantially all full-time employees. The Master Agreement between the University and its professional employees provides for a Plan contribution by the University equal to 9% of base salary. Total pension expense attributable to the Plan was \$2,873,755 and \$2,652,039 in 2011 and 2010, respectively. Total employer contributions to the Trust were \$2,601,298 and \$2,472,519 for August 31, 2010 and 2009, respectively.

Contributions are fully vested after attainment of more than three years of 1,000 or more hours of service per year by the participant. Normal retirement age is 55 years old.

**(13) Deferred Compensation**

Effective December 2002, the University has offered a deferred compensation plan under which eligible employees may elect to defer a portion of their annual compensation for payment in future periods. Under the plan, deferred wages are payable at the participant's election at a date certain, or at times of unforeseeable emergency, or at termination of the participant's employment with the University. Participation in the plan is limited to a select group of management and highly compensated employees.

Assets of the plan are recorded at fair value and were \$352,205 and \$246,264 at June 30, 2011 and 2010, respectively, consisting primarily of investments in mutual fund securities. An offsetting liability has been recorded for these amounts in the accounts payable and accrued expenses financial statement line item.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (14) Operating Leases

The University leases certain classrooms and office space under various lease agreements which expire at various dates through September 2021. The leases generally require that the University pay for insurance, maintenance, and certain other operating expenses, and provide for rent adjustments in the event of changes in real estate taxes. Rent expense under operating leases was \$1,636,132 and \$1,593,240 in 2011 and 2010, respectively.

Scheduled future minimum rental payments under operating leases as of June 30, 2011 are as follows:

2012	\$ 1,133,575
2013	1,170,411
2014	935,460
2015	882,416
2016	641,252
Thereafter	1,927,223

### (15) Food Service Contract

The University entered into a ten (10) year agreement with Sodexo to operate the University's food operations starting August 1, 2008. As part of the contract, the University received \$4,000,000 to assist the University in financing improvements at the discretion of the University in the food service operation. The \$4,000,000 will be received in three payments each of which will be amortized over the remaining life of the contract. In the event that the contract is terminated, all outstanding amounts owed to Sodexo shall become due and payable immediately upon notification of termination by the University. Under the agreement, the University retains ownership of all buildings and equipment. The University will receive commissions on a percentage of sales basis. The University provides an annual \$500,000 deposit to Sodexo for their operating cash needs in June thru August as a revolving deposit in which is included in student deposits and advanced payments on the Statements of Financial Position. Included in student deposits and advance payments is a liability associated with the deposits received from Sodexo that are being amortized over the life of the agreement.

### (16) Commitments and Contingencies

The University is engaged in routine civil litigation, including employment, personal injury, and other claims. Management does not expect any of these matters to have a materially adverse effect on the University.

The University has a collective bargaining agreement for certain faculty and staff that was renegotiated during the 2011 fiscal year until June 2015.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

**(17) Net Asset and Endowment Matters**

The following represents required disclosure relative to the composition and activities of endowment and funds functioning as endowment for the year ended June 30, 2011:

	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ 2,829,671	\$ 11,124,095	\$ 13,953,766
Accumulated unspent unrealized gains and losses	<u>1,625,694</u>	<u>-</u>	<u>1,625,694</u>
<b>Total funds</b>	<b><u>\$ 4,455,365</u></b>	<b><u>\$ 11,124,095</u></b>	<b><u>\$ 15,579,460</u></b>

The following represents required disclosure relative to the composition and activities of endowment and funds functioning as endowment for the year ended June 30, 2010:

	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ 2,862,155	\$ 9,879,974	\$ 12,742,129
Accumulated unspent unrealized gains and losses	<u>617,938</u>	<u>-</u>	<u>617,938</u>
<b>Total funds</b>	<b><u>\$ 3,480,093</u></b>	<b><u>\$ 9,879,974</u></b>	<b><u>\$ 13,360,067</u></b>

***Endowment***

The University's endowment consists of approximately 90 individual funds established for a variety of purposes. Its endowment includes only donor-restricted endowment funds. As required by U.S. generally accepted accounting principles, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

***Interpretation of Relevant Law and Spending Policy***

The Board of Trustees of the University has interpreted the Uniform Prudent Management of Institutional Funds Act (UPMIFA), effective for fiscal year ended June 30, 2009, and thereafter, requiring the preservation of the original value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the University classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original gift value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

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temporarily restricted net assets as defined by donor restrictions or until those amounts are appropriated for expenditure by the University in a manner consistent with the standard of prudence prescribed by UPMIFA. In accordance with UPMIFA, the University considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

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

Distributions from long-term investments are made using the total return method. Under the total return method, distributions consist of interest, dividends, and realized and unrealized gains. The Board of Trustees has approved spending of \$587,052 in 2011 and 2010. At such a time in the future that the three year rolling average of the permanently restricted funds plus the accumulated earnings thereon based on a 4% rate exceeds this amount, higher spending will be authorized. Spending approved for 2012 is expected to be \$587,052. The University has adopted this spending policy in order to protect the inviolate nature of the original corpus of gifts as well as to preserve the purchasing power of these funds into the future.

### *Funds with Deficiencies*

From time to time, the fair value of assets associated with the individual donor-restricted endowment funds may fall below the level that the donor requires the University to retain as a fund of perpetual duration. In accordance with U.S. generally accepted accounting principles, deficiencies of this nature that are reported in temporarily restricted are \$20,859 as of June 30, 2011. These deficiencies resulted from unfavorable market fluctuations that occurred shortly after the investment of new permanently restricted contributions. There were \$12,821 in deficiencies as of June 30, 2010.

### *Return Objectives and Risk Parameters*

The University's investment portfolio is managed to provide for the long-term support of the University. Accordingly, these funds are managed with disciplined longer-term investment objectives and strategies designed to meet cash flow and spending requirements. Management of the assets is designed to attain the maximum total return consistent with acceptable and agreed upon levels of risk. It is the goal of the aggregate long-term investments to generate a long-term target rate of return of at least 8.8%, which would meet the annual spending rate (\$587,052), provide for inflation and fees and provide for real growth.

### *Strategies for Achieving Investment Objectives*

To satisfy its long-term rate-of-return objectives, the University relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The University targets an asset allocation strategy wherein assets are diversified among several asset classes. The pursuit of maximizing total return is tempered by the need to minimize the volatility of returns and preserve capital. As such, the University seeks broad diversification among assets having different characteristics with the intent to endure lower relative performance in strong markets in exchange for greater downside protection in weak markets.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

The following represents required disclosure relative to the composition of funds held as endowments at June 30, 2011 and 2010. This is a partial list of the University's investments and will not equal the total investments on the Statements of Financial Position.

	Temporarily Restricted Net Assets	Permanently Restricted Net Assets	Total
<b>Endowment at June 30, 2009</b>	<b>\$ 1,561,369</b>	<b>\$ 8,522,443</b>	<b>\$ 10,083,812</b>
Gifts and additions	<u>143,112</u>	<u>1,273,778</u>	<u>1,416,890</u>
Investment returns:			
Interest and dividends	42,833	774	43,607
Net realized and unrealized gains (losses)	<u>1,700,815</u>	<u>49,126</u>	<u>1,749,941</u>
Total investment returns	<u>1,743,648</u>	<u>49,900</u>	<u>1,793,548</u>
Expenditures:			
Amounts appropriated for operations	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Total expenditures	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Change in investments	<u>1,299,708</u>	<u>1,323,678</u>	<u>2,623,386</u>
Reclassifications:			
Reclassification of net assets	<u>619,016</u>	<u>33,853</u>	<u>652,869</u>
<b>Endowment at June 30, 2010</b>	<b>\$ 3,480,093</b>	<b>\$ 9,879,974</b>	<b>\$ 13,360,067</b>
Gifts and additions	<u>114,429</u>	<u>1,234,421</u>	<u>1,348,850</u>
Investment returns:			
Interest and dividends	142,017	713	142,730
Net realized and unrealized gains (losses)	<u>1,305,878</u>	<u>8,987</u>	<u>1,314,865</u>
Total investment returns	<u>1,447,895</u>	<u>9,700</u>	<u>1,457,595</u>
Expenditures:			
Amounts appropriated for operations	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Total expenditures	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Change in investments	<u>975,272</u>	<u>1,244,121</u>	<u>2,219,393</u>
<b>Endowment at June 30, 2011</b>	<b>\$ 4,455,365</b>	<b>\$ 11,124,095</b>	<b>\$ 15,579,460</b>

## Southern New Hampshire University Board of Trustees 2011-2012

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<b>Aby Alexander</b>	*President and Chief Technology Officer eXstream Solutions 1212 Hancock Street Quincy, MA 02169 617-395-2949 X713 617-500-4861 (direct) Fax: 617-812-0271 Cell: 617-256-6131 <a href="mailto:Abya@exstreamolutions.com">Abya@exstreamolutions.com</a>	14 Town Way Scituate, MA 02066
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<b>Laurie Chandler</b>  Spouse: Clarke  Assist: Susan Smith	*Managing Director Vigilant Capital Management LLC 18 Congress Street – Suite 209 Portsmouth, NH 03801 603-431-3498 Cell: 603-770-1123 Fax: 603-431-3682 <a href="mailto:lchandler@vigilantcap.com">lchandler@vigilantcap.com</a>	PO Box 639 New Castle, NH 03854-0639 603-431-1720
<b>Clayton M. Christensen</b>  Spouse: Christine Assist: Emily Snyder <a href="mailto:esnyder@hbs.edu">esnyder@hbs.edu</a>	*Harvard Business School Soldiers Field Road Boston, MA 02163 617-496-5379 <a href="mailto:cchristensen@hbs.edu">cchristensen@hbs.edu</a>	114 Fletcher Road Belmont, MA 02478

<b>Kristine Clerkin</b>	VP/General Manager Wolters Kluwer Law & Business Legal Education 130 Turner Street Building 3, 4 <sup>th</sup> Floor Waltham, MA 02453-8901 617.907.6944 Cell: 617.201.0420	*36 Oxford Road Newton Centre, MA 617.201.0420 617.630.1509 <a href="mailto:Kristine.Clerkin@comcast.net">Kristine.Clerkin@comcast.net</a>
<b>Stephanie Collins</b> SNHUPEA rep	*Professor, Information Technology School of Business Southern NH University 603-644-3169 fax: 629-4693 <a href="mailto:j.collins@snhu.edu">j.collins@snhu.edu</a>	16 Autumn Lane Londonderry, NH 03053 603-437-4868
<b>Richard Courtemanche '73</b> Spouse: Marcia	Retired from IBM	*19 North Shore Road Hampton, NH 03842 (603) 929-6226 Cell: (603) 557-7600 <a href="mailto:racourt@comcast.net">racourt@comcast.net</a>
<b>Theresa Desfosses '72</b>	President State Manufactured Homes 126 Route #1 Scarborough, ME 04074 207-883-2512	*2 Island View Avenue Old Orchard Beach, ME 04064 207-934-9197 <a href="mailto:theresa@statemanufacturedhomes.com">theresa@statemanufacturedhomes.com</a>
<b>Thomas Dionisio '76</b> Wife: Sheila Assist: Angela Dragonetti	The Boston Consulting Group, Inc. One Beacon Street, 10 <sup>th</sup> Floor Boston, MA 02108 617-850-3754	*38 Copley Circle North Andover MA 01845 617-973-1380 Cell: 617-548-1799 <a href="mailto:dionisio.tom@bcg.com">dionisio.tom@bcg.com</a>
<b>Neil Donahue '82</b> Alumni rep	*9 Normac Road Woburn, MA 01801 978 808 0725 <a href="mailto:Neil.donahue@compass-usa.com">Neil.donahue@compass-usa.com</a>	50 Mitchell Drive Tewksbury, MA 01876-2180 Cell : 978.808.0725
<b>Rob Freese '89</b>	*Sr. Vice President Marketing Globe Manufacturing Company, LLC 37 Loudon Road Pittsfield, NH 03263 603-435-8323 Fax: 603-435-6388 Cell: 603-496-1670 <a href="mailto:robfg@globefireresults.com">robfg@globefireresults.com</a>	45 Russet Drive Pittsfield, NH 03263 603-435-7614
<b>Andre Hawaux '92</b> Wife: Rita Assist: Patti Kahre 402.240.6596 Mobile: 402.881.6185 <a href="mailto:Patti.kahre@conagrafoods.com">Patti.kahre@conagrafoods.com</a>	*President/Chief Operating Officer ConAgra Foods Five ConAgra Drive Omaha, NE 68102 402.240.4465 Fax: 402.516.3211 Mobile: 402.659.2268 <a href="mailto:Andre.Hawaux@conagrafoods.com">Andre.Hawaux@conagrafoods.com</a>	7703 N. 124th Street Omaha, NE 68142 402.763.9901  2334 Mont Claire Court, Unit 202 Naples, FL 34109 239.566.1937
<b>Rick Loeffler</b> Spouse: Maureen	Owner/CEO Shorty's Management Group PO Box 10250 Bedford NH 03110	*69 Kensington Lane Bedford, NH 03110603- 627-8438 cell: 603-620-6339 <a href="mailto:freddymo@comcast.net">freddymo@comcast.net</a>

<b>John Miles</b>	Retired VP of Finance, SNHU Retired VP of Finance Chester College of New England	*20 Riddle Drive Bedford, NH 03110 603-471-0460 <a href="mailto:j.miles@snhu.edu">j.miles@snhu.edu</a>
<b>Raymond Truncellito, C.L.U.</b> Spouse: Barbara	Truncellito Life Insurance Planning 66 Hanover Street, Suite 202 Manchester NH 03101 603-623-7092/FAX 645-6299	*1472 Belmont Street Manchester NH 03104 603-624-4209 <a href="mailto:rayandbarbtrunce@comcast.net">rayandbarbtrunce@comcast.net</a>
<b>Kimon S. Zachos, Esq.</b> Spouse: Anne Asst: Dorothy Charland	Attorney at Law *Sheehan Phinney Bass & Green P. O. Box 3701 Manchester NH 03105-3701 603-627-8104 FAX 627-8121 <a href="mailto:kzachos@sheehan.com">kzachos@sheehan.com</a>	13 Sandstone Way Exeter, NH 03833 603-669-2592
*Preferred mailing address Revised January 26, 2012 njr		

**Southern New Hampshire University**  
**Graduate Program in Community Mental Health and Mental Health Counseling**

**Mission**

The mission of the Graduate Program in Community Mental Health and Mental Health Counseling is to prepare individuals for work as counselors in community-based behavioral health care and a variety of related services for children and adults, by providing education in state-of-the-art professional practice. The curriculum is based on a set of core competencies. These competencies are nationally recognized, multidisciplinary and multicultural in nature, are drawn from the research literature and from practices in 'model programs,' and have been developed with input from the major constituencies, including professionals, researchers, advocates, service users and their families. One innovative feature is that it strives to be an integrated program, in which people in recovery and family members study with students who are current service providers, all with mutual goals for greater learning and service in the field.

The program is offered in a Cohort model and employs a Weekend delivery format designed to be accessible to working adults. The program also prepares its master's level graduates for licensure and certification as Mental Health or Professional Counselors and/or Substance Abuse Counselors.

The Objectives and Goals of the Program are:

- To increase the clinical counseling and community support skills and competence of staff and managers working in integrated mental health and substance abuse services;
- To develop new leaders skilled in innovative program development in response to emerging needs in community mental health and substance abuse treatment;
- Through professional development and education, to improve service outcomes for children and youth or adults with psychiatric disabilities and/or substance abuse issues and their families;
- To increase the number of family members and people in recovery who are prepared to work in mental health and substance abuse counseling.

## Staff List Form

**Bidder/Program Name:** SNHU Graduate Program in Community Mental Health & Mental Health Counseling

**Name of RFP:** RFP#12-OMHRA-HPOP Capacity-12

This proposal includes:

- 60 days of Professional Staff time, approximately 3.15 days per week or an average of .6 FTE from May 23 through September 29, 2012. 15 Days are allocated for the period May 23 through June 30 and 45 days for the period July 1 through September 29, 2012.
- 8 days of Administrative Assistant staff time from May 23 through September 29, 2012. Four days are allocated to May 23 through June 30 and 4 days for July 1 through September 29, 2012.
- This will be divided into the two project periods below.
- More detail on how days/week of staff time are allocated to project activities may be seen in the project Timeline.
- Staff Roles are described in the Proposal Narrative, section I, # 3.
- Professional Staff resumes may be seen in Appendix C.

**Budget Period May 23 through June 30, 2012:**

A	B	C	D	E	F	G	H
Position Title	Current Individual in Position	Projected Hrly Rate as of 1 <sup>st</sup> Day of Budget Period	Hours per Week	Proj. Amnt Funded by this Contract for Budget Period	Proj. Amnt from Other Sources for this Budget Period	Total Salaries All Sources	Site*
PCMH Director	Annamarie Cioffari	\$38.69	6.5	\$1,509	\$7,776	\$9,285	
Asst. Academic Coord.	Julie Welkowitz	\$29.44	6.5	\$1,148	\$5,918	\$7,066	

Site Dev. Coord.	Susan Maslack	\$30.65	7	\$1,287	\$6,069	\$7,356
Admin. Asst	Sarah Chausse or Cindi Arsenault	\$18.50	5.3	\$588	\$3,915	\$4,503

**Bidder/Program Name: SNHU Graduate Program in Community Mental Health & Mental Health Counseling**

**Name of RFP: RFP#12-OMHRA-HPOPCapacity-12**

This proposal includes:

- 60 days of Professional Staff time, approximately 3.15 days per week or an average of .6 FTE from May 23 through September 29, 2012. 15 Days are allocated for the period May 23 through June 30 and 45 days for the period July 1 through September 29, 2012.
- 8 days of Administrative Assistant staff time from May 23 through September 29, 2012. Four days are allocated to May 23 through June 30 and 4 days for July 1 through September 29, 2012.
- This will be divided into the two project periods below.
- More detail on how days/week of staff time are allocated to project activities may be seen in the project Timeline.
- Staff Roles are described in the Proposal Narrative, section I, # 3.
- Professional Staff resumes may be seen in Appendix C.

**Budget Period July 1 through September 29, 2012:**

A	B	C	D	E	F	G	H
Position Title	Current Individual in Position	Projected Hourly Rate as of 1 <sup>st</sup> Day of Budget Period	Hours per Week	Proj. Amnt Funded by this Contract for Budget Period	Proj. Amnt from Other Sources for this Budget Period	Total Salaries All Sources	Site*
PCMH Director	Annamarie Cioffari	\$38.69	10	\$4,643	\$15,476	\$20,119	
Asst. Academic							

Coord.	Julie Welkowitz	\$29.44	10	\$3,532	\$11,777	\$15,309
Site Dev. Coord.	Susan Maslack	\$30.65	10	\$3,678	\$12,260	\$15,938
Admin. Asst	Sarah Chausse or Cindi Arsenault	\$18.50	2.6	\$592	\$9,164	\$9,756

**Annamarie T. Cioffari, Ph.D.**  
685 Beecher Hill Rd.  
Hinesburg, VT 05461  
(802) 482-2816 (Home); (802) 655-7235 (Work)  
a.cioffari@snhu.edu

### EDUCATIONAL HISTORY:

<u>Institution</u>	<u>Year</u>	<u>Degree</u>	<u>Major</u>
Univ. of Vermont	1987	Ph.D.	Psychology, specialty in Development Disabilities
Boston University	1986	Certificate	Psychiatric Rehabilitation Trainer
Univ. of Vermont	1980	M.A.	Psychology
Univ. of Bridgeport	1976	B.A.	Psychology, English minor

### PROFESSIONAL EXPERIENCE:

**2002- present**      **Director, Southern New Hampshire University (SNHU), Program in Community Mental Health.** Direct a graduate program in community mental health, which offers specializations in clinical services for: adults with serious mental illnesses; children and adolescents with serious emotional disturbances and their families, and people with co-occurring substance abuse and psychiatric disabilities. Responsible for: program leadership, program and curriculum development, budget and enrollment management, faculty recruitment, faculty and staff supervision, oversight of operations, liaison for accreditation and licensure .

**1999-2002**      **Co Director, Program in Community Mental Health (PCMH).** Please note: PCMH was initially affiliated with Trinity College of VT, transitioning to SNHU with Trinity's closure in May, 2001). Co-direct a graduate program in community mental health, which offers specializations in clinical services for: adults with serious mental illnesses; children and adolescents with serious emotional disturbances and their families, and people with co-occurring substance abuse and psychiatric disabilities. Shared responsibility with co-director for: program leadership and development; strategic planning; and implementing transition to SNHU. Primarily responsible for curriculum development; faculty recruitment and supervision; and external relations, including acting as liaison for accreditation and licensure.

**Annamarie T. Cioffari, Ph.D.**

**Vita**

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**1995 – 1999**      **Academic Director, Trinity College of Vermont, Program in Community Mental Health.** See program description above. Held primary responsibility for ongoing curricular and program development, faculty recruitment and faculty supervision.

**1992 – 1997**      **Director of Higher Education Initiatives, Center for Community Change, Trinity College of VT.** Director of training and technical assistance activities focused on workforce development in the field of mental health. Staffed a project which involved all major stakeholders in the Vermont mental health system in developing a comprehensive plan for improving Vermont's mental health workforce. Responsibilities included developing linkages with higher education institutions in Vermont, developing competencies for staff working with adults with psychiatric disabilities or with children and adolescents experiencing a serious emotional disturbance, and their families, and designing a variety of training initiatives to address the competencies.

Through a contract with the VT Division of Mental Health, acted as Interim Children's Program Coordinator with the Child, Adolescent and Family Unit.

**1989 - 1992**      **Director of Higher Education Initiatives, Center for Community Change, University of Vermont, Psychology Department.** Director of a project intended to improve and increase the availability of pre and in-service training for people who work in community settings with adults who have psychiatric disabilities and children/adolescents experiencing a severe emotional disturbance and their families. Worked with all mental health constituencies (service providers, advocacy organizations, current and former service recipients and their families, state agencies, academics from many disciplines) in designing training and other staff development activities.

**1982 - 1989**      **Psychosocial Rehabilitation Training Project Coordinator, University of Vermont, Psychology Department.** Coordinator of a grant from the Vermont Division of Mental Health. Similar in activities to those described above, the goals of the project were to coordinate and/or develop training resources for Community Mental Health Agency (CMHA) and hospital staff working with people with psychiatric disabilities.

**Annamarie T. Cioffari, Ph.D.**

**Vita**

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**OTHER PROFESSIONAL EXPERIENCE:**

- 1987 - 1989**      **Bakeman Commission, Howard Mental Health Services.** Filled in, as requested, as a part-time facilitator for the Bakeman Commission, a group of citizens, professionals and family members recommending service system and other social changes to improve the quality of life for people with developmental disabilities.
- 1984 - 1985**      **Family Education Group, Howard Mental Health Services.** Assisted in a family education and support group for families of people diagnosed with serious mental illnesses.

**TEACHING EXPERIENCE:**

- 2001 - present**      **Associate Professor, Southern New Hampshire University.**  
Teach PCMH Orientation. Develop and teach overview/policy course in Behavioral Health Services. Teach Master's Project course. Oversee PCMH curriculum development
- 1992 - 2001**      **Assistant Professor, Trinity College, Basic and Applied Social Sciences Department.** Develop and teach courses in the area of community mental health in general and on community support service approaches for adults with serious mental illnesses; helped develop and teach PCMH 600/Overview of Community Mental Health and the Final Project course for students completing their Master of Science degree in Community Mental Health.
- 1987 - 1993**      **Clinical Assistant Professor, University of Vermont Department of Psychology.** (Also, Clinical Instructor from 1982 - 1987). Developed and taught courses in: community mental health; understanding the experience of serious mental illness; community-based approaches to working with adults with serious mental illnesses; rehabilitation; career and education planning for adults with psychiatric disabilities.

**OTHER TEACHING EXPERIENCE:**

**Adjunct Faculty, St. Michael's College, PREVEL School.** Taught the Graduate Psychology Research Seminar, designed to assist Master's level students in completing their Major Paper or Thesis. Instructor also serves as major advisor and/or Masters committee chair.

**Instructor, Adelphi University, VT, MSW program.** Taught an introduction to research and statistics in the social sciences and their relevance to clinical practice for graduate level social work students.

**Graduate Teaching Assistant, UVM, Psychology.** Taught General Psychology (Psychology 1) for evening students; lectured in Psychology 1 and organized a testing center for 400-800 students taking this as an individualized, mastery based course; selected, supervised, and developed training for student proctors.

**GRADUATE INTERNSHIP EXPERIENCE:**

**1981 - 1982.** Vermont Department of Mental Health, Research Assistant. Research assistant in the Planning and Evaluation Division.

**1980 - 1981** UVM, Center for Developmental Disabilities, Research Assistant. Worked on the "School and Community Integration Project," part of a federal grant to foster school integration, transition to adult services, and increased use of community services for persons with developmental disabilities in central Vermont. Responsibilities included: development of pilot year intervention for social integration for school-age students, consultation on the evaluation design for the project, coordination activities for a community task force on integration strategies.

**1978 - 1980** UVM, Psychology Dept, Distributive Clinical Internship. Worked with the Residential Managers Training Project. Assisted in developing and running statewide and regional workshops for group home and community mental health staff serving people with developmental disabilities. Training and consultation in: normalization, behavior management, and individualized program planning.

**CONFERENCES AND INSTITUTES:**

Following are some examples of conferences and other training activities I have helped to organize:

- **New Horizons In Mental Health.** Five colloquia on new and emerging areas of practice & research which have the potential to affect the lives of people with psychiatric disabilities (1997).
- **Recovery Conference.** A one day series of workshops on the newest information and approaches to facilitating recovery for adults diagnosed with serious mental illnesses (1996).
- **Supervisory Training.** A series of trainings for new supervisors in developmental and mental health services, organized jointly with the Division of Developmental Services and the Vermont Council of Community Mental Health Services (1996 & 1997).

As part of the Psychosocial Rehabilitation Training Project:

- **Case Management, Training of Trainers.** Two-day conferences for case managers and supervisors whose responsibilities included training new case managers at the 10 CMHAs in Vermont and at VSH. Included the beginning of a design to evaluate outcomes of new case management services in Vermont.
- **Dual Diagnosis: Working with People with Mental Illness and Substance Abuse Problems.** One day, statewide workshop.
- **Fulfilling the Vision: Community Integration for Adults with Mental Illness.** Eight meetings, open to the public, introducing new initiatives in the Vermont mental health system, national perspectives and new research in the field.
- **Vermont Conference on Community Rehabilitation.** Three-day conference jointly sponsored with Vermont Department of Mental Health and Vocational Rehabilitation.
- **Department of Labor, Issues for Mental Health: I and II.**
- **Project Engage<sup>R</sup> Workshop.** An introduction to Family Education.
- **Family Education Workshop: I and II**
- **Consumer Support and Advocacy Conferences: I and II**

Annamarie T. Cioffari, Ph.D.

Vita

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#### CONFERENCES AND INSTITUTES (cont.):

- Introduction to Rehabilitation. A three day conference for mental health workers
- Residential Services Workshop
- Hutchings Psychiatric Institute Workshop. Introduction to a comprehensive community support program.
- International Rehabilitation: Day conferences with presenters from Sweden and Israel.

#### ORGANIZATIONS:

Vermont Protection and Advocacy Board & Mental Health Advisory Council (until 1991)

Vermont Citizen Advocacy - advocate (1981 - present)

Vermont Association for Mental Health

Flynn Center for the Performing Arts, Education Committee (2008-present)

**Dissertation:** "Nonhandicapped Children's Attitudes and Actions Towards Severely Handicapped Children in Their School."

**Masters Thesis:** "An Investigation of Strategy Transfer with Mildly Retarded Women."

#### PAPERS:

Cioffari, A.T., Copeland, R.E., Burchard, J.D., & Carling P.J. (1992). Creating a competent workforce: The role of a psychology department in promoting multidisciplinary public-academic linkages and human resource development in Vermont. In P. Wohlford (Ed.), *Public-academic linkages for clinical training in psychology* (Chapter 23). Washington, D.C.: NIMH.

Cioffari, A., Blanch, A.K., Wilson, S.F., Carling, P.J., & Pierce, J.E. (1988). Building a vision of community support: A collaborative colloquium series. In J. D. Moore & A. M. Sanchez (Eds.), *Innovation in collaboration: Vignettes of state/university collaboration to improve mental health Systems* (pp. 79-88). Boulder, CO: Western Interstate Commission for Higher Education.

Annamarie T. Cioffari, Ph.D.

Vita

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**PAPERS:**

Cioffari, A., Sbardellati, E. and Fox, W. (1981, May). *Integration of the severely handicapped: Development, implementation, and evaluation of a systems change plan to provide quality services to severely handicapped learners.* Paper presented at the annual conference of the American Association on Mental Deficiency.

Widrick, G., Burchard, S. and Cioffari, A. (1980, July). *Training community mental health workers in Vermont as service providers to persons with retarded development.* Paper presented at the conference on rural issues of the National Institute of Social Workers, Burlington, VT.

Burchard, S.N., Hasazi, J.E., Kendziorski, G.D., Joffe, J.M., Cioffari, A.T., and Widrick, G.C. (1981). *Residential managers training program: A training program for staff and managers providing community services for persons with retarded development.* Unpublished manuscript, University of Vermont, Burlington, VT.

**PRESENTATIONS:**

- September, 2005      The Program in Community Mental Health: Innovative Approaches in Education. Alaska Behavioral Health Workforce Summit, Anchorage, AK.
- June, 2000            The Program in Community Mental Health: Innovative Approaches in Education for the Mental Health Workforce. Presented at the Commissioner's Forum at "Training Institutes 2000," sponsored by the National Technical Assistance Center for Children's Mental Health, Center for Child Health and Mental Health Policy, Georgetown University Child Development Center; SAMSHA and CMHS.
- October, 1995 &  
October, 1996        The Program in Community Mental Health: presentations at the Vermont Association of Mental Health Annual Meeting.
- October, 1991        Creating A Competent Workforce: a half-day pre-conference institute on staff training and development in community mental health services. Presented at the Northeast Regional Training Institutes & Conference on Housing And Supports, in Burlington, VT.
- September, 1991    Making It Happen: Developing the Attitudes, Knowledge & Skills Needed For Your Children's Mental Health Workforce: presented at the Human Resource Association's New Directions Conference, in Fairlee, VT
- December, 1990     Public-Academic Linkages for Clinical Training in Psychology. Presented with Rod Copeland and John Burchard at the NIMH, Public Academic Linkages for Clinical Training Conference, in Washington, D.C.

## CURRICULUM VITAE

**JULIE ANN WELKOWITZ, Ph.D.**  
*Program in Community Mental Health*  
*Southern New Hampshire University, Vermont Center*  
*463 Mountain View Drive, Suite 101*  
*Colchester, VT 05446*  
*802-655-7235*

### EDUCATION

- 1993      **University of Vermont**, Burlington, VT  
Ph.D., Clinical Psychology
- 1984      **Cornell University**, Ithaca, NY  
B.A., College of Arts and Sciences  
Dual Major: Psychology and Government

### LICENSE

Psychologist-Doctorate  
License Number: 48-0000597 (Vermont)

### ADVISORY BOARDS/TASK FORCES

- 2007-Current      Vermont Early Childhood and Family Mental Health  
Workgroup
- 2005- 2011      Vermont ACT 264 Advisory Board, Member

### AWARDS

- 2005      TASH Positive Approaches Award

### ACADEMIC/ADMINISTRATIVE/POLICY EXPERIENCE

- July 2005-  
Present      **Southern New Hampshire University-Vermont Center**  
Program in Community Mental Health  
School of Liberal Arts  
Colchester, VT  
**Assistant Academic Coordinator; Associate Professor**

Current Activities:

- ◆ Provide coordination and oversight of the academic activities for a Masters level program in Community Mental Health that leads to licensure as a clinical mental health counselor. Position involves curriculum development, teaching, advising, program evaluation and administration.
- ◆ Research collaboration with *Connecting Cultures* through the Behavior Therapy and Psychotherapy Center at the University of Vermont. Research efforts have involved qualitative and quantitative approaches to better understand the strengths and needs of refugee youth living in Burlington, Vermont.

1992-2005

**University of Vermont**  
College of Education and Social Services  
University of Vermont, Burlington, VT  
**Research Assistant Professor**

Primary Activities:

- ◆ Coordinated a Masters and Certificate of Advanced Studies (CAS) level graduate concentration for educators specializing in the issues of emotional and behavioral disorders of children and adolescents. Involved in program administration, curriculum development, teaching, student advising, and supervision of students in their practica.
- ◆ Designed and implemented model development and outreach programs in schools throughout Vermont to build the capacity of schools and communities to support children and adolescents with behavioral challenges.
- ◆ Conducted applied evaluation research regarding model development, outreach and sustainability projects designed to support youth with emotional disturbance and their families.
- ◆ Provided behavioral consultation to schools throughout Vermont.
- ◆ Wrote several federal grants that were awarded to the University of Vermont to conduct above activities (See Grant Experience).

**GRANT EXPERIENCE** (includes grant listings during time as faculty member only)

- 2001-2005      **Co-Author/Co-Coordinator, Graduate Concentration to Prepare Special Educators and Related Service Personnel Serving Students with Emotional and Behavioral Disabilities.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 2004-2005      **Behavioral Consultant, Safe Schools/Healthy Students Project.** Federal grant awarded to the Lamoille North School District. The purpose of the grant was to build the capacity of the school district to support the healthy development of all students, including those at risk of emotional and behavioral challenges, and to create a safe learning environment (Funded by the US Departments of Education, Justice and Health & Human Services).
- 2001-2003      **Co-Principal Investigator, Studying the Sustainability of Four SED Prevention Projects.** National research project to study the sustainability of school related prevention models designed to support youth at risk of emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 2000-2003      **Co-Principal Investigator, Outreach Using a Proven Model of Early Intervention for Students with Emotional and Behavioral Challenges.** Federally funded elementary school initiative to establish and evaluate parent/teacher partnerships regarding children at risk of emotional and behavioral disorders (Funded by the US Department of Education, Office of Special Education Programs).
- 1997-2000      **Co-Author, Faculty, Improved Graduate Program to Prepare Special Educators to Support Students with Emotional and Behavioral Disabilities in Regular Education Classrooms.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 1996-2000      **Co-Author/Coordinator, A Model Mentor/Advisor Program Supporting Secondary School Youth With Emotional and**

*Behavioral Challenges and their Families within Rural Vermont.* A four year initiative in two Vermont high schools to establish a comprehensive mentor/advisor program emphasizing community service learning for high risk students (Funded by the US Department of Education, Office of Special Education Programs).

1995-1996 **Faculty, Vermont Statewide Educational Personnel Preparation Program (BEST Initiative).** A statewide initiative to provide training to educators and related service personnel to support students with emotional and behavioral disorders (Funded by the Vermont Department of Education).

1993-1997 **Faculty, Preparing Special Educators to Serve Students with Serious Emotional Disturbance and Provide Supports for their Families in Rural Vermont.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).

1994-1996 **Co-Coordinator, Reducing Out-of-Community Residential Programs by Improving Services to Children with Serious Emotional Disturbance and Their Families.** A model demonstration project to promote interagency collaboration and reduce out-of-community placement of youth with serious emotional disturbance in Addison County, Vermont (Funded by the Office of Special Education Programs).

1992-1994 **Research Associate, Best Practices for Educating Students with Serious Emotional Disturbance Within Their Local Public Schools and Communities in Rural Settings.** Provided on-site technical assistance to educators of students with serious emotional disturbance in Vermont (Funded by the US Department of Education, Office of Special Education Programs).

## **RESEARCH/ MODEL DEVELOPMENT EXPERIENCE**

2005-Present **Program in Community Mental Health**  
Southern New Hampshire University-Vermont Center  
Colchester, Vermont

Ongoing evaluation of a graduate training program for Masters level students seeking to be mental health clinicians.

1992-2005      **Center on Disability & Community Inclusion**  
College of Education and Social Services  
University of Vermont, Burlington, VT

Applied evaluation research of systems change projects to increase the success of youth at risk or experiencing emotional and behavioral disorders within their schools and communities. Areas of focus have included: mentoring, community service learning, interagency collaboration.

2000-2003      **School Research Office**  
College of Education and Social Services  
University of Vermont, Burlington, VT

Applied evaluation research and model development regarding school-related prevention models to support children and adolescents at risk of emotional and behavioral challenges. Particular areas of interest included evaluating the success of parent teacher action research and factors related to sustainability of systems change interventions.

1993            **Department of Psychology**  
University of Vermont  
Burlington, VT

Doctoral Dissertation: The Role of Cultural Factors in the Use of Human Services by Abenaki Families

Explored factors related to the use of children's services (i.e., mental health, supplemental education, health, social services) by Abenaki Indians in northern Vermont. Specifically examined such factors as: cultural identification, alienation, attitudes towards providers, and social support.

1990-1991      **Department of Psychology**  
University of Vermont  
Burlington, VT

Coordinated the implementation in Vermont of a multi-state project to evaluate alternatives to residential services for youth with emotional and behavior disorders.

1986-1987      **Child & Adolescent Service System Program (CASSP)**  
Department of Mental Health, Waterbury, VT

Involved in the development of a comprehensive system of care for youth with severe emotional disturbance in Vermont as part of an

NIMH grant.

1984-1986 **National Institute of Mental Health**  
Bethesda, MD

Participated in neuropharmacological research on Alzheimer's disease.

**TEACHING/  
CURRICULUM DEVELOPMENT EXPERIENCE**

Fall 2006-  
Present **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 635, Child Clinical Skills I

Sum 2008-  
Present **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 680, Diagnosis and Assessment

Fall 2005-  
Present **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 690, Masters Project

Win/Sp. 2008 **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 680, Diagnosis and Assessment

Spring 2006 **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 635, Child Clinical Skills I

Spring 2006 **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 636, Child Clinical Skills 2

1993-2005  
(Fall/Spring) **Practicum Supervisor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 295, Teaching Internship: Emotional and Behavioral Disabilities (Includes a monthly practicum seminar and

on-going supervision with site visits)

- 1998- 2004 **Instructor**  
(Fall semesters) University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 306, EBD Part I: Issues & Approaches to  
Assessment of Emotional & Behavioral Disorders of Childhood &  
Adolescence  
(Taught on-campus and through Interactive Television at sites  
throughout Vermont)
- Spring 2003 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 307, Emotional and Behavioral Disabilities  
Part II: Prevention and Teaching Strategies  
(Taught on-campus and through Interactive Television at sites  
throughout Vermont)
- 1993-1997 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 310, Curriculum and Technology in  
Special Education: Emotional and Behavioral Disabilities (Survey of  
Behavioral Disorders of Childhood).
- 1993-1997 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 311, Curriculum and Technology in  
Special Education: Emotional and Behavioral Disabilities (Affective  
Curriculums).
- Fall 1992 **Co-Instructor**  
University of Vermont, Continuing Education  
Burlington, VT  
Undergraduate Course: Psychology 152, Abnormal Psychology
- Spring 1989 **Co-Instructor**  
University of Vermont, Continuing Education  
Burlington, VT  
Undergraduate Course: Psychology 100, Introductory Psychology

Other Teaching and Related Experiences:

1995- 2005 **Chair/Committee Member**

Masters and Doctoral Theses Committees  
Departments of Education and Psychology  
University of Vermont

2000-2004

**Anti-Bias/Diversity Trainer**

A World of Difference Curriculum: Anti-Bias and Diversity Training,  
Sponsored by the Anti-Defamation League.  
Provided trainings to school administration, faculty and staff in  
Vermont on an anti-bias/diversity curriculum for teachers and  
students (See "Presentations" for listing of specific trainings).

1997-2004  
(Fall/Spring)

**Guest Lecturer:**

Department of Education, University of Vermont  
Undergraduate Course: EDSP 5, Issues Affecting Persons with  
Disabilities  
Class Topic: Emotional and Behavioral Disabilities

1997-2002  
(Fall Sem).

**Guest Lecturer**

Department of Psychology, University of Vermont  
Graduate Course: PSYC 355, Psychopathology II  
Class Topic: Substance Abuse

Spring 2002

**Guest Lecturer**

Department of Education, University of Vermont  
Graduate Course :EDSP 301, History of Services for Individuals  
with Disabilities  
Class Topic: Emotional and Behavioral Disabilities

Spring 2001

**Guest Lecturer**

Counseling Department  
Johnson State College  
Graduate Course: Legal & Ethical Issues in Counseling  
Class Topic: Issues of Diversity

Spring 1996

**Guest Lecturer**

Department of Education, University of Vermont  
Graduate Course: EDSP 302: Students with Significant Disabilities:  
Characteristics and Educational Interventions  
Class Topic: Emotional and Behavioral Disabilities

**CLINICAL &  
CONSULTATION  
EXPERIENCE**

1994-  
Present

**Family Therapy Institute of Vermont**  
Burlington, VT

Family Therapist

Participate on a bi-weekly family therapy team using a reflecting team model and narrative therapy approach.

1992-2005     **University of Vermont, Department of Education**  
Burlington, VT  
Research Assistant Professor

Faculty position involved considerable consultation to educators and other school staff regarding issues related to the support of pre-school, elementary and high school age students with emotional and behavioral problems (see grants projects listed above). Also provided supervision to graduate students throughout Vermont with respect to their applied practical activities.

1995-2002     **Private Clinical Practice**  
Burlington, Vermont  
Clinical Psychologist

Provided outpatient psychotherapy to children, adolescents, adults and families presenting with a range of clinical issues (e.g., trauma, affective disorders, anxiety disorders, transitional issues, loss, communication issues).

1991-1992     **SUNY Health Science Center**  
Syracuse, NY  
Psychology Intern

Provided psychotherapy to children and adults (individual, couples, family, group); conducted psychological assessments; and participated on multi-disciplinary teams. Services were provided in a range of settings including an outpatient psychiatry clinic, a pediatric clinic, a family medicine clinic, an acute inpatient psychiatric unit and a day treatment facility.

1989-1991     **Behavior Therapy and Psychotherapy Center**  
Dept. of Psychology, University of Vermont  
Burlington, Vermont  
Clinical Psychology Fellow

Provided individual and group therapy and conducted psychological evaluations for children, adolescents, and adults at an outpatient therapy clinic. Additionally, provided individual therapy, consultation, and assessments at elementary, middle and high

schools and a pediatric outpatient clinic.

1988-1991 **Family Therapy Service**  
University of Vermont Department of Psychology  
Burlington, VT  
Clinical Psychology Fellow

Provided couples and family therapy using a reflecting team with strategic and systemic approaches.

1988-1989 **Vermont State Hospital**  
Waterbury, VT  
Clinical Psychology Fellow

Provided individual and family therapy to adults with chronic mental health problems at an inpatient psychiatric hospital.

1987-1988 **Project Wraparound/ Winooski School District**  
Winooski, VT  
Clinical Psychology Fellow

Provided on-site individual therapy to elementary, junior high, and high school students with severe emotional disturbance. Additionally, provided consultation to teachers, school staff and parents, conducted psychological evaluations, and facilitated communication between home and school and with other community agencies.

Jan.-May 1987 **Counseling and Testing Center**  
University of Vermont, Burlington, VT  
Clinical psychology trainee

Conducted individual psychotherapy with university students.

1984-1986 **National Institute of Mental Health**  
Bethesda, MD  
Research Assistant

Administered cognitive and behavioral assessments to patients with Alzheimer's disease and depression on an inpatient research unit.

## **PUBLICATIONS**

McConaughy, S., Kay, P., Welkowitz, J., Hewitt, K., Fitzgerald, M. (2007).  
*Achieving, Behaving, Caring Partnerships. Making the First Years of School*

*Positive for all Children.* Longmont, CO: Sopris West.

Welkowitz, J., Backus, L., Ryan, A., Topper, K. Student voices on connection and autonomy: Developmental implications of a Mentor/Advisor Project. Unpublished Manuscript, University of Vermont.

Welkowitz, J. & Hamilton, R. (2006, January/February). University of Vermont's graduate concentration in emotional and behavioral disabilities. *TASH Connections*, 32, 29, 31.

Fitzgerald, M., Hewitt, K, Ratti, J.C., McNulty, R., Welkowitz, J. (2003). Parents and teachers: Partners in prevention of emotional disorders. Unpublished manuscript, University of Vermont School Research Office.

Welkowitz, J., Broer, S., Topper, K., Thomas, C., Backus, L., Hamilton, R. (2001). Students Speak Out: Preliminary Findings of a Mentor/Advisor Project. In Newman, C., Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 13<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the research base* (pp. 145-147). Tampa: University of South Florida, The Louis de la Parte Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Hamilton, R., Welkowitz, J., & Backus, L. (2001). *Improved Graduate Program to Prepare Special Educators to Support Students with Emotional and Behavioral Disabilities in Regular Education Classrooms* (Final Report). Burlington, VT: Center on Disability and Community Inclusion, University of Vermont.

Welkowitz, J. & Fox, W. (2000). *A Model Mentor/Advisor Program Supporting School Youth with Emotional and Behavioral Challenges and Their Families within Rural Vermont* (Final Report). Burlington, VT: Center on Disability and Community Inclusion, University of Vermont. (ERIC Document Reproduction Service No. ED462787).

Welkowitz, J., Backus, L., Topper, K. (October 1998). "It's Our Classroom": Students Take Charge. *Classroom Leadership On Line*. Reston, VA: ASCD.

Hamilton, R., Broer, S. & Welkowitz, J. (1997). Michael Stayed in the General Education Classroom. In Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 9<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 26 to February 28, 1996) (pp. 327-334). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Welkowitz, J., Broer, S., LaFramboise, S., Prue, J., Carruth, F., Provost, S., Fox,

- W. (1997). Interagency Consultation in Rural Vermont: A Model for Serving Students with Serious Emotional Disturbance. In Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 9<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 26 to February 28, 1996) (pp. 179-183). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.
- Welkowitz, J. & Backus, L. (1996). *Building a Supportive Community to Promote Resiliency and Positive Social Development of Youth*. Burlington, VT: Center on Disability and Community Inclusion.
- Welkowitz, J., Broer, S., Fox, W., Prue, J., LaFramboise, S., Provost, P., & Carruth, F. (1995). Developing an Interagency Collaborative Consultation Model: Meeting the Needs of Children and Adolescents with SED. In C. Liberton, K. Kutash, & R. Friedman (Eds.), *The 7<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 28 to March 2, 1994) (pp. 109-113). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.
- Hamilton, R., Welkowitz, J., deOliva, S., Prue, J., Fox, T. (1994). *Prevention, Teaching and Responding: Developing Supportive Educational Strategies For Students With Emotional and Behavioral Challenges*. University Affiliated Program of Vermont, University of Vermont, Burlington, VT.
- Welkowitz, J., Hamilton, R., Topper, K., & Inatsuka, L. (1994). Perceptions of Parents Regarding Their Involvement and Experience with Collaborative Educational Teams For Students With Emotional and Behavior Disorders. In C. Liberton, K. Kutash, & R. Friedman (Eds.). *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 269-275). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.
- Hamilton, R., Inatsuka, L., Welkowitz, J., & Topper, K. (1994). Perceptions of Regular Educators Regarding The Inclusion of Students With Emotional and Behavior Disorders. . In C. Liberton, K. Kutash, & R. Friedman (Eds.). *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 261-267). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.
- Inatsuka, L. Hamilton, R., Welkowitz, J., & Topper, K. (1994). Perceptions of Special Educators Regarding The Inclusion of Students With Emotional and Behavior Disturbances. . In C. Liberton, K. Kutash, & R. Friedman (Eds.).

*The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 247-252). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Topper, K., Hamilton, R., Welkowitz, J., & Inatsuka, L. (1994). Perceptions of Students Experiencing Emotional and Behavior Disorders and Their Peers Regarding Inclusive Classrooms. In C. Liberton, K. Kutash, & R. Friedman (Eds.), *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 253-259). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Clarke, R., Schaefer, M., Burchard, J. & Welkowitz, J. (1992). Wrapping Community-Based Mental Health Services Around Children with a Severe Behavioral Disorder: An Evaluation of Project Wraparound. *Journal of Child and Family Studies*, 241-261.

Welkowitz, J. (1987). *A Report On Therapeutic Foster Care*. Vermont CASSP, Vermont Department of Mental Health, Waterbury, VT, 1-108.

Tariot, P., Cohen, R., Welkowitz, J., Sunderland, T., Newhouse, P., Murphy, D. & Weingartner, H. (1987). Multiple Dose Arecoline Infusions in Alzheimer's Disease. *Archives of General Psychiatry*.

Tariot, P., Sunderland, T., Murphy, D., Cohen, M., Welkowitz, J., Weingartner, H., Newhouse, P. & Cohen, R. (1986). Design and Interpretation of Opiate Antagonist Trials in Dementia. *Progress in Neuropsychopharmacology & Biological Psychiatry*, 611-626.

Tariot, P., Sunderland, T., Weingartner, H., Murphy, D., Welkowitz, J., Thompson, K. & Cohen, R. (1987). Cognitive Effects of L-deprenyl in Dementia. *Psychopharmacology*, 489-495.

#### **CONFERENCE & WORKSHOP PRESENTATIONS**

Eber, L. & Welkowitz, J. *Creating Person Centered Strength-Based Plans for Students with the Most Complex Needs*. Weeklong strand presented at the BEST Summer Institute, Killington, VT, June 22-25, 2009.

Welkowitz, J. Cioffari, A. Knight, J. & Carlson, T. *Creative Solutions to Rural Workforce Development*. Workshop presented at the National Association for Rural Mental Health Conference, Burlington, VT, August 8, 2008.

Bean, B., Young-McCarthy, M, Welkowitz, J., & Marshall, C. *Vermont's Early Childhood and Family Mental Health Competencies*. Workshop presented at

the National Association for Rural Mental Health Conference, Burlington, VT, August 8, 2008.

Merlo, D., Bernacchio, C., & Welkowitz, J. *Strategies for Engaging Students: Comprehending, Applying, & Analyzing Evidence-Based Teaching Methods in Psychosocial Rehabilitation Higher Education*. Workshop presented at the 33<sup>rd</sup> Annual USPRA Conference, Lombard, Ill, June 16, 2008.

Welkowitz, J. *Hear Our Silent Cries: Supporting Students with Depression and Anxiety*. Workshop Strand presented at the BEST Summer Institute, Killington, VT, June 27-30, 2005.

Welkowitz, J. *Understanding the Warning Signs For Depression and Strategies For Assessment and Intervention*. Presented at the Vermont Council For Exceptional Children Conference: "Help Me, I'm Sad", Burlington, VT, May 17, 2005.

Welkowitz, J. & McPherson, A. *Sharing Strategies: A Dialogue in Understanding Challenging Behaviors (Part II)*. . Inservice presentation for Lamoille North Supervisory Union, Lamoille Union High School, Hyde Park, VT, January 17, 2005.

Welkowitz, J. & Boardman, D. *Sharing Strategies: A Dialogue in Understanding Challenging Behaviors*. Inservice presentation for Lamoille North Supervisory Union, Lamoille Union High School, Hyde Park, VT, August 25, 2004.

Welkowitz, J. *A World of Difference: Anti-Bias and Diversity Training*. Presentation for Rutland South Supervisory Union, Rutland, VT, May 20, 1994.

Welkowitz, J. & Hewitt, K. *Couldn't IEP Meetings Use This? Lessons Learned From Parent-Teacher Action Research*. Presentation at the CEC Annual Convention, New York, NY, April 7, 2002.

Welkowitz, J. *What is Emotional Disturbance?*. Presentation for the Learning at Lunch Series, Sponsored by the University of Vermont, Division of Continuing Education, Burlington, VT, November 14, 2001.

Welkowitz, J. & Lamphere, L. *A World of Difference: Anti-Bias and Diversity Training*. Presented at Peoples Academy High School, Morrisville, VT, August 23, 2001.

Welkowitz, J., Backus, L. & Bloom, D., Holley, P., & Ivy, D., *A World of Difference: Anti-Bias & Diversity Training*. Presented at the 2001 BEST Summer Institute, Killington, VT, June 25-29, 2001.

- Welkowitz, J. & Backus, L. *A World of Difference: Anti-Bias & Diversity Training*. Presented at the Vermont Superintendents Association Annual Spring Conference, Stowe, VT, May 17, 2001
- Welkowitz, J., Thomas, C. & Rooney, M, *STOMP Into Action: A High School Peer Mentoring Program That Promotes Emotional Wellness Through Supportive Relationships and Community Service Learning*. Presented at the Governor's Prevention Conference, Killington, VT, May 14, 2001.
- Sinclair, M., Welkowitz, J., Daunic, A., Rhuman, J., Bullis, M, Benz, M., Schumaker, J. & Bryan, T., *Promoting Success for Secondary Students with Emotional/ Behavioral Needs: Research-based Strategies for Administrators*. Presented at the CEC Annual Convention: Kansas City, Missouri, April 19, 2001.
- Welkowitz, J. & Michelle Chittenden. *A World of Difference: Anti-Bias & Diversity Training*. Presented at Essex Elementary School, Essex, Vermont, January 15, 2001.
- Welkowitz, J., Thomas, C, Shippe, R., Hoagland, Amy. *STOMP Into Action: Linking Mentoring With Community Service Learning For High School Students*; Presented at the Mentors Make A Difference Conference III, Burlington, VT May 18, 2000.
- Sinclair, M., Welkowitz, J., Daunic, A., Rhuman, J, Bullis, M, Benz, M., Schumaker, J. & Bryan, T, *Promoting Success for Secondary Students with Emotional/ Behavioral Needs: Research-based Strategies for Administrators*. Presented at the CEC Annual Convention: Building Tomorrow Together, Vancouver, B.C., April 5-8, 2000.
- Welkowitz, J., Topper, K., Shippe, T. & Peets, J. *Addressing the Needs of High Risk Children: A Resiliency Model for a Successful Mentor Advisory Program*. Presented at the Conference on Youth Violence in Schools & Communities: Building Active Partnerships for Prevention, Boston, April 29-30, 1999.
- Welkowitz, J., Thomas, C, Topper, K., Marshall, P., Ravenna, C., Bigelow, A., Hastings, E., Cavacas, M., *Group Mentoring: Promoting Resiliency among High School Students Through Team Building and Community Service*. Presented at Mentors Make A Difference Conference, Burlington, VT April 27, 1999.
- Kay, P., Welkowitz, J., Kamps, D., Daunic, A., Rhuman, J. Sinclair, M., Bullis, M, Benz, M. *Building our Schools' Capacity to Meet Students' Emotional and Behavioral Needs: OSEP's SED Prevention/ Intervention Projects*. Presented at the CEC Annual Convention: Creating New Horizons, Charlotte, NC, April 14-17, 1999.

- Welkowitz, J., Topper, K., Austin, M., Marshall, P. *The Mentor/Advisor Project: Promoting Resiliency Among High School Students*. Presented at the VASEA/ Department of Education Special Education Leadership Conference, Essex, Vermont, August 6, 1998.
- Welkowitz, J., Backus, L., Topper, K., Austin, M., Marshall, P., Ravenna, C., Rafter, M., *Group Mentoring: An Opportunity For High School Students To Develop Relationships And Skills Through Team Building And Community Service*. Presented at the Mentors Make A Difference Conference, Burlington, Vermont, May 18, 1998.
- Welkowitz, J., Topper, K., Austin, M., Reid, R. *Promoting Resiliency Among High School Youth*. Presented at the 1998 Governor's Prevention Conference, Fairlee, Vermont May 26-27, 1998.
- Welkowitz, J., Topper, K., Backus, L. *A Mentor/Advisor Model for Supporting High School Students At Risk of Developing Emotional and Behavioral Disorders*. Presented at the 21st Annual TECBD National Conference on Severe Behavior Disorders of Children and Youth, Scottsdale, Arizona, November 20-22, 1997.
- Welkowitz, J., Broer, S., LaFramboise, S., Prue, J. *Interagency Consultation in Rural Vermont: What's Happening & What Does it All Mean?* Presented at the 9th Annual Research Conference sponsored by the Florida Mental Health Institute: "A System of Care for Children's Mental Health: Expanding the Research Base", Tampa, FL., February 26-28, 1996.
- Broer, S., Welkowitz, J., & Fox, W. *Developing an Interagency Consultation Model to Meet the Needs of Children, Families & Service Providers: The Addison County Community Collaboration Project*. Presented at the Virginia Beach Conference: Children and Adolescents with Emotional and Behavioral Disorders, Virginia Beach, September 28-October 3, 1995.
- Hamilton, R., & Welkowitz, J. *Best Practices for Educating Students with Serious Emotional Disturbance in the Regular Classroom*. Presented at the ASCD 1995 Annual Conference, San Francisco, CA, March 25 - 28, 1995.
- Hamilton, R. & Welkowitz, J. *Best Practices for Educating Students With Serious Emotional Disturbance in Their Regular Education Classroom*. Presented at the Third Annual Wraparound Family Reunion, Burlington, Vermont, Sept. 17, 1994.
- Hamilton, R. & Welkowitz, J. *Best Practices for Educating Students With Serious Emotional Disturbance in Their Regular Education Classroom*. Presented at the ASCD 1994 Annual Conference, Chicago, March 20, 1994.

Fox, W., & Welkowitz, J. *The Addison County Community Collaboration Project: Reducing Out-of-Community Residential Placements By Improving Services to Children With Severe Emotional Disturbance and Their Families*. Presented at the 3rd Annual Virginia Beach Conference sponsored by the Commonwealth Institute for Child and Family Studies: Children and Adolescents with Emotional or Behavioral Disorders, Virginia Beach, VA, October 2-6, 1993.

Hamilton, R., Welkowitz, J., Topper, K. & Inatsuka, L. *Perceptions of Parents, Educators, and Students Regarding the Inclusion of Students With Serious Emotional Disturbance in Regular Classrooms*. Presented at the Sixth Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, March 1-3, 1993.

Fondacaro, K. & Welkowitz, J. *Treatment for Victims of Sexual Abuse*. Presented at the 1990 Conference Series of the Community Child Protection Network: Treatment For Our Abused Children, Burlington, VT, April 6, 1990.

#### **POSTER SESSIONS**

Kay, P. & Welkowitz, J. *Achieving, Behaving, Caring Partnerships*. Presented at the 2001 OSEP Research Project Directors' Conference, Washington D.C., July 12, 2001.

Welkowitz, J., Broer, S., Thomas, C., Hamilton, R. *Examining Preliminary Findings of a Mentor/Advisor Program*. Presented at the 13th Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, March 5-8, 2000.

Fox, W. & Welkowitz, J. *Promoting Resiliency Among High School Students*. Presented at the 1998 OSEP Research Project Directors' Conference, Washington D.C., July 16, 1998.

Fox, W. & Welkowitz, J. *A Mentor/Advisor Model for High School Students At-Risk of Emotional and Behavioral Disorders*. Presented at the 1997 OSEP Research Project Directors' Conference, Washington D.C., July 17, 1997.

Welkowitz, J. & Burchard, J. *The Role of Cultural Alienation and Ethnic Identification in the Relationship Between Abenaki Indians and the Human Service Delivery System*. Accepted for the Fourth Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, February 18-20, 1991.

Burchard, J., Clarke, R., Fox, W., Hamilton, R. & Welkowitz, J. *Project*

*Wraparound: Serving SED Children in the Mainstream.* Presented at the National Conference on Clinical Training In Psychology: Improving Psychological Services for Children and Adolescents With Severe Mental Disorders, Washington, D.C., May 18-20, 1988.

Gross, M., Tariot, P., Sunderland, T., Welkowitz, J., Cohen, R. & Murphy, D. *Low and High Dose Naloxone in Older Normals.* Presented at the 139th Annual Meeting of the American Psychiatric Association, Washington, D.C., May 13, 1986.

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**EDUCATION:**

Boston University School of Social Work, Master of Social Work, May 1985  
Concentration: *Management, Planning, and Community Organization* with a focus on mental health administration.

University of Vermont, B.S., Social Work, May 1982.

**PROFESSIONAL POSITIONS:**

**Higher Education Administrator / Site Development and Marketing Coordinator -**

Graduate Program in Community Mental Health, Trinity College of Vermont, February 1996 – May 2001; and Southern New Hampshire University, May 2001 - Present.

Responsible for a wide variety of academic administration which has included the following: budget development and management; enrollment management and projections; management of scholarship and grant funding; strategic management of site development and marketing of national graduate program; establishing support and endorsement from state and local agencies and organizations for education of the behavioral health services workforce through the graduate program; overseeing and implementing marketing and recruitment of students; facilitating communication and approval from state level higher education approval bodies; coordinating advising and accommodation services for enrolled students; coordinating with other administrative offices within the college to facilitate program operations and student services; contribute to joint operations and program development, including licensure issues, curriculum development and restructuring, and policy and procedure development.

**Assistant Professor** – Southern New Hampshire University, Graduate Program in Community Mental Health, May 2001 – Present.

Provide instruction in the graduate program in multiple learning sites on and off campus for courses, including the following:

*Orientation and Immersion*

*PCMH 600: Overview of Behavioral Health Services*

*PCMH 610: Helping Relationships*

*PCMH 685: Social and Cultural Foundations*

*PCMH 690: Master's Project*

**Clinical Professor** - Trinity College of Vermont, Graduate Program in Community Mental Health, October 1999 – May 2001.

SUSAN A. MASLACK

Lecturer - Trinity College of Vermont, Graduate Program in Community Mental Health, March 1995 – May 2001.

Appointed as an adjunct member of the graduate program faculty to develop curriculum and provide instruction to graduate students in *PCMH 500: Initial Orientation, Assessment and Immersion*, March 1995, April 1995, December 1995, January 1997, May 1997, September 1997, December 1997, September 1998, March 1999 and May 2000; to provide instruction for graduate students in *PCMH 690: Final Project*, Spring / Summer 1997, and Summer / Fall 1999; to provide graduate course development for *PCMH 650 / 662: Internship I and II*, August 1995.

Academic Advisor - Trinity College of Vermont, Graduate Program in Community Mental Health, March 1995 – May 2001; and Southern New Hampshire University, May 2001 - present.

Provide information to students on the graduate program and University policies and procedures; provide ongoing support to develop individual professional development and educational plans as they relate to the graduate program; provide ongoing support for personal issues that may arise that have direct bearing on students' abilities to participate in the graduate program; monitor student grades and success in meeting educational goals and program requirements; coordinate with faculty, program administrators, the registrar, student services, student accounts, financial aid and the Dean of Students Office, as needed.

Project Coordinator - Vermont Title IV-E Child Welfare Training Project, University of Vermont Department of Social Work. August 1993 - March 1995.

Full-time faculty member and coordinator of a state-wide collaborative partnership between the state child welfare agency (Vermont Department of Social and Rehabilitation Services) and an educational program (the UVM M.S.W. Program), designed to provide higher education opportunities for state employees and other students committed to working in child welfare services. Responsibilities included: development and management of the overall project workplan; facilitating meetings between the two institutions to foster the development and maintenance of the project goals and implementation; development and maintenance of the necessary working agreements and contracts for the program's structure; drafting and negotiating the contract between the State and the university; liaison with the federal Department of Health and Human Services Children's Bureau, national associations and other university Title IV-E programs; providing support for faculty curriculum development; project evaluation; coordinating student selection, contracts, and related trainee activities; developing and maintaining the training project budget; field liaison to first year students in the project; membership on faculty committees and support of overall Department functioning; academic advising of 20 students; teaching.

Lecturer – (Graduate Course Instruction) *Mental Health Practice*, University of Vermont, Department of Social Work, Burlington, Vermont, January 1992 -1995.

Graduate level education on the subject of social work practice in mental health service delivery for families of children with severe emotional disturbance and adults with psychiatric disabilities. Developed curriculum and provided instruction for four years, coordinating with other faculty in the advanced practice health/ mental health sequence.

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**Mental Health Consultant** - Center for Community Change through Housing and Support, Trinity College of Vermont Institute for Program Development, January 1993 - August 1993.

Responsible for providing on-site, telephone, and written technical assistance and training to national, state, provincial and local mental health organizations throughout North America to help them research, plan and implement changes within their service systems to achieve more positive outcomes for people with psychiatric disabilities. Developed written materials for dissemination to the field about best service practices; marketing the Center's work through telephone contacts, written documents/proposals, and oral presentation. Managed overall workplans and budgets of specific grants/contracts, and contributed to overall Center management through joint planning and decision-making activities.

**Technical Assistance Training Specialist** - Center for Community Change through Housing and Support, University of Vermont Department of Psychology, May 1990 - December 1992.

Responsible for the development and implementation of a comprehensive training agenda for the Center for Community Change through Housing and Support to national, state, and local mental health organizations, on the subject of housing and community support systems for persons with severe psychiatric disabilities. Coordination of the planning of The Ninth National CSP Learning Community Conference on housing and support services for persons with psychiatric disability, Washington, D.C., May 1991, sponsored by the National Institute of Mental Health. This was a large and successful event, involving 640 participants and 120 speakers. Coordinating, planning, and marketing of regional conferences and institutes on housing and support services. Developing contracts to provide training in locations throughout the United States and Canada.

**Conference Coordinator** - University of Vermont Department of Psychiatry, Depression: Awareness, Recognition, and Treatment (D/ART) Program, March - May 1990.

Responsible for the coordination of a local program to train primary care and mental health providers in the diagnosis and treatment of depression.

**Consultant/Conference Coordinator** - Vermont State Department of Education, February - May 1990.

Responsible for the coordination and on-site management of "Moving Beyond the Hurdles: A Focus on Strengthening Our Work with Socially and Emotionally Challenged Children," a one day state conference addressing the needs and issues of families and children 0 - 5 years of age with or at risk of developing emotional disturbance.

**Consultant/Grant Writing** - Vermont Department of Mental Health, February - March 1990.

Assisted in the writing and editing of grant renewal application for the Vermont Respite Care Demonstration Project. Grant was awarded.

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**Consultant/Conference Coordinator** - Vermont Department of Mental Health. "Vermont Symposium on Integrated Assessment of Children and Adolescents With Severe Emotional Disturbance," a four part conference series, April 1988 - April 1989.

Activities included: securing and coordinating funding, conference presenters, facility, and scheduling publicizing conference; organizing conference registration; coordinating conference evaluation process; and organizing support for publishing the proceedings. As part of this project, I wrote and was awarded a grant from a private foundation for funding to print and distribute the proceedings of the symposium (project completed by Department of Mental Health staff).

**Consultant/Grant Writing**, Vermont Department of Mental Health. Grant Application for the Vermont Respite Care Demonstration Project, April 1988.

Activities included: a review of relevant literature, assistance in writing specific sections of grant application, assistance in editing the final grant application. Grant was awarded.

**Consultant/Training Coordinator** - Vermont Department of Mental Health. Planned, organized, and coordinated a one-day training, "Non-Traditional Approaches to Therapy With Families," to improve services to families with severely emotionally disturbed children/youth and with patterns of abusive behavior. March - May 1988.

Activities included: planning training, securing speakers, creating agenda, securing facility, publicizing training, organizing and compiling evaluation, and planning and publicizing availability of follow-up training funds.

**Member, Evaluation Team**, Evaluation of Intensive Family-Based Services Provided to Vermont Families. Research conducted by Karen M. Fondacaro, Ph.D. and Theodore A. Tighe, M.Ed., Department of Psychology, University of Vermont, February 1988 - January 1989.

**Family Work Supervisor** - The Baird Center for Children and Families, Burlington, Vermont, January 1987 - January 1988.

Provided for the direct supervision of Family Workers and Family Work Interns (undergraduate students from the University of Vermont and Trinity College Social Work Programs) for both a short term and a long term home-based service to families with severely emotionally disturbed children. Assisted with development of intensive family-based service, including developing clinical and administrative procedures, hiring staff, and supervision.

**Family Worker**--The Baird Center for Children and Families, Burlington, Vermont. September 1986 - January 1988.

Provided casework, support, and parenting skills training to parents of emotionally disturbed children in a home-based service. Worked with parents and children to improve parent-child

SUSAN A. MASLACK

relationships, child development, and behavior management. Helped to organize a parent support group in Chittenden County.

**Social Worker** - The Baird Center for Children and Families, Burlington, Vermont, September 1985 - August 1986.

Provided casework services to children with severe emotional disturbance and their families in a specialized therapeutic fostercare program. Supervised the professional foster parents. Provided individual therapeutic supports to children, and for some their natural families.

**Mental Health Administration Intern** - Community Counseling Center, Pawtucket, Rhode Island, September 1984 - May 1985.

Reported directly to the executive director (Steve White, Ph.D.) of a local community mental health center as a management intern and member of the management team. Coordinated preparation and survey for agency accreditation by JCAH, which was successfully awarded. Supervised the writing and compiling of a five year plan for the agency. Compiled all agency and department policies and procedures. Participated in agency budget proposals and grant writing. Organized a Hispanic Advisory Council to the Board of Directors to foster more culturally informed agency services. Participated in development of quality assurance, utilization review, credentialing, privileging and staff development planning.

**Assistant Residential Manager** - Howard Mental Health Services, Burlington, Vermont, April 1983 - July 1984.

Participated in the management of a seven bed group home for adults with severe psychiatric disabilities. Provided case management for three clients. Provided support and taught daily living and social skills.

**Residential Manager** - Rutland Mental Health Services, Rutland, Vermont, November 1982 April 1983.

Participated in the structural and program development of a supervised apartment program for adults with psychiatric disabilities transitioning from institutional to community living. Lived in and managed two three-bed apartments, providing direct and indirect mental health services.

**Social Worker Intern** - Medical Center Hospital of Vermont, Psychiatric Unit, Burlington, Vermont, September 1981 - December 1981.

Counseled and coordinated therapy for an average caseload of eight adults with psychiatric disabilities. Assessed and counseled families of clients. Observed and co-lead group work in art therapy, crafts, and women's issues.

**Assistant to the Coordinator** - Vermont Conference on the Primary Prevention of Psychopathology (VCPPT), Burlington, Vermont, May - August 1980.

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Academic Fellow - University of Vermont, Social Work Program, Burlington, Vermont, 1980  
1981 and Freshman Orientation 1980.

- Advised and counseled freshmen and transfer students in the Social Work Program regarding academic scheduling, campus resources, campus living, and personal development.

### **CURRICULUM DEVELOPMENT AND INSTRUCTION:**

*PCMH 600: Overview of Behavioral Health Services*, Assistant Professor, Southern New Hampshire University, Graduate Program in Community Mental Health, Summer 2008.

This course provides an overview of emerging policy and practice in behavioral health care for children, youth and families and adults with mental health and substance abuse concerns. This includes the historical context in which service systems organize, finance and deliver care; the current principles and approaches to comprehensive treatment and support; community-building, advocacy, and systems change; and current concepts of recovery, resiliency, community support and integrated services. Topics are addressed from multiple perspectives, with a strong emphasis on the perspective and experience of service recipients and their families; as well as service providers, policy makers and the community at large.

*PCMH 685: Social and Cultural Foundations*, Assistant Professor, Southern New Hampshire University, Graduate Program in Community Mental Health, Spring 2007, Summer 2008.

Instruction of a graduate level course which focuses on multiculturalism and culturally relevant services and which seeks to enhance the knowledge and skills of the behavioral health workforce serving diverse communities. The course focuses on the health disparities and social determinants of health and behavioral health, which contribute to disease or wellness. Students gain an understanding of the theory and practice considerations relevant to diversity issues of race, ethnicity, culture, gender, age, disability, sexual orientation, and religious preferences, and learn about important aspects of multicultural counseling.

*PCMH 610: Helping Relationships*, Adjunct Instructor, Southern New Hampshire University, Graduate Program in Community Mental Health, Fall 2003 and Fall 2004.

Instruction for a course in the graduate program focused on gaining an understanding of the clinical process, the fundamentals of therapeutic relationships, communication and interviewing skills, change theory, and introduction to counseling theories and techniques as it relates to working with children, youth or adults with psychiatric disabilities and substance abuse issues. Students examine values, characteristics of effective helpers, cultural context, personal bias and power, natural supports, community settings, and collaborative teams.

*PCMH 690: Final Project*, Lecturer, Trinity College of Vermont, Graduate Program in Community Mental Health, Spring / Summer 1997, and Summer / Fall 1999, Fall / Winter 2000 - 2001. Also, Southern New Hampshire University, Spring / Fall 2002, Summer / Fall 2005, Fall / Spring 2007- 08, and several Independent Study Students.

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Provide seminar instruction and support to individual students to research and write a major paper focused on topics relevant to contemporary issues in the field of mental health which can include a literature review in an emerging area of clinical practice; planning and analysis of a system change strategy; program design, development or evaluation; or a grant proposal. Students are expected to integrate and synthesize the relevant literature, concepts and theories from previous course work in the program.

*PCMH 650/ 662: Internship I and II*, Course Development, Trinity College of Vermont, Graduate Program in Community Mental Health, August 1995; and Collaboration on revision of same courses under Southern New Hampshire University, June 2006 and September 2009.

Development of curriculum, manual and materials required for student participation, faculty instruction, and agency support for two 250 hour internships at the graduate practice level in community mental health services. Developed guidelines and policies for student performance and participation. PCMH faculty provide individual and group support for students to develop appropriate and individualized learning agreements for internship experiences and serve as liaison to the internship site.

*PCMH 500: Initial Orientation, Assessment and Immersion*, Lecturer Trinity College of Vermont, Graduate Program in Community Mental Health, March 11/ 12, 1995, March 18/19, 1995, March 25/26, 1995, April 1995, December 1995, January 1997, May 1997, September 1997, December 1997, September 1998 and March 1999, and May 2000. Southern New Hampshire University, Since May 2001, approximately 3 – 4 sessions annually. No longer taken for credit, but a requirement of the Graduate Program in Community Mental Health.

Students receive an orientation to the program, including an overview of the pedagogical philosophy and content of the program, as well as program policies and procedures. Students create an individual professional development plan, outlining their learning and career goals.

*Advanced Social Work Practice in Mental Health*, Lecturer, University of Vermont, Department of Social Work, Graduate Level, Spring 1992, and Spring 1993, Spring 1994, Spring 1995.

Required course for M.S.W. candidates in the Health/ Mental Health concentration. The course was designed to provide students with a working knowledge of illness, treatment, and recovery from severe emotional disturbance in children and psychiatric disabilities in adults. Focusing on community based mental health services, the course covered an ecological systems approach and advanced methods of social work practice in areas of family preservation, case management, mental health treatment, building natural supports, rehabilitation, and crisis intervention. The course also provided knowledge and linkages to mental health service system administration, policy and research.

*Connecticut Department of Mental Health Staff Retraining Project: Training of Trainers*, Curriculum Development and Instruction, with Laurie Curtis, M.Ed., Center for Community Change Through Housing and Support, Trinity College of Vermont, June 1993.

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(Biss)

Intensive five day training of trainers to facilitate a comprehensive system change initiative to shift inpatient care staff to roles in community support services in local communities in the State of Connecticut. Major topics covered included values and principles for service delivery in a comprehensive community based mental health service system, recovery and rehabilitation theories, the relationship between hospital and community based services, national trends in community support, practice models for community rehabilitation and support, crisis intervention strategies, team building within service components, and developing regional training strategies.

**PUBLICATIONS:**

Biss, S.M. and Curtis, L. (1994). Crisis service systems: Beyond the emergency room. The Bulletin. Birmingham, England: International Mental Health Network.

Biss, S.M. and Curtis, L. (1993, May). Crisis service systems: Beyond the emergency room. InCommunity, 3,1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 1-4.

Biss, S.M. (1993, May). In practice. In Community, 3, 1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 3-6.

Biss, S.M. (1993, May). In person. In Community, 3-, 1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 3-5.

Biss, S.M. (1993, May). In research. In Community, 3,1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 6-7.

Editor (1992, July, 1992; October; 1993, February; 1993, May). In Community. A nationally distributed publication of the Center for Community Change Through Housing and Support on innovations in housing and support for people with psychiatric disabilities.

Biss, S.M. (Ed.) (1992). Housing and Supports: Collaboration in the 90's -- Proceedings of the Ninth National CSP Learning Community Conference (May 1991). (Monograph Series on Housing and Rehabilitation in Mental Health). Burlington, Vermont: University of Vermont, Center for Community Change through Housing and Support.

**PROFESSIONAL AND COMMUNITY MEMBERSHIPS:**

Member, New Hampshire Committee to Address Culture and Disparities in Health and Mental Health, under the NH Health & Equity Partnership.

Member, Maine State Co-occurring Health Integration Task Force

Member, Vermont Department of Health Office of Alcohol and Other Drug Abuse Program Committee on Workforce Development

## SUSAN A. MASLACK

Member, Vermont Association of Mental Health.

Member, American Association of University Women

Chair, Vermont Family Empowerment and Resource Network, 1987 - 1988.

Student Representative, Community Organization, Management and Planning Sequence Faculty, Boston University School of Social Work, 1984 - 1985.

Student Representative, Social Work Faculty, University of Vermont, 1981 - 1982.

Executive Member, Student Social Work Organization, University of Vermont, 1981 - 1982.

### **ADDITIONAL TRAINING:**

Budgeting for Non-Profit Organizations Seminar, University of Vermont Continuing Education Management Series, March 1984.

Family Education Group Training Workshop, Vermont Department of Mental Health, February 1984.

### **CONFERENCES AND WORKSHOP PARTICIPATION:**

Workforce Development: Participated as a program administrator for the Graduate Program in Community Mental Health on committees and at symposiums pertaining to workforce development in the areas of mental health and substance abuse, including the following:

2011 Unconvention, October 24 – 25, 2011, Asilomar, Pacific Grove, CA, with focused attention on Cultural Diversity and Complexity in Co-occurring Mental Health and Substance Abuse Services, Trauma-Informed Care, Integration Efforts in Australia and Canada, Supporting Family Members, and Integration of Primary Health Care and Behavioral Health.

2010 Summit of the Milwaukee Mental Health Task Force on Mental Health: Race, Culture, and Ethnicity.

Maine COSII Workforce Development Committee, August 2009 to 2011.

Vermont Substance Abuse Workforce Development and Higher Education Committee, Ongoing.

Vermont Behavioral Health Workforce Summit, Burlington, Vermont, June 13, 2008.

New England Workforce Development Summit, Tewksbury, Massachusetts, November 15, 2006.

Wisconsin Statewide Comprehensive Community Support Training Committee, January – October 2006.

Alaska's Behavioral Health Workforce Summit, Anchorage, Alaska, September 28 & 29, 2006.

Building Partnerships in Rural Mental Health Workforce Development, Mesa, Arizona, March 4 & 5, 2005.

Other Conference Participation: Ms. Maslack has spent a large portion of her career, particularly in her role as educator and administrator of the Graduate Program in Community Mental Health, both under Trinity College of Vermont and Southern New Hampshire University, attending and participating in conferences which focus on the concerns of mental health for children, youth and families, child welfare, mental health for adults, substance abuse and addictions, brain development, prevention services, and other topics related to mental health and substance abuse issues for people of all ages. In her role as Site Development Coordinator, Ms. Maslack has attended events, as frequently as every other week at times and on average once a month, in order to promote the graduate program and to provide for continuous learning, networking, and the gathering of information on current knowledge in the field and to provide relevant input into the curriculum. These activities are too numerous to list and are often attended annually. Some examples from recent years are highlighted below.

2011 New Hampshire Mental Health Symposium: WRAP Training with Mary Ellen Copeland.

2011 Maine Co-occurring Disorders Institute: Complexities of Trauma

2008 Annual Conference of the National Association for Rural Mental Health

2007 New Hampshire Mental Health Symposium: Stages of Change Interventions for Individuals and Populations. (A full day training with Dr. James Prochaska, April 2007)

New England Organization of Human Services Education Annual Conference: Promoting Nonviolence in our Homes, Schools, and Communities (April 2007)

Wisconsin Annual Rehabilitation Conference

Wisconsin Annual Mental Health and Substance Abuse Conference

Integrated Model for Treatment of Individuals With Co-occurring Psychiatric and Substance Disorders (Ken Minkoff; Several training events in Vermont, Wisconsin and Alaska)

Northern New England Conference on Child Maltreatment

Alaska Annual Full Lives Conference for Direct Support Staff

Wisconsin Annual Crisis Intervention Conference

Vermont Annual Substance Abuse Conference

**SUSAN A. MASLACK**

Vermont Annual Mental Health Association Conference

Wisconsin Annual Community Support Program Conference

Wisconsin Association of Alcohol and Other Drug Abuse Counselors Annual Conference

Wisconsin Annual Children Come First Conference

Vermont Touchpoints Institute and CUPS Learning Series Spring Conference: Recognizing and Addressing Depression in Families With Young Children (March 2004)

NAMI Wisconsin's 25<sup>th</sup> Anniversary Conference and Celebration

Wisconsin Statewide Substance Abuse Information Meeting

Wisconsin Rehabilitation and Transition Training Conference

Wisconsin Statewide Prevention Conference

Networking Neurons: Making Connections. Wisconsin Brain Team conference on current research in brain development and practices relating to children and their families. (June 2003)

Changing the Conversation on Addiction and Recovery: Implementing the National Treatment Plan in Wisconsin (October 2003)

National Mental Health Symposium to Address Discrimination and Stigma (March 2001)

**HONORS AND AWARDS:**

The Margaret B. Whittlesey Award, Outstanding Senior in Social Work, Excellence in Scholarship and Service, University of Vermont, 1982.

## Laura Clemmons

2122 Greenbush Road  
Charlotte, VT 05445

(802) 425-5340  
E-mail: Laura.Clemmons@uvm.edu

### SUMMARY OF QUALIFICATIONS

- Committed and dedicated consultant, public speaker, and community support liaison, focused on facilitating multicultural systems.
- Proven experience and in-depth knowledge of the best practices utilized in creating culturally sensitive environments.
- Excellent community collaboration skills with a solid leadership background.
- Strong analysis and program development capabilities with effective communication, organizational, and problem solving capabilities.
- Committed to incorporating a social justice perspective with a strong and inclusive community perspective.

### EDUCATION

UNIVERSITY OF VERMONT, Burlington, VT Doctor of Education, Higher Education, Leadership and Policy Program	September 2002-March 2008
TRINITY COLLEGE, Burlington, VT Master of Science, Community Mental Health	December 1995-May 1998
LESLEY COLLEGE, Cambridge, MA Bachelor of Science, Human Services and Early Intervention <i>Minor: Psychology</i>	January 1984-December 1986
UNIVERSITY OF THE PACIFIC, Stockton, CA Undergraduate and Graduate courses in Special Education	September 1981-December 1983

### PROFESSIONAL EXPERIENCE

SHADES OF EBONY PROGRAM, Burlington, VT <i>Founder &amp; Program Co Director</i>	2000-present
<ul style="list-style-type: none"><li>• Direct daily operations of support program for students of color and their families, predominantly in the Burlington area, focusing on academic, community, and family issues.</li><li>• Consult and educate school administrators and staff on social and cultural concerns affecting this population.</li><li>• Serve as a liaison between communities and schools to encourage parent involvement in school activities.</li><li>• Research funding possibilities and successfully write and administer a number of grants.</li><li>• Supervise tutorial and administrative support staff</li><li>• Program development within Shades program as well as collaborative programming with community agencies.</li></ul>	
Disability Services, ACCESS UNIVERSITY OF VERMONT, Burlington, VT <i>Learning Specialist</i>	2006-present
<ul style="list-style-type: none"><li>• Supporting academic guidance and learning for approximately 170 students eligible for ADA accommodations, concentration focused on working with students with psychiatric disabilities.</li><li>• Determine individually designed student accommodations and services by reviewing pertinent documentation, student and parent input and current course load; monitor and modify accommodation plan as needed.</li><li>• Provides information and consultation to prospective students, screening services and to at-risk students seeking supportive services.</li></ul>	

- Provide information and consultation to faculty and other university and community staff involved with the academic career and socio emotional well-being of the student.
- Provide and maintain effective and timely communication with members of the University community involved in provision of accommodations, while providing updated information and (community) referral resources to students with disabilities.
- Liaison for two (university) colleges as well as campus support offices (ALANA, Women's Center, Counseling Center).
- Maintain clear, concise, and up to date case records in office data base system.
- Demonstrate commitment to diversity, social justice and fostering collaborative multicultural environment with participation in search committees, workgroups and program development.

**MULTICULTURAL CONSULTANT, Charlotte, VT**

2004-present

- Provide multicultural curriculum and training for human service providers, educators and public health officials, with a emphasis on social justice as well and how to integrate into ethnically and culturally diverse communities.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY, Manchester, VT**

2004-present

*Adjunct Professor*

- Instructor for Social and Cultural Foundations pre licensure course in the Community of Mental Health Program.
- Responsible for development of syllabus and selection of course literature

**BAIRD CENTER FOR CHILDREN AND FAMILIES, Burlington, VT**

2001-2004

*Multicultural Consultant/Outpatient Clinician, Burlington High School (2002-2004)*

- Provide consultation, program evaluations, and implementation of academic programs, primarily for students of color.
- Develop recommendations for administration and support staff on the cultural needs of the diverse student population in high school, and areas of need to be addressed by teaching staff.
- Work within the community to encourage more parents of color to become involved in school activities.
- Collaborate with grassroots community organizations and community leaders to create a more responsive and inviting school environment.
- Support students and parents on home, school, and community issues.

*Multicultural Coordinator, Baird Center for Children & Families/Kidsafe Community Network (2001-2002)*

- Delivered services to nine schools within the Burlington School District, including assessment of the needs of minority and refugee students/families and interaction with communities to address these needs.
- Provided in-home counseling and support to minority and refugee families, and designed/implemented school-based support groups focused on multicultural issues.
- Collaborated with grassroots community organizations, families, and social service organizations to assist in evaluating the needs of diverse communities and implemented programs and policies.
- Designed and implemented training for a broad range of Baird staff on multicultural issues, including the assessment of the needs of culturally diverse families, communities, and neighborhoods.
- Taught and reinforced methods to approach families regarding mental health and racial awareness, and assisted in the development of culturally sensitive policies for a diverse population.
- Consulted with Kidsafe Community Network agencies to assess needs and provide recommendations to increase staffing and board members of color, improve agency operations, and develop more culturally sensitive programs.

**BURLINGTON SCHOOL DISTRICT, Burlington, VT**

**2000-2001**

*Interim Diversity Equity Coordinator*

- Assessed the needs of minority and refugee students in six elementary schools, as well as their families and community.
- Worked in conjunction with school administration, the district office, and community groups to develop policies and programs to serve the targeted population, and to provide multicultural education.
- Developed and implemented diversity support groups in all six schools.
  - Organized support groups to address the needs of the African American population.
  - Collaborated with community agencies related to programs serving socioeconomically disadvantaged children and families as well as refugee and minority families.
  - Supported individual schools in their efforts to decrease challenging school-wide behaviors and to increase school spirit, community support and involvement.

**H.O. WHEELER ELEMENTARY SCHOOL, Burlington, VT**

**1999-2000**

*Behavioral Interventionist, Grades K-5*

- Provided supportive mental health services, crisis support, and behavioral incentives to a highly diverse population of 220 student, in addition to supervising the in-school suspension room.
- Worked with the principal, guidance, and special education staff with policy development in areas of mental/public health and social issues affecting students and families in a highly impoverished area.
- Collaborated with school administration, outside agencies, and communities on assessing the needs of a diverse population and on the creation of school-wide discipline policies and procedures.
- Provided in-home support to over 60 families and created/facilitated groups focused on social, friendship, anger management, and coping skills.
- Served as acting principal as needed. Responded to parent, student, teacher, and classroom management issues.



**STATE OF NEW HAMPSHIRE  
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
OFFICE OF MINORITY HEALTH AND REFUGEE AFFAIRS**

Nicholas A. Toumpas  
Commissioner

Trinidad L. Tellez, M.D.  
Director

97 Pleasant Street, Thayer Building, Concord, NH 03301-6504  
603-271-3986 Fax: 603-271- 0824 TDD Access: 1-800-735-2964

May 7, 2012

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

**REQUESTED ACTION**

Authorize the Department of Health and Human Services, Office of Minority Health and Refugee Affairs to enter into a contract with Southern New Hampshire University, (VC # 177206, B005) 2500 North River Road, Manchester, NH 03106, to provide Capacity Building as part of the Health Profession Opportunity Project, in an amount not to exceed \$33,086.00 effective May 23, 2012 or date of Governor and Council approval, whichever is later, through September 29, 2012. Funds are available in State Fiscal Years 2012 and 2013 in the following account with authority to adjust amounts if needed and justified between State Fiscal Years:

05-95-95-950010-5993 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SERVICES,  
HHS: COMMISSIONER, OFFICE OF THE COMMISSIONER, HEALTH PROF OPPORTUNITIES

SFY	Appropriation	Class/Object	Class Title	Amount
2012	010-095-59930000	102-500731	Contracts for Program Services	\$9,469.00
2013	010-095-59930000	102-500731	Contracts for Program Services	\$23,617.00

Total \$33,086.00

**EXPLANATION**

The purpose of this Request is to provide a Capacity Building initiative to build structural capacity within a healthcare educational program to recruit, retain and advance minority students and employees. This initiative is one component of a larger Health Profession Opportunity Project to serve New Hampshire Temporary Assistance to Needy Families or Supplemental Assistance Nutrition Program recipients, youth aging out of state care, veterans and their families, ethnic, linguistic and racial minorities and other low-income adults to train for and secure employment in healthcare. The vendor will work in partnership with the Office of Minority Health and Refugee Affairs, the federal Administration for Children and Families, and external organizations. The major objective of this Capacity Building initiative and this contract is to support Southern New Hampshire University's Program in Community Mental Health to assess its recruitment and student retention policies and practices, its curricula and teaching models and its community partner networks, to make changes consistent with known best practices and to increase access to its program for Temporary Assistance to Needy Families recipients and other low income individuals, including racial, ethnic and linguistic minorities. The Health Profession Opportunity Project was approved by Governor and Council on April 13, 2011, item #74 and was subsequently amended and approved by Governor and Council on September 28, 2011, item # 103.

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and the Honorable Executive Council  
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New Hampshire Health Profession Opportunity Project objectives will serve as the basis for Capacity Building efforts, in that capacity building is intended to develop systems that can be sustained long term to support Health Profession Opportunity Project goals and objectives. The vendor will partner with the Office of Minority Health and Refugee Affairs to achieve these objectives by assessing and then adapting its policies and practices to achieve the goal of greater inclusion for Temporary Assistance to Needy Families recipients and other low income individuals including racial, ethnic and linguistic minorities. ~~The Southern New Hampshire University Program in Community Mental Health will work collaboratively to increase access to graduate education for previously disadvantaged individuals and will report directly to the Health Profession Opportunity Project Director.~~ The vendor has demonstrated that it has the requisite organizational and workforce development experience and has the capacity to be flexible and responsive to requests for change in approach, strategy or priorities as the Project evolves. The vendor is experienced in working with individuals who experience barriers to higher education such as persons with mental illness and their families. The vendor knows and is well known to required partners and others in the state and understands the unique challenges and barriers faced by vulnerable and minority populations.

Approval for this contract is necessary to meet the funding requirements from the Administration for Children and Families and to ensure infrastructure development for enhanced access to higher education and to inform the Health Profession Opportunity Project of key strategies to increase access to healthcare education and training broadly for Temporary Assistance to Needy Families recipients and other low-income populations.

The Administration for Children and Families approved this contract prior to submission to Governor and Council, and determined that the contract meets federal requirements for Capacity Building for the New Hampshire Health Profession Opportunity Project over the contract period.

The Office of Minority Health and Refugee Affairs has partnered with the Division of Family Assistance who are responsible for administering the Temporary Assistance to Needy Families program; the Department of Resources and Economic Development, Office of Workforce Opportunity, State Workforce Investment Board; and the Department of Labor, State Apprenticeship Agency, in the project's design and implementation.

Should Governor and Executive Council determine to not authorize this Request, the project will not be able to comply with guidelines set by the federal Administration for Children and Families and the opportunity to fulfill this requirement of this federally funded demonstration project will be lost. The Administration for Children and Families has framed this as a national initiative to find best practices that can be replicated to address issues of unemployment and an under-skilled healthcare workforce. The Administration for Children and Families has dedicated extensive resources to these projects, and it is expected that the larger Health Profession Opportunity Project will be continuously informed and improved upon by an ongoing capacity to create pathways for training and employment for low-income individuals.

This contract was competitively bid. The Request for Proposals was posted on the Department of Health and Human Services website beginning February 23, 2012, and advertised in the New Hampshire Union Leader for three days: February 23, 24, 26, 2012. Six vendors submitted ten separate proposals addressing the following four project areas.

Project Area 1- Build structural capacity within healthcare educational or employer environments/business settings to recruit, retain, and advance minority students and employees;

Project Area 2- Increase stable healthcare employment opportunities for Health Profession Opportunity Project Case Management & Training Program graduates through sector based economic development;

Project Area 3- Identify, build and coordinate infrastructure to support youth 'aging out' of foster care to achieve post-secondary healthcare education and training; and

Project Area 4- Support the overall capacity building initiative by providing supplementary technical assistance to other grantees and compiling common lessons learned during the brief project period.

On the evaluation team were two Office of Minority Health and Refugee Affairs staff and one employee from each of the following: Department of Health and Human Services; Department of Resources and Economic Development; Cheshire Medical Center; and New Hampshire College and University Council. Cheshire Medical Center participated because it is well experienced in health care system management and workforce development. New Hampshire College and University Council participated due to its perspective and expertise in diversity and healthcare education. All reviewers are knowledgeable about health care, education, workforce development and/or minority and underserved population concerns throughout the State.

Each proposal was evaluated on its own merits. Following the scoring of proposals as outlined in the Request for Proposals, contracts have been successfully negotiated with five of the bidders for implementation of seven proposals: two addressing project areas 1, 2 and 3 and one addressing project area 4. Please note that even though the Southern New Hampshire Area Health Education Center Project Area 1 proposal scored highly, the vendor was unable to fulfill an essential requirement of the Request for Proposals during the contract preparation phase. Additionally, the Lewin Group Project Area 2 proposal requested budget was too high to be funded. A bid summary is attached.

<b>Contractor</b>	<b>Area(s)</b>	<b>Contract Amount</b>
Fedcap	Areas 3	\$215,195.00
Lutheran Community Services	Areas 2 and 3	\$83,036.00
OnSite/OffSite	Area 2	\$44,495.00
Southern New Hampshire University	Area 1	\$33,036.00
Lewin Group	Areas 1 and 4	\$239,483.00
<b>Total</b>		<b>\$615,245.00</b>

Performance for this contract will be monitored quarterly based upon the following:

1. Work collaboratively and communicate effectively with the Office of Minority Health and Refugee Affairs and other key stakeholders.
2. Follow work plan, maintain timelines and notify the Office of Minority Health and Refugee Affairs of any changes in work plan or timeline
3. Submit monthly invoices/expenditure reports in a timely manner and with supporting details.
4. Submit other project reports and updates as requested.
5. Participate in a monitoring and evaluation process led by the Office of Minority Health and Refugee Affairs cooperative agreement with the Administration for Children and Families and facilitated by a hired external evaluator.
6. Remain flexible with evaluation criteria to be designated by the Office of Minority Health and Refugee Affairs and the Administration for Children and Families and prepare to incorporate several types of evaluations into regular reporting including an anchor evaluation, a performance management evaluation, and a more in-depth federal evaluation to include uniform data sets and standardized measures across different projects funded by the Administration for Children and Families nationally.
7. Participate as requested in the Employer Research Initiative for Health Profession Opportunity Project, an Administration for Children and Families funded partner project led by Brandeis University's Institute on Assets and Social Policy (IASP).
8. Responsiveness to assurance and certifications.

His Excellency, Governor John H. Lynch  
and the Honorable Executive Council  
May 7, 2012  
Page 4

9. Timely submission of required reports.

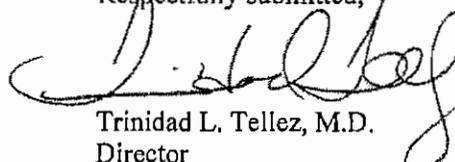
Area served: Statewide

Source of Funds: 100% Federal Funds derived from the United States Department of Health and Human Services, Administration for Children and Families through the "Health Profession Opportunity Grants to Serve Temporary Assistance to Needy Families Recipients and Other Low-Income Individuals" program.

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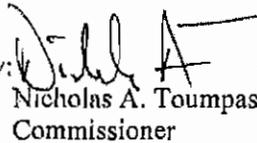
In the event that Federal Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Trinidad L. Tellez, M.D.  
Director

Approved by:



Nicholas A. Toumpas  
Commissioner

Program Name  
 Contract Purpose  
 RFP Score Summary

HPPOP  
 Capacity Building RFP

RFA/RFP CRITERIA	Max Pts	Fedcap Area 3	LSC Area 2	LSC Area 3	SNHU Area 1	OnSite/OffSite Area 2	SNAHEC Area 1	Lewin Area 1	Lewin Area 2	Lewin Area 3	Lewin Area 4
Experience and Capacity Approach	25	21.00	22.60	22.67	24.00	18.60	23.20	22.50	22.50	22.20	23.00
Sustainability	40	34.40	35.00	35.50	34.50	29.80	32.80	30.75	29.75	30.20	31.75
Budget	25	20.00	21.80	21.33	20.00	18.40	20.20	17.25	17.75	18.00	20.00
TOTAL POINTS	100	88.00	89.00	87.17	87.25	74.80	82.80	79.00	77.25	78.20	83.25
BUDGET REQUEST		215,195.00	40,857.00	27,610.00	33,644.00	76,005.00	24,827.00	124,530.00	126,936.00	142,423.00	92,387.00
TOTAL BUDGET REQUEST		215,195.00	40,857.00	27,610.00	33,644.00	76,005.00	24,827.00	124,530.00	126,936.00	142,423.00	92,387.00
BUDGET AWARDED		-	-	-	-	-	-	-	-	-	-
TOTAL BUDGET AWARDED		-	-	-	-	-	-	-	-	-	-

RFP Reviewers	Name	Job Title	Dept/Agency	Qualifications
1	Jessica Santos	State Partnership Grant Coord	OMHRA	
2	Yvonne Goldsberry	Senior Director, Community Health	Cheshire Medical	
3	Esteban Lopez	Director of Diversity & Research	NHCUC	
4	Bonnie St. Jean	Senior Director, Community Health	DRED	
5	Egon Jensen	DCYF	DHHS	
6	Tika Acharya	Program Specialist	OMHRA/HPPOP	
7				
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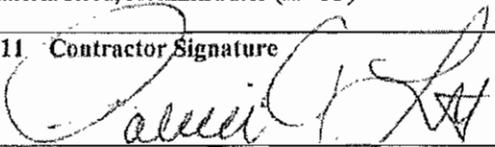
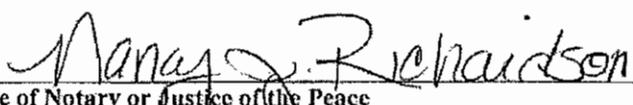
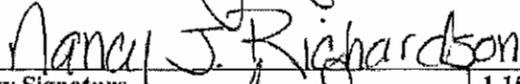
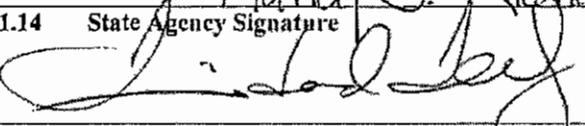
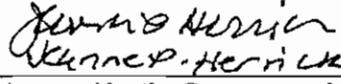
Subject: Health Professional Opportunity Project

**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 and Human Services Office of Minority Health and Refugee Affairs (OMHRA)		<b>1.2 State Agency Address</b> 97 Pleasant Street Concord, NH 03301	
<b>1.3 Contractor Name</b> Southern New Hampshire University		<b>1.4 Contractor Address</b> 2500 North River Road Manchester, NH 03106	
<b>1.5 Contractor Phone Number</b> 603-645-9695	<b>1.6 Account Number</b> 010-095-59930000-500731 95097100	<b>1.7 Completion Date</b> 9/29/12	<b>1.8 Price Limitation</b> \$33,086
<b>1.9 Contracting Officer for State Agency</b> Patricia Reed, Administrator (HPOP)		<b>1.10 State Agency Telephone Number</b> 603-271-4825	
<b>1.11 Contractor Signature</b> 		<b>1.12 Name and Title of Contractor Signatory</b> Patricia A. Lynott, Provost/Senior VP of Academic Affairs	
<b>1.13 Acknowledgement: State of <u>New Hampshire</u>, County of <u>Merrimack</u></b> On <u>4/24/12</u> , before the undersigned officer, personally appeared the person identified in block 1.12, or satisfactorily proven to be the person whose name is signed in block 1.11, and acknowledged that s/he executed this document in the capacity indicated in block 1.12.			
<b>1.13.1 Signature of Notary Public or Justice of the Peace</b> [Seal] 		<b>NANCY J. RICHARDSON</b> Notary Public - New Hampshire My Commission Expires December 14, 2016	
<b>1.13.2 Name and Title of Notary or Justice of the Peace</b> 			
<b>1.14 State Agency Signature</b> 		<b>1.15 Name and Title of State Agency Signatory</b> Trinidad L. Tellez, M.D. Director	
<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:  <u>Kenneth Herick, Attorney</u> On: <u>30 Apr. 2012</u>			
<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

Contractor Initials:

Date:

*[Handwritten Signature]*  
4/26/12

certificate(s) of insurance shall contain a clause requiring the insurer to endeavor to provide the Contracting Officer identified in block 1.9, or his or her successor, no less than ten (10) days prior written notice of cancellation or modification of the policy.

**15. WORKERS' COMPENSATION.**

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

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

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

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

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

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

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

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

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

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

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

**STANDARD EXHIBIT A**

**SCOPE OF SERVICES**

**Date:** April 5, 2012

**Contract Period:** May 23, 2012 or upon Governor and Council approval,  
whichever is later, through September 29, 2012

**Contractor:**

**Name:** Southern New Hampshire University

**Address:** 2500 North River Road  
Manchester, NH 03106

**Telephone:** 603-645-9695

**Contact:** Patricia A. Lynott, Provost/Senior VP of Academic Affairs

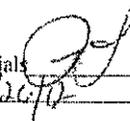
This agreement consists of the following documents: Exhibits A, B, C, C1, D, E, F, G, H, I and J which are all incorporated herein by reference as if fully set forth herein.

**I. General Terms and Conditions of Contract**

Under this Health Profession Opportunity Project model, the Graduate Program in Community Mental Health Counseling (PCMH) at Southern New Hampshire University (SNHU) will support the objectives of the Department of Health and Human Services (DHHS) Office of Minority Health and Refugee Affairs (OMHRA)'s Health Profession Opportunity Project by increasing the recruitment and retention of minority and low income students and making the curriculum and training opportunities more culturally relevant and supportive of underserved groups.

This contract fulfills a portion of ACF's objectives in establishing a Cooperative Agreement with OMHRA to conduct a demonstration project that provides eligible

Contractor Initials  
Date

  
4/26/12

individuals with the opportunity to obtain education and training for occupations in the healthcare field that pay well and are expected to either experience labor shortages or be in high demand. Under this agreement, SNHU/PCMH will comply with all applicable assurances and certifications required of OMHRA as the primary grantee.

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Over the 5-year period a minimum of 800 low-income adults and 200 incumbent workers will be educated in the areas of Allied Health, Long-term Care, Child Care Health Advocate, Health Information Technology and Nursing. A minimum of 500 individuals will be placed in employment in healthcare occupations. This capacity building contract represents one component of this larger initiative.

## **II. HPOP Capacity Building Project Management**

### **A. Organizational Structure**

PCMH will be the lead agency for the capacity building portion of the Health Profession Opportunity Project (HPOP). PCMH will work collaboratively with OMHRA to implement this project using a partnership approach. HPOP will be located within the SNHU's School of Arts and Sciences and the PCMH program and staffed by PCMH faculty including the PCMH Director, the Assistant Academic Coordinator and the Site Development and Recruitment Coordinator

The PCMH faculty team will work collaboratively with OMHRA through a Project Management Team that will meet every two weeks through the first six weeks of Project implementation or until Project activities are well established. Thereafter, the Project Management Team will jointly determine the meeting schedule.

### **B. Timely Start-Up**

SNHU/PCMH has the capacity to begin capacity building service delivery within 1 week of contract approval. All processes essential to implement identified Project activities are in place. Identified staff is available to begin work immediately.

Contractor Initials

Date

  
2/26/12

### C. Staffing

The Capacity Building staff team will include:

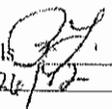
1. The PCMH Director, who has extensive experience in workforce development in the behavioral health field, is a long-time member of the Workforce Development committee for the Vermont Division of Alcohol and Drug Abuse programs, the Workforce Development Taskforce for NH's DHHS Bureau of Alcohol and Drug Abuse and the NH Alcohol and Drug Abuse Higher Education committee. She is currently a member of the NH Children's Behavioral Health Core Competencies Training Network,
2. The Assistant Academic Coordinator who is involved in curriculum development, coordinates advising and reviews of academic progress, is liaison to licensing boards and participates in program evaluation and teaching;
3. The Site Development and Recruitment Coordinator who helps to develop an overall plan for site development, develops and maintains local networks for recruitment, develops local scholarship sources, and markets the program and recruits students, locally, regionally and nationally;
4. Current PCMH adjunct faculty may assist with project activities, as consultants.

### D. Partnerships

SNHU/PCMH will engage collaboratively in this Capacity Building project with multiple stakeholders, including state and local behavioral health agencies. The PCMH is committed to foster buy-in, receive and exchange feedback, incorporate stakeholder input, and to be solution-oriented.

### E. Tracking, Reporting and Evaluation

Progress will be charted against the deliverables outlined in SNHU/PCMH's work plan and timeline that includes activities, inputs, timeframes, responsible parties,

Contractor Initials   
Date 11/26/12

anticipated outputs, and evaluation plans relating back to the stated outcomes of HPOP and the Capacity Building Initiative.

A variety of tools will be used to measure performance and assess progress. SNHU/PCMH will participate fully in any Federal evaluation and will follow all ~~evaluation protocols established by ACF or its designee contractor.~~ Fully participating in a federal evaluation may include supporting and complying with special data collection requirements, providing additional administrative data on program participation or service receipt, facilitating on site meetings and observations, including interviews with program partner managers and staff, among other activities. These may occur after the end of the contract period.

PCMH and OMHRA will establish a project management team that will meet at least every two weeks through the initial stages of the project, anticipated to be six weeks. Once project components are fully in place, the team will determine an ongoing meeting schedule. PCMH will regularly report its progress toward meeting the performance measures and overall program goals and objectives and the team will strategize to ensure continued compliance with minimum contract requirements.

PCMH will partner with OMHRA to regularly review performance measures to improve systems and processes to generate the best outcomes. PCMH may be asked to generate reports to inform practice briefs and contribute information for semi-annual reporting to ACF.

Monthly statistics and qualitative reports will be compiled into an official quarterly report to be sent to OMHRA no later than 15 days after the completion of a project quarter as described below. In these reports, PCMH shall draw attention to any changes in its previously approved work plan or timeline.

Reporting Period	Report Due Date
Quarter 3: April 1 – June 30	July 15
Quarter 4: July 1 to September 29	October 15

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A final report will be required. This narrative with a summary of project outcomes shall be submitted to OMHRA within 45 days of completion of the project period.

Sustainability outcomes will be measured through a combination of strategies that will be defined by the Project Management Team. These may include focus groups, documented inventories and research, and documented best practices.

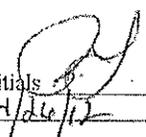
~~PCMH will work collaboratively with OMHRA and other key stakeholders to~~  
make adjustments to the work plan if necessary under the cooperative agreement with the Administration for Children and Families (ACF). If ACF requires any specific measures to be tracked during the course of the contract, PCMH will incorporate these changes into their project design and tracking system. PCMH will cooperate fully with all aspects of the federal evaluation process.

#### **F. Fiscal Tracking and Billing**

The funds awarded in this contract shall be used solely to support the services described herein. PCMH will keep records of their activities related to OMHRA-funded programs and services. *The use of federal funds for the payment of project participant wages is expressly prohibited.* [Limitations on the use of the HPOP federal grant funds is per Section 2005(a) {other than paragraph (6)} of the Social Security Act {42 U.S.C. § 1397d(a)} to the same extent and in the same manner as such section applies to payments to States under Title XX of the Social Security Act (the Social Services Block Grant)].

This is a fixed price contract. PCMH will account for any unspent funds and justify the need for carry-forward in collaboration with OMHRA if applicable. PCMH will be expected to track expenditures and provide detailed monthly invoices to OMHRA citing actual expenditures for the prior month of operation in accordance with the attached budget. Invoices shall be received by OMHRA no later than 15 days after the end of the month for which services are billed. Any unspent funds awarded to the contractor shall be returned to DHHS at the end of the project period.

Failure to meet the scope of services outlined in this contract may jeopardize the continuation of the contract, or future funding. Corrective action may include actions

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such as a contract amendment or termination of the contract. During the contract period OMHRA may adjust contract amounts based upon utilization, fiscal expenditure and other contract requirements. Any reallocations will be carried out through the contract amendment process. DHHS/OMHRA will hold back 10% of the total contract amount until OMHRA has established that performance measures and deliverables have been met in a satisfactory manner.

### **III. HPOP Capacity Building Project Components**

The purpose of this contract is to fulfill the objectives of HPOP, as defined by OMHRA:

- To train TANF recipients and other low-income individuals in high-demand health professions;
- To connect the workforce needs of healthcare employers with an expanding labor pool of skilled workers; and
- To enhance the infrastructure of training programs statewide to recruit and retain minority students.

SNHU/PCMH will partner with OMHRA to achieve the objective 3 by focusing on the Capacity Building component of HPOP. The design of this project is intended to specifically support achievement of the following larger HPOP outcomes:

- Health training programs will adopt methods for inclusion of minority students.
- Sustainable program models for continued opportunity will be established.

These outcomes will be achieved by the project components outlined below.

#### **1. Program Self-Assessment of Recruitment and Retention Policies and Practices**

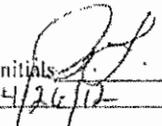
SNHU/PCMH will systematically review its current student data and data collection techniques, including demographic information gathered as part of the admissions forms. The Program will engage in discussions with University offices to gain information about target populations for recruitment with special attention to recruitment within HPOP

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target populations. PCMH will include all relevant University personnel and programs that can provide such information. PCMH will also seek information about NH's minority populations and develop a database of the agencies and organizations that work with or on behalf of these groups. Through this process, PCMH will identify the best strategies for outreach to minority populations within the state. Students, alumni and key community informants will provide input through focus groups, surveys, online discussion groups, in-person meetings and phone calls. Questions will be developed through review of recommended self-assessment tools and identified best practices. SNHU/PCMH will contract with a consultant who is knowledgeable about best practices for minority inclusion and higher education of the behavioral health workforce. The consultant will assist in survey development and data analysis for self-assessment data, incorporating findings into strategic planning for implementation and sustainability.

## **2. Program Self-Assessment of Competencies and Curriculum**

SNHU/PCMH will evaluate its current curriculum against established industry competencies required by behavioral health professionals to meet the needs of diverse communities and to reduce health disparities. Instructors' presentation in addressing issues of cultural competency and inclusion will be evaluated to promote inclusion of minority students and to promote better health and behavioral health outcomes for minorities and refugees. To understand community need and best practice standards, Project staff will review the research literature, meet with and/or survey community informants, including representatives from community mental health centers, substance abuse services, other human services and consumer organizations; gather input from students, alumni and faculty members and request materials from OMHRA regarding cultural competencies and curricula for minority and refugee health and behavioral health concerns. Questions for this inquiry will be derived from self-assessment tools and guides referenced previously. The Capacity Building Project consultant may inform this area of self-assessment as well.

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### **3. Self-Assessment and Expansion of Partnerships**

This assessment component will result in identification of current organizational partners (1) whose mission includes providing services to minorities, refugees and/or low income individuals, (2) who are interested in the education and training of minority as ~~professionals in the behavioral health workforce and establishing new partnerships with~~ others who want to increase inclusion of minorities in the behavioral health workforce.

PCMH staff will begin with outreach to current partners, all of whom employ or regulate Masters level clinicians and serve NH communities and the populations targeted by HPOP. They will be solicited for information regarding their current client base, their capacity for internships if relevant, hiring practices related to minorities, support and training provided within their organizations to promote inclusion for professionals who have minority status or who have been previously disadvantaged, their support for employees to pursue higher education, for career advancement, and their interest in partnering with PCMH to address increased diversity within their staff and client base. To build sustainability, PCMH will reach out to NH agencies and organizations that want to support efforts to increase internship, employment and postsecondary education opportunities for Masters prepared clinicians. Outreach to all entities will include surveys, phone calls or in-person meetings, or through the collaborative research efforts of OMHRA and its partners.

### **4. Competency and Curriculum Development**

PCMH will build on its information gathering and self-assessment process to make changes in its policies, practices and curriculum to support the education and employment of minority and other disenfranchised students. PCMH will put a process in place for review of competencies, curriculum and teaching practices to make the curriculum more multicultural in its attention to health care and behavioral health care services for minorities, refugees, and other underserved populations of concern.

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### **5. Internships and Job Placement through Community Partners**

Targeted outreach to current organizational partners and focused expansion of that network will include discussion of strategies to promote internships, employment opportunities and support for pursuing postsecondary education for HPOP target populations which may have immediate impact on current students and graduates. ~~Ongoing focused discussion will form the basis for one arm of PCMH's sustainability plan.~~

### **IV. Sustainability of Capacity Building Activities**

Capacity building for increased recruitment, retention, and workforce inclusion for minorities and other disenfranchised populations will be sustained through documented expansion of PCMH's sources for student and faculty recruitment, identifying and implementing or strengthening support strategies and practices with regard to these populations, and building on its existing infrastructure for recruiting and supporting non-traditional students. Information gained through self-assessment will be integrated into competencies for PCMH program courses and curricula will be revised and/or supplemented to increase multicultural content. PCMH will utilize existing partnerships and an expanded partner network to increase available internship and employment opportunities for minorities and previously disenfranchised students. Partnerships with other committed agencies and organizations will be used for ongoing growth of capacity building policies and practices. SNHU/PCMH agrees to disseminate reports on its activities and outcomes to others as determined through discussion with OMHRA.

### **V. Participation in Capacity Building Convening**

SNHU/PCMH agrees to participate in a Convening with other grantees scheduled by OMHRA within 60 days after project end to share lessons learned.

### **VI. Dissemination of Findings**

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SNHU/PCMH will disseminate information gained in the course of this capacity building project. Specifically, they will compile and share resources and information about best practices, cultural relevance in behavioral health service delivery and/or minority inclusion in Higher Education. They will also compile and summarize information gathered from key informants relative to recommendations to enhance the PCMH core competencies, curriculum and/or recruitment, retention and support strategies.

Information will be disseminated through in person meetings, conference exhibits and participation, and/or electronic communications such as list-serves, Facebook, and email. Information will also be shared, as relevant, with other SNHU departments and offices, PCMH faculty, students and alumni and PCMH partners.

Any outreach or marketing materials must be reviewed and approved by ACF prior to distribution and must contain the following:

*This document was supported by Grant 90FX0003 from the Administration for Children and Families, U.S. Department of Health and Human Services (HHS). Its contents are solely the responsibility of the authors and do not necessarily represent the official views of HHS.*

ACF has full rights to all materials created and published under this contract.

### Work Plan

#### **Objective 1: Determine best practices for minority inclusion in higher education**

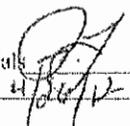
##### **Activities**

##### A. Review relevant literature

- Review best practices on inclusion of minority and low-income individuals in higher education settings, particularly those focused on behavioral health
- Identify self-assessment tools and guides relating to the cultural competency of higher education organizations

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B. Contact state and local agencies

- Obtain technical assistance from OMHRA
- Meet with other NH groups knowledgeable about specific target populations

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**Outcomes:**

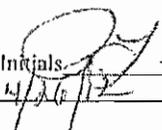
1. Summary of best practices for recruitment, retention, competencies and curriculum
2. List of recommended self-assessment tools and guides
3. List of agencies that are knowledgeable about minority and low income groups

**Objective 2: Determine current SNHU practices for collection of demographic data, strategies for recruitment and retention, and current supports for minority groups.**

**Activities**

- A. Review admissions data
- Review data collected by PCMH
  - Meet with relevant SNHU offices to determine what types of data are currently being collected on students and how the information is collected and summarized
- B. Determine SNHU's strategies for recruitment and retention of minority students and other underserved groups
- Discuss with relevant SNHU offices their current practices for recruitment of minority and low income groups and current supports provided to such groups

**Outcomes:**

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1. Summary of types of demographic data collected on PCMH and SNHU students and methods of data collection; obtain summary reports of data if accessible
2. Summary of SNHU strategies for recruiting and retaining minority groups

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**Objective #3: Survey key informants with respect to the PCMH program**

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**Activities**

- A. Review existing program evaluation data as it relates to curriculum and supports
- B. Meet with outside consultant with expertise in the area of minority inclusion in higher education, specifically with respect to the field of behavioral health
- C. Collect additional key informant data from students, alumni, faculty, and representatives of outside groups on the PCMH program
  - Develop questions regarding accessibility, relevance of competencies and curriculum, sensitivity and support of faculty, staff and internship supervisors
  - Decide on the best approaches for obtaining such information
  - Collect data from key informants

**Outcomes:**

1. Summary of existing program evaluation data
2. PCMH staff assigned to this grant meet as a group with outside consultant
3. Development of survey questions and methods for collecting such information from key informants
4. Summarize feedback from key informants with respect to the PCMH program focus on minority health issues and support of minority and low-income students.

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**Objective #4: Developing plan for next steps**

**Activities**

- A. Meet to discuss plans for implementation that extend beyond the parameters of the grant.
- 

**Outcomes:**

1. Development of a plan for implementation of activities beyond the grant period.

**Objective #5: Monitoring/Evaluation of Performance Goals**

**Activities**

- A. PCMH Director assigns program staff to project tasks
- B. Discuss progress on grant activities at biweekly staff meetings
- C. Send monthly and final progress reports to funders
- D. Notify funders of any changes in plan

**Outcomes**

1. Monthly progress reports to funders
2. Final summary of grant accomplishments following end of grant period
3. Attendance by PCMH Program Director or designated PCMH staff member at contractor's meeting.

**Objective #6: Dissemination of Findings**

**Activities**

- A. Disseminate two types of information:
- a. resources and information about best practices, obtained from OMHRA and other sources related to:
- i. cultural relevance in behavioral health service delivery and/or

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ii. minority inclusion in Higher Education

- b. survey and/or brief summaries of information collected from key informants (and other sources noted above), regarding recommendations to enhance the PCMH core competencies, curriculum and/or recruitment, retention and support strategies
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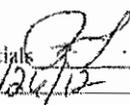
Information will be disseminated through in person meetings, conference exhibits and participation, and/or electronic communications such as list-serves, Facebook, and email.

Information will be shared, as relevant, with:

- other SNHU departments and offices
- PCMH faculty, students, and alumni
- PCMH partners (i.e., associated workgroups, state contacts, committees, internship sites, other partner organizations)
- Two logical conferences to attend and bring information to share: New England Institute of Addiction Studies (NEIAS) Summer School in Brunswick, Maine, in June and NEIAS Best Practices Conference in Waterville Valley, NH in September.

- B. Submit proposals to present the information collected on best practices on cultural relevance in behavioral health service delivery, minority inclusion in higher education, and outcomes and recommendations from the PCMH self-assessment process, at a minimum of 2 regional or national conferences

**Outcomes**

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1. Resource information about best practices related to: cultural relevance in behavioral health service delivery and inclusion of minorities in higher education is disseminated to SNHU offices, PCMH faculty, students, alumni, and partnering organizations
2. PCMH survey information and/or recommendations related to core competencies, curriculum and recruitment, retention and support of minority students is disseminated to SNHU Offices, PCMH faculty, students, alumni, and partnering organizations
3. Proposals submitted to present at a minimum of 2 regional or national conferences to disseminate information acquired through self-assessment process

### **C. Timeline Of Activities**

#### **Time period: May 23-June 30, 2012**

##### **Weeks 1-2:**

- Meet as staff to discuss project objectives; project director assigns tasks to project staff
- Review best practice literature on cultural relevance in behavioral health services and minority inclusion in higher education
- Contact and meet with staff of SNHU offices regarding collection of demographic student data, strategies for recruitment and retention and current supports for minorities

##### **Weeks 3-5:**

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- Meet with state and local agency representatives for technical assistance and resources
- Continue meetings with SNHU offices to collect information cited above
- Summarize information collected from meetings with SNHU offices regarding demographic data and strategies for recruiting and retaining minority students

**Week 6:**

- Summarize data on best practices for recruitment, retention, and curriculum
- Generate list of recommended self-assessment tool and guides
- Develop list of agencies that are knowledgeable about minority and low income groups

**Weeks 4-6:**

- Dissemination: Share OMHRA resources and information about best practices with SNHU Offices and, as relevant, PCMH faculty, students, alumni and partnering agencies and workgroups (through in person meetings, conference exhibits or participation and/or electronic communications)

*Total Number of workdays: 15; Estimated . 5 FTE per week*

*Administrative support: 4 days over the project period.*

**Time period: July 1, 2012-September 29, 2012**

**Weeks 7-10**

- Review and summarize existing program evaluation data
- Meet with outside consultant
- Develop questions for surveying key informants regarding PCMH program and decide on strategies for collecting this information
- Schedule focus groups and meetings or surveys of key informants

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**Weeks 11-15**

- Survey key informants and summarize feedback

**Week 16-19:**

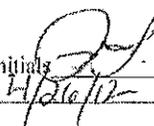
- Dissemination: share summaries or updates of survey information and other information collected through the self-assessment process and from literature and other sources, with PCMH faculty, students, alumni, and relevant partnering organizations (through in person meetings, conference exhibits and participation and/or electronic communications such as list-serves, Facebook, email)
- Dissemination: submit proposal to present data on best practices related to cultural relevance in behavioral health service delivery and minority inclusion in higher education and information acquired through the self-assessment process at a minimum of 2 regional or national conferences
- Develop long-range plan for implementation of best practices
- Provide final report to funders on progress of grant activities and final budget update

*Total Number of workdays: 45; Estimated .6 FTE per week Administrative support: 4 days total over project period.*

*\$250 in supplies; Travel (3 additional NH trips) and Travel and Attendance at New England Institute of Addiction Studies Best Practices conference in September, in Waterville Valley, NH or other relevant conference.*

Note: Discussion of progress on grant activities will occur at bi-weekly staff meetings. Submission of progress reports (including budget) to funders will occur monthly

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**Southern New Hampshire University**

**EXHIBIT B**

**METHODS AND CONDITIONS PRECEDENT TO PAYMENT**

**A. Funding Of Contract**

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1. This contract is currently funded with \$33,086.00 of federal funds made available under the Catalog of Federal Domestic Assistance, CFDA # 93.093, Health Profession Opportunity Grants, US Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance.

B. In consideration of the satisfactory performance of the Services as determined by this contract, the State agrees to pay over to the Contractor, funds not to exceed \$33,086.00.

1. Payments under this contract are not to exceed \$33,086.00 for the contract and project period of May 23, 2012 or the date of Governor and Council Approval; whichever is later, through September 29, 2012.
2. Full funding of this contract is contingent upon continued receipt and state appropriation of federal funds awarded under the Health Profession Opportunity Project grant by the Administration for Children and Families for the specified purpose of Capacity Building.
3. Reimbursements for services provided shall be made by the State on a monthly basis after receipt and review of monthly expenditure reports submitted by the Contractor to the State. These reports, which are based on a budget approved by the State, shall be in a form satisfactory to the State and shall be submitted no later than 15 days after the close of the month.
4. DHHS will hold back 10% of the value of the contract until OMHRA has established that performance measures and deliverables were met in a satisfactory manner.
5. The Contractor and/or the State may amend the contract budget through line item increases, decreases or the creation of new line items provided these amendments do not exceed the Contract price. Such amendments shall only be made upon written request to and written approval by the State with programmatic justification.
6. Payments will be made by DHHS within 60 days of receipt of conforming invoice.

Contractor Initial 

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CDFA Title: Affordable Care Act (ACA) Health Profession Opportunity Grants

CDFA No: 93.093

Award Name: NH Health Profession Opportunity Project

Federal Agency: US Department of Health and Human Services, Administration for Children and Families, Office of Family Assistance

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Contractor Initial *[Signature]*  
Date *8/26/12*

NH Department of Health and Human Services

STANDARD EXHIBIT C

SPECIAL PROVISIONS

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

**2. Compliance with Federal and State Laws:** If the Contractor is permitted to determine the eligibility of individuals such eligibility determination shall be made in accordance with applicable federal and state laws, regulations, orders, guidelines, policies and procedures.

**3. Time and Manner of Determination:** Eligibility determinations shall be made on forms provided by the Department for that purpose and shall be made and remade at such times as are prescribed by the Department.

**4. Documentation:** In addition to the determination forms required by the Department, the Contractor shall maintain a data file on each recipient of services hereunder, which file shall include all information necessary to support an eligibility determination and such other information as the Department requests. The Contractor shall furnish the Department with all forms and documentation regarding eligibility determinations that the Department may request or require.

**5. Fair Hearings:** The Contractor understands that all applicants for services hereunder, as well as individuals declared ineligible have a right to a fair hearing regarding that determination. The Contractor hereby covenants and agrees that all applicants for services shall be permitted to fill out an application form and that each applicant or re-applicant shall be informed of his/her right to a fair hearing in accordance with Department regulations.

**6. Gratuities or Kickbacks:** The Contractor agrees that it is a breach of this Contract to accept or make a payment, gratuity or offer of employment on behalf of the Contractor, any Sub-Contractor or the State in order to influence the performance of the Scope of Work detailed in Exhibit A of this Contract. The State may terminate this Contract and any sub-contract or sub-agreement if it is determined that payments, gratuities or offers of employment of any kind were offered or received by any officials, officers, employees or agents of the Contractor or Sub-Contractor.

**7. Retroactive Payments:** Notwithstanding anything to the contrary contained in the Contract or in any other document, contract or understanding, it is expressly understood and agreed by the parties hereto, that no payments will be made hereunder to reimburse the Contractor for costs incurred for any purpose or for any services provided to any individual prior to the Effective Date of the Contract and no payments shall be made for expenses incurred by the Contractor for any services provided prior to the date on which the individual applies for services or (except as otherwise provided by the federal regulations) prior to a determination that the individual is eligible for such services.

**8. Conditions of Purchase:** Notwithstanding anything to the contrary contained in the Contract, nothing herein contained shall be deemed to obligate or require the Department to purchase services hereunder at a rate which reimburses the Contractor in excess of the Contractors costs, at a rate which exceeds the amounts reasonable and necessary to assure the quality of such service, or at a rate which exceeds the rate charged by the Contractor to ineligible individuals or other third party funders for such service. If at any time during the term of this Contract or after receipt of the Final Expenditure Report hereunder, the Department shall determine that the Contractor has used payments hereunder to reimburse items of expense other than

such costs, or has received payment in excess of such costs or in excess of such rates charged by the Contractor to ineligible individuals or other third party funders, the Department may elect to:

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

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

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

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

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

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

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

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

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

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

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

**11. Confidentiality of Records:** All information, reports, and records maintained hereunder or collected in connection with the performance of the services and the Contract shall be confidential and shall not be

disclosed by the Contractor, provided however, that pursuant to state laws and the regulations of the Department regarding the use and disclosure of such information, disclosure may be made to public officials requiring such information in connection with their official duties and for purposes 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.~~

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

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

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

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

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

**14.1** The preparation of this (report, document etc.) was financed under a Contract with the State of New Hampshire, Department of Health and Human Services, Office of Minority Health and Refugee Affairs, Health Profession Opportunity Project, 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.

**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.

**SPECIAL PROVISIONS – DEFINITIONS**

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

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

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

**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.

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**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.

**NH Department of Health and Human Services**

**STANDARD EXHIBIT D**

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of Sections 5151-5160 of the Drug-Free Workplace Act 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

- (A) The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (b) Establishing an ongoing drug-free awareness program to inform employees about—
    - (1) The dangers of drug abuse in the workplace;
    - (2) The grantee's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

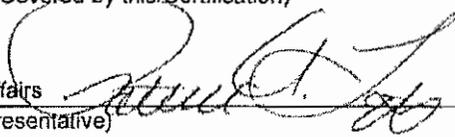
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

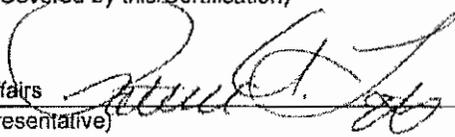
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

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.

Southern New Hampshire University From: 5/23/2012 To: 9/29/2012  
 (Contractor Name) (Period Covered by this Certification)

Patricia A. Lynott, Provost/Sr. VP of Acad Affairs   
 (Name & Title of Authorized Contractor Representative)

 4/26/12  
 (Contractor Representative Signature) (Date)

Contractor Initials:   
 Date: 4/26/12

NH Department of Health and Human Services

STANDARD EXHIBIT E

CERTIFICATION REGARDING LOBBYING

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

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

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

Contract Period: May 23, 2012 (or G & C approval date) through September 29, 2012

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.

[Handwritten Signature]
(Contractor Representative Signature)

Patricia A. Lynott, Provost/Senior VP of Academic Affairs
(Authorized Contractor Representative Name & Title)

Southern New Hampshire University
(Contractor Name)

4/26/12
(Date)

Contractor Initials: [Handwritten Initials]
Date: 4/26/12

NH Department of Health and Human Services

STANDARD EXHIBIT F

CERTIFICATION REGARDING DEBARMENT, SUSPENSION  
AND OTHER RESPONSIBILITY MATTERS

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

**INSTRUCTIONS FOR CERTIFICATION**

1. By signing and submitting this proposal (contract), the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the NH Department of Health and Human Services' (DHHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when DHHS determined to enter into this 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 information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, DHHS may terminate this transaction for cause or default.

**PRIMARY COVERED TRANSACTIONS**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) have not within a three-year period preceding this proposal (contract) been convicted 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;
  - (c) are not presently indicted for otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal (contract).

Contractor Initials: 

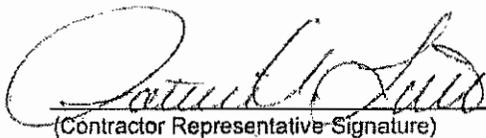
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**LOWER TIER COVERED TRANSACTIONS**

By signing and submitting this lower tier proposal (contract), the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (b) where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal (contract).

The prospective lower tier participant further agrees by submitting this proposal (contract) that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

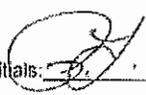


(Contractor Representative Signature)

Patricia A. Lynott, Provost/Senior VP of Academic Affairs  
(Authorized Contractor Representative Name & Title)

Southern New Hampshire University  
(Contractor Name)

4/26/12  
(Date)

Contractor Initials:   
Date: 4/26/12

NH Department of Health and Human Services

STANDARD EXHIBIT G

CERTIFICATION REGARDING  
THE AMERICANS WITH DISABILITIES ACT COMPLIANCE

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

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



(Contractor Representative Signature)

Patricia A. Lynott, Provost/Senior VP Academic Affairs  
(Authorized Contractor Representative Name & Title)

Southern New Hampshire University  
(Contractor Name)

4/26/12  
(Date)

NH Department of Health and Human Services

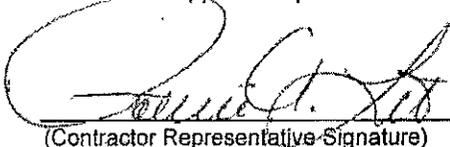
STANDARD EXHIBIT H

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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

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

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

  
(Contractor Representative Signature)

Patricia A. Lynott, Provost/Sr. VP of Acad Affairs  
(Authorized Contractor Representative Name & Title)

Southern New Hampshire University  
(Contractor Name)

4/26/12  
(Date)

Contractor Initials:   
Date: 4/26/12

NH Department of Health and Human Services

**STANDARD EXHIBIT I**  
**HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT**  
**BUSINESS ASSOCIATE AGREEMENT**

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

**BUSINESS ASSOCIATE AGREEMENT**

(1) **Definitions.**

- a. "Breach" shall have the same meaning as the term "Breach" in Title XXX, Subtitle D. Sec. 13400.
- b. "Business Associate" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- c. "Covered Entity" has the meaning given such term in section 160.103 of Title 45, Code of Federal Regulations.
- d. "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 CFR Section 164.501.
- e. "Data Aggregation" shall have the same meaning as the term "data aggregation" in 45 CFR Section 164.501.
- f. "Health Care Operations" shall have the same meaning as the term "health care operations" in 45 CFR Section 164.501.
- g. "HITECH Act" means the Health Information Technology for Economic and Clinical Health Act, Title XIII, Subtitle D, Part 1 & 2 of the American Recovery and Reinvestment Act of 2009.
- h. "HIPAA" means the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 and the Standards for Privacy and Security of Individually Identifiable Health Information, 45 CFR Parts 160, 162 and 164.
- i. "Individual" shall have the same meaning as the term "individual" in 45 CFR Section 164.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR Section 164.501(g).
- j. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Parts 160 and 164, promulgated under HIPAA by the United States Department of Health and Human Services.

- k. "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR Section 164.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.
- l. "Required by Law" shall have the same meaning as the term "required by law" in 45 CFR Section 164.501.
- ~~m. "Secretary" shall mean the Secretary of the Department of Health and Human Services or his/her designee.~~
- n. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Part 164, Subpart C, and amendments thereto.
- o. "Unsecured Protected Health Information" means protected health information that is not secured by a technology standard that renders protected health information unusable, unreasonable, or indecipherable to unauthorized individuals and is developed or endorsed by a standards developing organization that is accredited by the American National Standards Institute.
- p. Other Definitions - All terms not otherwise defined herein shall have the meaning established under 45 C.F.R. Parts 160, 162 and 164, as amended from time to time, and the HITECH Act.

**(2) Use and Disclosure of Protected Health Information.**

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

- e. If the Covered Entity notifies the Business Associate that Covered Entity has agreed to be bound by additional restrictions over and above those uses or disclosures or security safeguards of PHI pursuant to the Privacy and Security Rule, the Business Associate shall be bound by such additional restrictions and shall not disclose PHI in violation of such additional restrictions and shall abide by any additional security safeguards.

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**(3) Obligations and Activities of Business Associate.**

- a. Business Associate shall report to the designated Privacy Officer of Covered Entity, in writing, any use or disclosure of PHI in violation of the Agreement, including any security incident involving Covered Entity data, in accordance with the HITECH Act, Subtitle D, Part 1, Sec. 13402.
- b. The Business Associate shall comply with all sections of the Privacy and Security Rule as set forth in, the HITECH Act, Subtitle D, Part 1, Sec. 13401 and Sec.13404.
- c. Business Associate shall make available all of its internal policies and procedures, books and records relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of Covered Entity to the Secretary for purposes of determining Covered Entity's compliance with HIPAA and the Privacy and Security Rule.
- d. Business Associate shall require all of its business associates that receive, use or have access to PHI under the Agreement, to agree in writing to adhere to the same restrictions and conditions on the use and disclosure of PHI contained herein, including the duty to return or destroy the PHI as provided under Section (3)b and (3)k herein. The Covered Entity shall be considered a direct third party beneficiary of the Contractor's business associate agreements with Contractor's intended business associates, who will be receiving PHI pursuant to this Agreement, with rights of enforcement and indemnification from such business associates who shall be governed by standard provision #13 of this Agreement for the purpose of use and disclosure of protected health information.
- e. Within five (5) business days of receipt of a written request from Covered Entity, Business Associate shall make available during normal business hours at its offices all records, books, agreements, policies and procedures relating to the use and disclosure of PHI to the Covered Entity, for purposes of enabling Covered Entity to determine Business Associate's compliance with the terms of the Agreement.
- f. Within ten (10) business days of receiving a written request from Covered Entity, Business Associate shall provide access to PHI in a Designated Record Set to the Covered Entity, or as directed by Covered Entity, to an individual in order to meet the requirements under 45 CFR Section 164.524.
- g. Within ten (10) business days of receiving a written request from Covered Entity for an amendment of PHI or a record about an individual contained in a Designated Record Set, the Business Associate shall make such PHI available to Covered Entity for amendment and incorporate any such amendment to enable Covered Entity to fulfill its obligations under 45 CFR Section 164.526.

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

**(4) Obligations of Covered Entity**

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

(5) Termination for Cause

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

(6) Miscellaneous

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

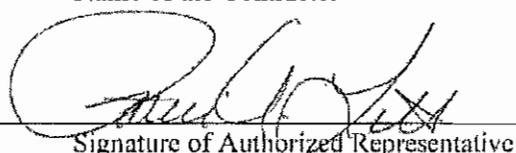
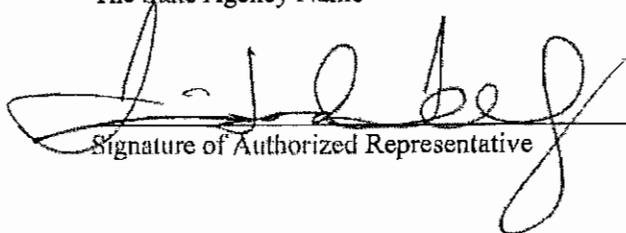
IN WITNESS WHEREOF, the parties hereto have duly executed this Exhibit I.

Department of Health and Human Services  
Office of Minority Health and Refugee Affairs

Southern New Hampshire University

The State Agency Name

Name of the Contractor



Trinidad Tellez, M.D

Patricia A. Lynott

Name of Authorized Representative

Name of Authorized Representative

Director, OMHRA

Provost/Senior VP of Academic Affairs

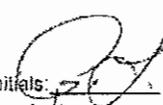
Title of Authorized Representative

Title of Authorized Representative

Date

Date

4/26/12

Contractor Initials: 

Date: 4/26/12

STANDARD EXHIBIT J

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

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

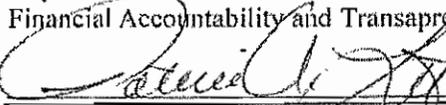
In accordance with 2 CFR Part 170 (*Reporting Subaward and Executive Compensation Information*), the Department of Health and Human Services (DHHS) must report the following information for any subaward or contract award subject to the FFATA reporting requirements:

- 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:
  - a. More than 80% of annual gross revenues are from the Federal government, and those revenues are greater than \$25M annually and
  - b. Compensation information is not already available through reporting to the SEC.

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

The Contractor identified in Section 1.3 of the General Provisions agrees to comply with the provisions of The Federal Funding Accountability and Transparency Act, Public Law 109-282 and Public Law 110-252, and 2 CFR Part 170 (*Reporting 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.

 Patricia A. Lynott, Provost/Senior VP of Academic Affairs

(Contractor Representative Signature) (Authorized Contractor Representative Name & Title)

Southern New Hampshire University 4/26/12

(Contractor Name) (Date)

Contractor Initials   
Date 4/26/12

STANDARD EXHIBIT J

FORM A

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

1. The DUNS number for your entity is:

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: _____

Contractor Initials:   
Date: 4/20/12

*ATTACHMENT B*

## STATEMENT OF CONFIDENTIALITY

Every client has the right to privacy and confidentiality of his or her record. Information contained in an individual's case record is designated confidential under state and federal law.

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All staff and employees of the Department of Health and Human Services (DHHS), including agencies under contract with DHHS, are under an equal obligation to treat as confidential any information they may acquire, by any means, about an applicant, a recipient or former recipient.

The fact that an individual is a current or past recipient of assistance from any Departmental program is considered confidential information. Information about a client may be shared among staff of DHHS (or contract agency) only as is necessary for the administration of the program(s) from which the individual is receiving services.

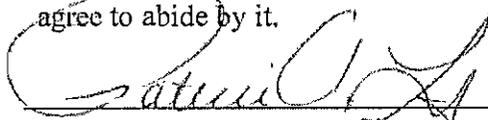
No information is to be shared outside of DHHS (or the contract agency) with anyone except with the informed written authorization of the client or the person authorized to give consent on the client's behalf. Clients must be advised of the information that will be shared and the time period this sharing will take place.

Contract agencies and DHHS shall share information with one another that is related to the service(s) provided and administration of the program as described in the contract without an additional release.

Without a specific release, discussions cannot include mention of any client names or facts that would identify an individual. Information cannot be given over the phone unless it is given directly to the client or an individual whom the client has designated, in writing, to act in their behalf. This prohibition applies to police officers, legislators, lawyers and others who assert a need to know confidential information. All third parties must provide written authorization of the client to discuss or receive confidential information.

Breaches of confidentiality will be regarded as a serious offense and grounds for disciplinary action.

I, PATRICIA LYNOTT have read and understand this  
statement and (print name)  
agree to abide by it.

  
Signature

4/26/12  
Date

SOUTHERN NH UNIVERSITY  
Organization



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
04/26/2012

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

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

PRODUCER Fred C. Church 41 Wellman Street P.O. Box 1865 Lowell, MA 01853-1865	1-978-458-1865	CONTACT NAME: Claire Bolduc PHONE (A/C, No, Ex): 978-322-7168 FAX (A/C, No): 978-454-1865 E-MAIL ADDRESS: cbolduc@fredchurch.com
INSURED Southern New Hampshire University 2500 North River Road Manchester, NH 03106		INSURER(S) AFFORDING COVERAGE INSURER A: United Educators Insurance INSURER B: Charter Oak Fire Ins. Co. INSURER C: Travelers Indemnity Company INSURER D: INSURER E: INSURER F:

COVERAGES CERTIFICATE NUMBER: 26848842 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 INSUR INSR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC		CGL201100220900	07/01/11	07/01/12	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ GENERAL AGGREGATE \$ 3,000,000 PRODUCTS - COMP/OP AGG \$ \$
B	AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> NON-OWNED AUTOS		810717K5266COF11	07/01/11	07/01/12	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> EXCESS LIAB <input type="checkbox"/> DED <input checked="" type="checkbox"/> RETENTION \$ 10,000 <input type="checkbox"/> CLAIMS-MADE		GLU201100220900	07/01/11	07/01/12	EACH OCCURRENCE \$ 25,000,000 AGGREGATE \$ 25,000,000 \$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N <input type="checkbox"/> N/A	YKUB717K524211	07/01/11	07/01/12	WC STATU-TORY LIMITS OTHER E.L. EACH ACCIDENT \$ 500,000 E.L. DISEASE - EA EMPLOYEE \$ 500,000 E.L. DISEASE - POLICY LIMIT \$ 500,000
A	Professional Liability		ELS201100220900	07/01/11	07/01/12	Educators Legal Each Claim 5,000,000 Annual Aggregate 5,000,000

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

## CERTIFICATE HOLDER

## CANCELLATION

Health Profession Opportunity Project  
Office of Minority Health & Refugee Affairs-NBDHHS  
Robin Hlobeczy  
97 Pleasant Street, Thayer Building  
Concord, NH 03301

USA

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

*Herman P. Latman*

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State of New Hampshire  
Department of State

CERTIFICATE

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I, William M. Gardner, Secretary of State of the State of New Hampshire, do hereby certify that SOUTHERN NEW HAMPSHIRE UNIVERSITY is a New Hampshire nonprofit corporation formed August 21, 1968. I further certify that it is in good standing as far as this office is concerned, having paid the fees required by law.



In TESTIMONY WHEREOF, I hereto  
set my hand and cause to be affixed  
the Seal of the State of New Hampshire,  
this 27<sup>th</sup> day of April, A.D. 2012

*William M. Gardner*

William M. Gardner  
Secretary of State

CERTIFICATE OF AUTHORITY

I, Paul J. LeBlanc, President of Southern New Hampshire University do hereby certify that:

1. I am the President of Southern New Hampshire University.
2. I am authorized to delegate authority subordinates to authorize legally binding contracts on behalf of Southern New Hampshire University.
3. The following is a true, accurate and complete copy of Article VII, Section 1, of the By-laws of Southern New Hampshire University currently in force:

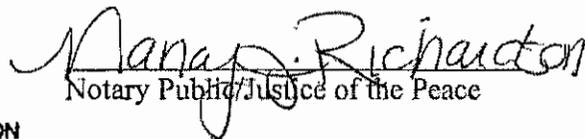
Execution of Written Instruments. Contracts, deeds, documents and instruments shall be executed by the President or Treasurer under the seal of the University affixed and attested by the Secretary unless (a) the board shall designate another person/and or procedure for execution in a particular situation, or (b) the President shall designate a member of the University's Senior Management Team as executor in a particular situation.

4. That I, Paul J. LeBlanc hereby delegate to Patricia A. Lynott, Provost and Senior Vice President of Academic Affairs, the authority to enter into agreements and other instruments that are legally binding on Southern New Hampshire University.
5. The forgoing provisions have not been amended or revoked and remain in full force and in effect as of April 26, 2012.

IN WITNESS WHEREOF, I have hereunto set my hand as the President of the University this 21<sup>st</sup> of April 2012.



IN WITNESS WHEREOF I hereunto set my hand and official seal.

  
Notary Public/Justice of the Peace

NANCY J. RICHARDSON  
Notary Public - New Hampshire

My commission expires: December 14, 2016

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**Financial Statements**  
**Southern New Hampshire University**

**June 30, 2011 and 2010**



Mayer Hoffman McCann P.C.  
Tofias New England Division  
An Independent CPA Firm

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Financial Statements**

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Mayer Hoffman McCann P.C.  
Tofias New England Division  
An Independent CPA Firm

500 Boylston Street ■ Boston, MA 02116  
Tel: 617.761.0600 ■ Fax: 617.761.0601 ■ [www.cbiztofias.com](http://www.cbiztofias.com)

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*Independent Auditors' Report*

The Board of Trustees  
Southern New Hampshire University  
Manchester, New Hampshire

We have audited the accompanying statements of financial position of Southern New Hampshire University (the "University") as of June 30, 2011 and 2010, and the related statements of revenues, expenses and changes in net assets and cash flows for the years then ended. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with U.S. generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Southern New Hampshire University as of June 30, 2011 and 2010, and the changes in its net assets and its cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

*Mayer Hoffman McCann P.C.*

September 22, 2011  
Boston, Massachusetts

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

Statements of Financial Position

June 30,

<b>Assets</b>	<b>2011</b>	<b>2010</b>
Cash and cash equivalents	\$ 245,422	\$ 609,835
Short-term investments, at fair value	27,179,521	26,051,892
Student accounts and other receivable, net	5,376,078	3,695,636
Other assets, net	3,142,032	2,778,854
Contributions receivable, net	41,932	176,841
Student loans receivable, net	3,704,174	3,785,064
Deposits with trustees	5,787,795	9,175,538
Long-term investments, at fair value	47,703,147	28,506,852
Property and equipment, net	75,933,860	71,041,639
Total assets	\$ 169,113,961	\$ 145,822,151
<b>Liabilities and Net Assets</b>		
Liabilities:		
Accounts payable and accrued expenses	\$ 12,092,960	\$ 12,501,767
Student deposits and advance payments	21,804,918	12,758,852
Interest rate swap	1,238,463	1,142,867
Bonds payable	63,569,192	66,611,597
Refundable advances – U.S. Government grants	3,086,771	3,141,449
Total liabilities	101,792,304	96,156,532
Net assets:		
Unrestricted:		
Board designated	-	865,512
Undesignated	50,862,683	34,805,771
Total unrestricted	50,862,683	35,671,283
Temporarily restricted	5,334,879	4,114,362
Permanently restricted	11,124,095	9,879,974
Total net assets	67,321,657	49,665,619
Total liabilities and net assets	\$ 169,113,961	\$ 145,822,151

See accompanying notes to financial statements.

SOUTHERN NEW HAMPSHIRE UNIVERSITY

Statement of Revenues, Expenses and Changes in Net Assets  
Year Ended June 30, 2011 (with comparative totals for 2010)

	Board		Total		Temporarily		Permanently		2010
	Unrestricted	Designated	Unrestricted	Restricted	Restricted	Restricted	Restricted	Restricted	
<b>Operating:</b>									
Revenues and other support:									
Tuition and fees	\$ 117,863,504	-	117,863,504	-	117,863,504	-	117,863,504	-	\$ 98,674,871
Residence and dining	11,661,763	-	11,661,763	-	11,661,763	-	11,661,763	-	10,264,500
Less institutional student aid	(26,092,188)	-	(26,092,188)	-	(26,092,188)	-	(26,092,188)	-	(20,832,213)
Tuition and fees, net	\$ 103,433,079	-	103,433,079	-	103,433,079	-	103,433,079	-	\$ 88,107,158
Other auxiliary enterprises	1,438,734	-	1,438,734	-	1,438,734	-	1,438,734	-	1,359,314
Contributions	458,935	-	458,935	337,076	795,961	-	795,961	-	833,413
Grants and contracts	1,374,295	-	1,374,295	-	1,374,295	-	1,374,295	-	1,748,218
Investment income and gains	1,178,521	-	1,178,521	448,175	1,626,696	-	1,626,696	-	581,892
Other interest income	438,637	-	438,637	-	438,637	-	438,637	-	379,298
Other income	1,656,660	-	1,656,660	-	1,656,660	-	1,656,660	-	1,474,850
Total operating revenues	\$ 109,978,861	-	109,978,861	785,201	110,764,062	-	110,764,062	-	\$ 94,484,143
Net assets released from restrictions	572,441	-	572,441	(572,441)	-	-	-	-	-
Endowment income appropriated for spending policy	587,052	-	587,052	-	587,052	-	587,052	-	587,052
Total operating revenues and other support	\$ 111,138,354	-	111,138,354	212,760	111,351,114	-	111,351,114	-	\$ 95,071,195
<b>Expenses:</b>									
Instruction	37,826,338	-	37,826,338	-	37,826,338	-	37,826,338	-	36,441,155
Academic support	6,923,440	-	6,923,440	-	6,923,440	-	6,923,440	-	6,907,939
Student services	16,143,035	-	16,143,035	-	16,143,035	-	16,143,035	-	14,556,771
General institutional	27,074,155	-	27,074,155	-	27,074,155	-	27,074,155	-	21,697,352
Auxiliary enterprises	10,361,814	-	10,361,814	-	10,361,814	-	10,361,814	-	10,338,445
Total operating expenses	\$ 98,328,782	-	98,328,782	-	98,328,782	-	98,328,782	-	\$ 89,961,662
Increase in net assets from operations	\$ 12,809,572	-	12,809,572	212,760	13,022,332	-	13,022,332	-	\$ 5,109,533
<b>Nonoperating:</b>									
Contributions for long-term investment	-	-	-	1,234,421	1,234,421	-	1,234,421	-	1,273,778
Investment income and gains, net of endowment income appropriated for spending policy	3,527,921	-	3,527,921	1,007,757	4,545,378	-	4,545,378	-	687,116
Net realized loss on sale of assets	(135,719)	-	(135,719)	-	(135,719)	9,700	(135,719)	-	(231,472)
Net unrealized loss on interest rate swaps	(95,596)	-	(95,596)	-	(95,596)	-	(95,596)	-	(1,061,420)
Extinguishment of debt	(49,266)	-	(49,266)	-	(49,266)	-	(49,266)	-	-
Increase in net assets from nonoperating revenue	\$ 3,247,340	-	3,247,340	1,007,757	4,254,637	9,700	4,254,637	9,700	\$ 668,082
Increase in net assets	\$ 16,056,912	-	16,056,912	1,220,517	18,521,550	1,244,121	18,521,550	1,244,121	\$ 5,777,535
<b>Board designated:</b>									
Designated net assets	-	(865,512)	(865,512)	-	(865,512)	-	(865,512)	-	(1,134,488)
Change in net assets	\$ 16,056,912	(865,512)	15,191,400	1,220,517	17,656,038	1,244,121	17,656,038	1,244,121	\$ 4,643,047
Net assets at beginning of year	34,805,771	865,512	35,671,283	4,114,362	49,665,619	9,879,974	49,665,619	9,879,974	45,072,572
Net assets at end of year	\$ 50,862,683	-	50,862,683	5,334,879	67,321,657	11,124,095	67,321,657	11,124,095	\$ 49,665,619

See accompanying notes to financial statements.

SOUTHERN NEW HAMPSHIRE UNIVERSITY

Statement of Revenues, Expenses and Changes in Net Assets  
Year Ended June 30, 2010

	Board		Total	Temporarily Restricted		2010
	Unrestricted	Designated		Unrestricted	Restricted	
<b>Operating:</b>						
Revenues and other support:						
Tuition and fees:	\$ 98,674,871	-	98,674,871	-	-	\$ 98,674,871
Residence and dining	10,264,500	-	10,264,500	-	-	10,264,500
Less institutional student aid	(20,832,213)	-	(20,832,213)	-	-	(20,832,213)
Tuition and fees, net	\$ 88,107,158	-	88,107,158	-	-	\$ 88,107,158
Other auxiliary enterprises	1,359,314	-	1,359,314	-	-	1,359,314
Contributions	442,517	-	442,517	390,896	-	833,413
Grants and contracts	1,748,218	-	1,748,218	-	-	1,748,218
Investment income and gains/(losses)	(430,310)	-	(430,310)	1,012,202	-	581,892
Other interest income	379,298	-	379,298	-	-	379,298
Other income	1,474,850	-	1,474,850	-	-	1,474,850
Total operating revenues	93,081,045	-	93,081,045	1,403,098	-	94,484,143
Net assets released from restrictions	671,384	-	671,384	(671,384)	-	-
Endowment income appropriated for spending policy	587,052	-	587,052	-	-	587,052
Total operating revenues and other support	\$ 94,339,481	-	94,339,481	731,714	-	\$ 95,071,195
<b>Expenses:</b>						
Instruction	36,441,155	-	36,441,155	-	-	36,441,155
Academic support	6,907,939	-	6,907,939	-	-	6,907,939
Student services	14,556,771	-	14,556,771	-	-	14,556,771
General institutional	21,697,352	-	21,697,352	-	-	21,697,352
Auxiliary enterprises	10,358,445	-	10,358,445	-	-	10,358,445
Total operating expenses	\$ 89,961,662	-	89,961,662	-	-	\$ 89,961,662
Increase in net assets from operations	\$ 4,377,819	-	4,377,819	731,714	-	\$ 5,109,533
<b>Nonoperating:</b>						
Contributions for long-term investment	-	-	-	1,273,778	-	1,273,778
Investment income and gains, net of endowment income appropriated for spending policy	19,278	-	19,278	617,938	49,900	687,116
Net realized loss on sale of assets	(231,472)	-	(231,472)	-	-	(231,472)
Net unrealized loss on interest rate swaps	(1,061,420)	-	(1,061,420)	-	-	(1,061,420)
Increase in net assets from nonoperating revenue	(1,273,614)	-	(1,273,614)	617,938	1,323,678	668,002
Increase in net assets	3,104,205	-	3,104,205	1,349,652	1,323,678	5,777,535
<b>Board designation:</b>						
Designated net assets	-	(1,134,488)	(1,134,488)	-	-	(1,134,488)
Re-classification of net assets	(652,869)	-	(652,869)	619,016	33,853	-
Change in net assets	\$ 2,451,336	(1,134,488)	1,316,848	1,968,668	1,357,531	\$ 4,643,047
Net assets at beginning of year	32,354,435	2,000,000	34,354,435	2,145,694	8,522,443	45,022,572
Net assets at end of year	\$ 34,805,771	865,512	35,671,283	4,114,362	9,879,974	\$ 49,665,619

See accompanying notes to financial statements.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

Statements of Cash Flows

Years Ended June 30, 2011 and 2010

	2011	2010
Cash flows from operating activities:		
Increase in net assets	\$ 17,656,038	\$ 4,643,047
Adjustments to reconcile increase in net assets to net cash provided by operating activities:		
Depreciation and amortization expense	3,934,033	3,714,420
Realized and unrealized gain on investments	(7,269,855)	(1,410,955)
Loss on wind hedge		
Realized (gain) loss on sale of assets	135,720	231,472
Unrealized loss on interest rate swap market valuation	95,596	1,061,420
Contributions for long-term investments	(1,234,421)	(1,273,778)
Change in current assets	(1,908,711)	(46,824)
Change in current liabilities	8,637,259	4,470,879
Net cash provided by operating activities	20,045,659	11,389,681
Cash flows from investing activities:		
Purchase of equipment and building improvements	(8,983,747)	(9,008,091)
Proceeds from sales of property and equipment	21,773	341,519
Purchase of investments	(37,360,934)	(14,875,928)
Proceeds from sale of investments	24,306,865	3,685,298
(Increase) decrease in long-term student loans receivable, net	80,890	49,549
Net cash used in investing activities	(21,935,153)	(19,807,653)
Cash flows from financing activities:		
Payments on long-term debt	(3,025,000)	(1,710,000)
Amortization of premium on debt	(17,405)	(17,405)
Decrease in deposits with trustees	3,387,743	8,013,504
Decrease in government grants refundable advances	(54,678)	(63,728)
Contributions for long-term investments	1,234,421	1,273,778
Net cash provided by financing activities	1,525,081	7,496,149
Net decrease in cash and cash equivalents	(364,413)	(921,823)
Cash and cash equivalents at beginning of year	609,835	1,531,658
Cash and cash equivalents at end of year	\$ 245,422	\$ 609,835
Supplemental disclosure:		
Interest paid	\$ 2,284,783	\$ 2,015,901

See accompanying notes to financial statements.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (1) Background

Southern New Hampshire University (the "University") is a private, coeducational institution. Enrollment consists of approximately 2,000 students in the day school; 11,000 enrollments in the graduate school; 10,000 enrollments in the division of continuing education; and 25,000 enrollments in distance education. The University offers associate's degrees in culinary arts and several business-related fields. Bachelor of Science and Arts degrees are offered in twenty areas of business, education, and liberal arts study. Master's degrees are offered in business administration, accounting, business education, international business, computer information systems, community economic development, fine arts, and elementary education. Doctoral degrees are offered as a Ph.D. in Community Economics Development and a DBA in International Business.

The University participates in student financial aid programs sponsored by the United States Department of Education which facilitate the payment of tuition and other expenses for students. Such programs are subject to audit by the funders or their representatives.

### (2) Summary of Significant Accounting Policies

#### (a) Basis of Statement Presentation

The accompanying financial statements, which are presented on the accrual basis of accounting, have been prepared to focus on the University as a whole and to present balances and transactions according to the existence or absence of donor-imposed restrictions. Accordingly, net assets and changes therein are classified as follows:

**Permanently Restricted Net Assets** – Net assets subject to donor-imposed stipulations that they be maintained permanently by the University. Generally, the donors of these assets permit the University to use all or part of the income earned and capital gains, if any, on related investments for general or specific purposes. Any unexpended appreciation on permanently restricted net assets is included in temporarily restricted net assets.

**Temporarily Restricted Net Assets** – Net assets subject to donor-imposed and/or statutory stipulations that may or will be met by actions of the University and/or the passage of time.

**Board Designated Net Assets** – Net assets subject to Trustee-imposed stipulations.

**Unrestricted Net Assets** – Net assets not subject to donor or Trustee-imposed stipulations.

Revenues are reported as increases in unrestricted net assets unless use of the related assets is limited by donor-imposed restrictions. Expenses are reported as decreases in unrestricted net assets. Expirations of temporary restrictions on net assets, that is, accomplishment of the donor-imposed stipulated purpose and/or elapse of the stipulated time period, are reported as net assets released from restriction.

Contributions, including unconditional promises to give, are recognized as revenues in the period verifiably committed. Contributions subject to donor-imposed stipulations that are met in the same reporting period are reported as unrestricted support. Promises to give that are scheduled to be received after the balance sheet date that do not include permanent restrictions, are shown as increases in temporarily restricted net assets and are reclassified to unrestricted net assets when the purpose or time restrictions are met. Promises to give subject to donor-imposed stipulations that the corpus be maintained permanently are recognized as increases in permanently restricted net assets.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

Conditional promises to give are not recognized until they become unconditional, that is, when the conditions on which they depend are substantially met.

The University reports contributions of land, buildings, or equipment as unrestricted support unless the donor places restrictions on their use. Contributions of cash or other assets that must be used to acquire long-lived assets are reported as unrestricted support provided the long-lived assets are placed in service in the same reporting period; otherwise, the contributions are reported as temporarily restricted support until the assets are acquired and placed in service.

Dividends, interest, and net gains (losses) on investments are reported as follows:

- as increases in permanently restricted net assets if the terms of the gift require that they be added to the principal of a permanent endowment fund;
- as increases in temporarily restricted net assets if the terms of the gift or state law imposes restrictions on the current use of the income or net gains or unrealized gains on permanently restricted funds; and
- as increases in unrestricted net assets in all other cases.

**(b) Contributions Receivable**

Unconditional promises to give are recorded at fair value when initially pledged. Initial recording for pledges expected to be collected in one year or more is arrived at by discounting the pledge to its present value by a risk adjusted rate to account for the inherent risk associated with the expected future cash flows. Unconditional promises to give are periodically reviewed to estimate an allowance for doubtful collections. Management estimates the allowance by a review of historical experience and a specific review of collection trends that differ from plans on individual accounts. Conditional promises to give are not included as support until the conditions are substantially met.

**(c) Operations**

The Statement of Revenues, Expenses and Changes in Net Assets reports the change in net assets from operating and nonoperating activities. Operating revenues consist of those items attributable to the University's academic programs or research conducted by the academic departments. Unrealized gains and losses on investments and nonrecurring gains and losses pertaining to physical plant assets and long-term debt refinancing, including changes in value of the interest rate swap, permanently restricted contributions received and any realized and unrealized gains and losses pertaining to permanently restricted net assets are reported as nonoperating revenue.

Expenses associated with the operation and maintenance, debt interest, and depreciation of University plant assets are allocated on the basis of square footage utilized by the functional categories.

Expenses associated with fundraising activities of the University were \$1,220,960 and \$1,359,060 in 2011 and 2010, respectively, and are included in the general institutional category on the Statement of Revenues, Expenses and Changes in Net Assets. The amount of contributions received were \$2,030,382 and \$2,107,191 in 2011 and 2010, respectively.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

*(d) Cash and Cash Equivalents*

For the purpose of the Statement of Cash Flows, the University considers cash equivalents as ~~investments with maturities at date of purchase of three months or less. The University maintains~~ cash balances at financial institutions which, at times, may exceed federally insured limits. The University monitors its exposure associated with cash and cash equivalents and has not experienced any loss in such accounts.

*(e) Accounts Receivable*

Accounts receivable are carried at their net realizable value. Management estimates the allowance for doubtful accounts based on an aging of accounts. Recoveries of accounts receivable previously written off are recorded as revenue when received. Accounts receivable are considered past due if any portion of the receivable balance is outstanding for more than 90 days or the student no longer attends the institution.

*(f) Investments*

Investments are carried at fair value. Fair value is determined per the fair value policies described later in this section. Cash and cash equivalents held by investment managers is considered part of investments given the expectation of near term investment of such funds.

Interest, dividends, and net gains or losses on investments are reported as increases or decreases in permanently restricted net assets if the terms of the original gift require that they be applied to the principal of a permanent endowment fund; as increases or decreases in temporarily restricted net assets if the terms of the gift and/or relevant state law impose restrictions on the current use of the income or net gains and losses; and as increases or decreases in unrestricted net assets in all other cases.

*(g) Property and Equipment*

Constructed and purchased property and equipment are carried at cost. Long-lived fixed assets, with the exception of land, are depreciated using the straight-line method over their estimated useful lives, which range from three to fifty years. Costs of library books and periodicals are expensed in the year acquired.

*(h) Deposits with Trustees*

Deposits with Trustees use is limited pursuant to the University's bond agreements. These amounts are carried at fair value as described later in this section.

*(i) Student Deposits and Advance Payments*

Students' reservation deposits along with advance payments for tuition, room and board, and certain other revenues are deferred and recorded as revenue as they are earned.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

(j) *Student Loans Receivable and Refundable Advances*

The University makes uncollateralized loans to students based on financial need. Student loans are funded through Federal government loan programs or institutional resources. At June 30, 2011 and 2010, student loans represented 3.4% and 3.8% of total assets, respectively.

One such program is the Perkins Loan Program ("Perkins"). Perkins funds may be reloaned by the University after collection, but in the event that the University no longer participates in the Program, a portion of the amounts are generally refundable to the Federal government. Funds advanced by the Federal Government of \$3,086,771 and \$3,141,449 at June 30, 2011 and 2010, respectively, are classified as liabilities in the Statements of Financial Position. Perkins loans receivable are carried at their estimated net realizable value. Perkins loans receivable are considered past due if any portion of the receivable balance is outstanding for more than 90 days. Interest and late fees are recorded when received. Perkins loans that are in default and meet certain requirements can be assigned to the Department of Education, which reduces the Perkins refundable U.S. Government grants.

Included in student loans receivable are University funded loans of \$1,723,677 and \$1,489,366 at June 30, 2011 and 2010, respectively, which are carried at their net realizable value.

For all loans, management estimates the allowance for credit losses based on historical collection experience and current economic conditions which, in management's judgment, could influence the ability of loan recipients to repay the amounts per the loan terms. Institutional loan balances are written off only when they are deemed to be permanently uncollectible. Amounts due under the Perkins Loan Program are guaranteed by the Federal government and, therefore, no reserves are placed on any past due balances under the program.

(k) *Fair Value*

The University reports required types of assets and liabilities at fair value on a recurring and non recurring basis depending on the underlying accounting policy for that particular item. Assessing fair value measures include deposits with trustees, investments and interest rate swaps. Non recurring measures include pledges. These standards require an entity to maximize the use of observable inputs (such as quoted prices in active markets) and minimize the use of unobservable inputs (such as appraisals or valuation techniques) to determine fair value. In addition, the University reports certain investments using the net asset value per share as determined by investment managers under the so called "practical expedient". The practical expedient allows net asset value per share to represent fair value for reporting purposes when the criteria for using this method are met. Fair value standards also require the University to classify these financial instruments into a three-level hierarchy, based on the priority of inputs to the valuation technique or in accordance with net asset value practical expedient rules, which allow for either Level 2 or Level 3, depending on lock up and notice periods associated with the underlying funds.

Instruments measured and reported at fair value are classified and disclosed in one of the following categories:

Level 1 – Quoted prices are available in active markets for identical instruments as of the reporting date. Instruments which are generally included in this category include listed equity and debt securities publicly traded on a stock exchange.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

Level 2 – Pricing inputs are other than 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 2 also include investments reported at net asset value per share with lock up periods of 90 days or less.

Level 3 – Pricing inputs are unobservable for the instrument and include situations where there is little, if any, market activity for the instrument. The inputs into the determination of fair value require significant management judgment or estimation. Level 3 also includes investments reported at net asset value per share with lock up periods in excess of 90 days.

In some instances, the inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such instances, an instrument's level within the fair value hierarchy is based on the lowest level of input that is significant to the fair value measurement.

Market price is affected by a number of factors, including the type of instrument and the characteristics specific to the instrument. Instruments with readily available active quoted prices or for which fair value can be measured from actively quoted prices generally will have a higher degree of market price observability and a lesser degree of judgment used in measuring fair value. It is reasonably possible that changes in values of these instruments will occur in the near term and that such changes could materially affect amounts reported in these financial statements.

*(l) Use of Estimates*

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates. Significant management estimates included in the financial statements relate to the allowance for doubtful loans, contributions and accounts receivable, fair value of certain investments, fair value of interest rate swap contracts useful lives of depreciable assets, and the allocation of common expenses over program functions.

*(m) Obligation Under Interest Rate Swap Contract*

The University reports the value of its interest rate swap at fair value. Fair value is determined per the fair value policies as described later in this section.

*(n) Uncertain Tax Positions*

The University accounts for the effect of any uncertain tax positions based on a "more likely than not" threshold to the recognition of the tax positions being sustained based on the technical merits of the position under scrutiny by the applicable taxing authority. If a tax position or positions are deemed to result in uncertainties of those positions, the unrecognized tax benefit is estimated based on a "cumulative probability assessment" that aggregates the estimated tax liability for all uncertain tax positions. The University has identified its tax status as a tax-exempt entity as its only significant tax position; however, the University has determined that such tax position does not result in an uncertainty requiring recognition. The University is not currently under examination by any taxing jurisdictions. The University's Federal and state tax returns are generally open for examination for three years following the date filed.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

(o) *Tax Status*

The University is a tax-exempt University as described in Section 501(c)(3) of the Internal Revenue Code and is generally exempt from income taxes pursuant to Section 501(a) of the Code. Given the limited taxable activities of the University, management concluded that disclosures relative to tax provisions are not necessary.

(p) *Advertising*

Advertising and marketing costs are expensed as incurred and amounted to \$4,049,552 and \$1,685,584 for the years ended June 30, 2011 and 2010, respectively.

(q) *Functional Expense Allocation*

Costs have been allocated to functional classifications based on percentage of effort, usage, square footage, and other criteria.

(r) *Reclassification*

Certain reclassifications have been made to the prior year financial statements in order to conform with the current year presentation.

(s) *Subsequent Events*

The University has evaluated subsequent events through September 22, 2011, the date that the financial statements were issued.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (3) Investments

The University's investments are summarized as follows at June 30:

	Fair-value	
	2011	2010
Short-term investments:		
Money market funds	\$ 4,541,320	\$ 4,592,549
Repurchase agreements	17,187,975	16,329,284
Certificates of deposit	5,450,226	5,130,059
Total short-term investments	27,179,521	26,051,892
Long-term investments:		
Stocks	46,245	51,431
Corporate bonds	32,191	-
Government bonds	-	3,319,165
Money market funds	3,375,500	2,215,905
Mutual funds	22,596,343	11,741,898
Global equity funds	2,973,304	-
Global fixed income funds	2,114,420	1,333,721
Inflation-hedging funds	8,824,554	4,906,038
Hedged equity/flexible capital funds	7,392,373	4,741,333
Private equity funds	348,217	197,359
Total long-term investments	47,703,147	28,506,850
Total investments	\$ 74,882,668	\$ 54,558,742

The following is the return on investments for the years ended June 30, 2011 and 2010:

	2011	2010
Dividends and interest	\$ 1,285,792	\$ 1,007,737
Investment management fees	(134,114)	(284,610)
Net gain on sale of investments	1,071,769	495,717
Unrealized gain on investments	4,535,679	637,216
Total return/(loss) on investments	\$ 6,759,126	\$ 1,856,060

#### *Wind Hedge*

The University has invested in an energy hedge to offset electrical expenses. The hedge is tied to natural gas rates as traded on the commodities market. Costs are expensed as incurred and amounted to \$509,025 and \$520,528 for the years ended June 30, 2011 and 2010, respectively.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (4) Disclosure About Fair Value of Financial Instruments

The valuation of the University's financial assets and liabilities by the above fair value hierarchy consisted of the following at June 30, 2011:

	Portion Carried at Fair Value	Quoted Prices in Active Markets Level 1	Significant Observable Inputs Level 2	Significant Unobservable Inputs Level 3
<b>Assets:</b>				
Deposits with trustees	\$ 5,787,795	\$ 5,787,795	\$ -	\$ -
<b>Short-term investments:</b>				
Money market funds	4,541,320	4,541,320	-	-
Repurchase agreements	17,187,975	17,187,975	-	-
Certificates of deposit	5,450,226	5,450,226	-	-
<b>Long-term investments:</b>				
Stocks	46,245	46,245	-	-
Corporate bonds	32,191	32,191	-	-
Money market funds	3,375,500	3,375,500	-	-
Mutual funds	22,596,343	22,596,343	-	-
Global equity funds	2,973,304	-	2,973,304	-
Global fixed income funds	2,114,420	-	2,114,420	-
Inflation-hedging funds	8,824,554	-	8,824,554	-
Hedged equity/flexible capital funds	7,392,373	-	7,392,373	-
Private equity funds	348,217	-	-	348,217
<b>Total assets at fair value</b>	<b>\$ 80,670,463</b>	<b>\$ 59,017,595</b>	<b>\$ 21,304,651</b>	<b>\$ 348,217</b>
Interest rate swap	\$ (1,238,463)	\$ -	\$ (1,238,463)	\$ -
<b>Total liabilities at fair value</b>	<b>\$ (1,238,463)</b>	<b>\$ -</b>	<b>\$ (1,238,463)</b>	<b>\$ -</b>

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The valuation of the University's financial assets and liabilities by the above fair value hierarchy consisted of the following at June 30, 2010:

	Portion Carried at Fair Value	Quoted Prices in Active Markets Level 1	Significant Observable Inputs Level 2	Significant Unobservable Inputs Level 3
<b>Assets:</b>				
Deposits with trustees	\$ 9,175,538	\$ 9,175,538	\$ -	\$ -
<b>Short-term investments:</b>				
Money market funds	4,592,549	4,592,549	-	-
Certificates of deposit	5,130,059	5,130,059	-	-
Repurchase agreements	16,329,284	16,329,284	-	-
<b>Long-term investments:</b>				
Stocks	51,431	51,431	-	-
Government bonds	3,319,165	3,319,165	-	-
Money market funds	2,215,905	2,215,905	-	-
Mutual funds	11,741,898	11,741,898	-	-
Global fixed income funds	1,333,721	-	1,333,721	-
Inflation-hedging funds	4,906,038	-	4,906,038	-
Hedged equity/flexible capital funds	4,741,333	-	4,741,333	-
Private equity funds	197,359	-	-	197,359
<b>Total assets at fair value</b>	<b>\$ <u>63,734,280</u></b>	<b>\$ <u>52,555,829</u></b>	<b>\$ <u>10,981,092</u></b>	<b>\$ <u>197,359</u></b>
Interest rate swap	\$ (1,142,867)	\$ -	\$ (1,142,867)	\$ -
<b>Total liabilities at fair value</b>	<b>\$ <u>(1,142,867)</u></b>	<b>\$ <u>-</u></b>	<b>\$ <u>(1,142,867)</u></b>	<b>\$ <u>-</u></b>

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The changes in instruments measured at fair value for which the University has used Level 3 inputs to determine fair value are as follows:

	<u>Level 3</u>
<b>Balance, July 1, 2009</b>	<b>\$ 87,444</b>
Purchases	110,000
Sales	(27,000)
Realized and unrealized gains (losses)	26,915
<b>Balance, June 30, 2010</b>	<b>\$ 197,359</b>
Purchases	172,282
Sales	(37,992)
Realized and unrealized gains (losses)	16,568
<b>Balance, June 30, 2011</b>	<b>\$ 348,217</b>
Changes in unrealized gains (losses) included in earnings related to Level 3 investments still held June 30, 2011	<u>\$ 26,915</u>
Changes in unrealized gains (losses) included in earnings related to Level 3 investments still held June 30, 2010	<u>\$ 16,568</u>

***Fair Value Treatment***

Investments not considered Level 1 are categorized as Level 2 instruments when the University has the ability to redeem its investment in the entity at net asset value per share at year-end or within 90 days of year-end. Investments not considered Level 1 are categorized as Level 3 instruments when the University cannot redeem its investment within 90 days of year-end. A summary of the significant categories of such investments utilizing the net asset value practical expedient and their attributes are as follows:

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

	Fair Value	Unfunded Commitments	Redemption Frequency (if Currently Eligible)	Redemption Notice Period
Global equity funds	\$ 2,973,304	\$ -	Monthly	10 Days
Global fixed income funds	2,114,420	-	Daily/Monthly	15 Days
Inflation-hedging funds	8,824,554	-	Monthly	30 Days
Hedged equity/flexible capital funds	7,392,373	-	Quarterly/Annually	90 Days
Private equity funds	<u>348,217</u>	<u>2,949,268</u>	Liquidation of fund	N/A
	<u>\$ 21,652,868</u>	<u>\$ 2,949,268</u>		

**Global equity funds** – includes investments in funds of funds that invest in U.S. and international equity securities. The funds are designed to give the managers the flexibility to invest both domestic and internationally within their area of expertise. The redemption restriction period for these investments was ten days as of June 30, 2011.

**Global fixed income funds** – includes investments in funds of funds that invest in U.S. and international debt securities. The funds are designed to give the managers the flexibility to invest both long and short within their area of expertise. The redemption restriction period for these investments ranged from one to fifteen days at June 30, 2011.

**Inflation-hedging funds** – includes investments in various liquid assets, seeking strong relative performance in a rising inflationary environment. These underlying vehicles invest in energy equities, metals and mining equities, commodities, and inflation-protected core bonds. There is a monthly redemptive period on this investment.

**Hedged equity/flexible capital funds** – includes investments in hedge funds that invest both long and short primarily in U.S. common stocks. Management of the hedge funds has the ability to shift investments from value to growth strategies, from small to large capitalization stocks, and from a net long position to a net short position. Investments representing approximately 45% of the value of the investments in this category cannot be redeemed because the investments include restrictions that do not allow for redemption in the first twenty-four months after acquisition. Thereafter a 90-day notice period is required. The remaining restriction period for these investments was sixty days at June 30, 2011.

**Private equity funds** – includes investments in three private equity funds that invest primarily in U.S. technology, medical devices, and biotechnology companies. These investments can never be redeemed with the funds. Instead, the nature of the investments in this category is that distributions will be received as the underlying investments of the fund are liquidated. It is estimated that the underlying assets of the fund will be liquidated over the next five to seven years.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

As with most funds, under certain unsure circumstances, fund managers may restrict distributions to investors.

~~Management has assessed that fair value approximates carrying value for cash and cash equivalents, student accounts receivable and other receivables, and accounts payable given the short-term nature of these instruments. Management has no practical or cost effective way of determining fair value for loans receivable, contributions, and refundable advances. The fair value of bonds payable is noted in the table below. Management believes that this information is not meaningful to readers given the long-term commitments from the credit enhancing partner.~~

### *Bonds Payable*

Using discounted cash flow analysis, the University estimated fair value of its total indebtedness was approximately \$62,538,901 and \$64,702,762 at June 30, 2011 and 2010, respectively.

### *Interest Rate Swap*

The University uses the interest rate swap to manage interest rate risk exposure. The University's interest rate swap mitigates exposure to interest rate risk, primarily through converting portions of floating rate debt under the bond agreement to a fixed rate basis. This agreement involves the receipt or payment of floating rate amounts in exchange for fixed rate interest payments over the life of the agreement without an exchange of the underlying principal amounts. The University does not enter into derivative instruments for trading or speculative purposes.

The University's interest rate swap has been recorded as a liability in the Statements of Financial Position at fair value. Management determines the fair value of the interest rate swap using the assistance of a third-party expert. The value of the swap instrument represents the estimated cost to the University to cancel the agreements at the reporting date which is based on option pricing models that consider risks and market factors. Net payments or receipts under the swap agreement are included in the operating expense section and the change in fair value of the swap is included in the nonoperating section of the Statement of Revenues, Expenses and Changes in Net Assets.

As a result of the use of derivative instruments, the University is exposed to risk that the counterparties will fail to meet their contractual obligations. To mitigate the counterparty risk, the University only enters into contracts with selected major financial institutions based upon their credit ratings and other factors, and continually assesses the creditworthiness of counterparties. At June 30, 2011 and 2010, the counterparty to the University's interest rate swap had an investment grade rating. To date, the counterparty has performed in accordance with their contractual obligation.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The University had the following swap outstanding at June 30, 2011 and 2010:

<i>2011</i>				
<i>Notional Amount</i>	<i>Termination Date</i>	<i>Interest Rate Received</i>	<i>Interest Rate Paid</i>	<i>Fair Value</i>
\$ <u>32,730,000</u>	December 1, 2013	USD-LIBOR-BBA (.187%) x 1.5%	2.27%	\$ <u>1,238,463</u>
\$ <u>32,730,000</u>				\$ <u>1,238,463</u>
<i>2010</i>				
<i>Notional Amount</i>	<i>Termination Date</i>	<i>Interest Rate Received</i>	<i>Interest Rate Paid</i>	<i>Fair Value</i>
\$ <u>32,730,000</u>	December 1, 2013	USD-LIBOR-BBA (.348%) x 1.5%	2.27%	\$ <u>1,142,867</u>
\$ <u>32,730,000</u>				\$ <u>1,142,867</u>

Net realized and unrealized gain (loss) on the interest rate swap were the following for the years ended June 30, 2011 and 2010:

	<u>2011</u>	<u>2010</u>
Realized loss (interest paid more than interest received)	\$ (644,317)	\$ (646,599)
Unrealized loss	<u>(95,596)</u>	<u>(1,061,420)</u>
Net loss on interest rate swap	<u>\$ (739,913)</u>	<u>\$ (1,708,019)</u>

***Derivative Instruments***

Certain of the University's derivative instruments contain provisions that require the University or the counterparty's debt to maintain an investment grade credit rating from each of the major credit rating agencies. If the University's debt were to fall below investment grade, it would be in violation of those provisions, and the counterparties to the derivative instruments could request immediate payment or demand immediate and ongoing full overnight collateralization on derivative instruments in net liability positions. The University had no derivative instruments with credit-risk related contingent features that are in a liability position on June 30, 2011 and 2010.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

June 30, 2011 and 2010

**(4) Contributions Receivable**

Contributions receivable are summarized as follows at June 30:

	2011	2010
Unconditional promises expected to be collected in:		
Less than one year	\$ 5,750	\$ 5,150
One year to five years	39,500	234,700
Thereafter	-	-
	45,250	239,850
Less allowance for uncollectibles	(1,437)	(59,962)
Less discount to present value	(1,881)	(3,047)
Contributions receivable	\$ 41,932	\$ 176,841

**(5) Accounts and Loans Receivable**

Accounts and loans receivable are presented net of the following allowances for doubtful accounts:

	2011	2010
Student accounts receivable	\$ 1,150,000	\$ 575,000
Student loans receivable	300,000	300,000
Total	\$ 1,450,000	\$ 875,000

The allowances for the Perkins and student loans were collectively evaluated for impairment.

***Financing Receivables***

Student loans receivable consist of the following at June 30:

	30-60 Days Past Due	60-90 Days Past Due	Greater than 90 Days Past Due	Total Past Due	Current	Total Financing Receivable
<b>June 30, 2011</b>						
Perkins Loans	\$ 226,591	\$ 43,154	\$ 517,946	\$ 787,691	\$ 3,216,483	\$ 4,004,174
Total	\$ 226,591	\$ 43,154	\$ 517,946	\$ 787,691	\$ 3,216,483	\$ 4,004,174
<b>June 30, 2010</b>						
Perkins Loans	\$ 33,040	\$ 72,262	\$ 567,869	\$ 673,171	\$ 3,411,893	\$ 4,085,064
Total	\$ 33,040	\$ 72,262	\$ 567,869	\$ 673,171	\$ 3,411,893	\$ 4,085,064

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The Federal Government and the University share these loans on a 75/25 split and they are guaranteed by the U.S. Government. Therefore, no reserves are placed on any past due balances under the program.

**(6) Property and Equipment**

Property and equipment at June 30, 2011 and 2010 are comprised of the following:

	<b>2011</b>	<b>2010</b>
Land	\$ 6,841,680	\$ 6,841,680
Land improvement	2,947,671	2,419,212
Buildings and leasehold improvements	83,084,799	81,199,781
Furniture and equipment	16,884,735	16,698,246
Motor vehicles	695,518	712,245
Construction in process	4,637,682	-
Total	115,092,085	107,871,164
Less accumulated depreciation	(39,158,225)	(36,829,525)
Net property and equipment	\$ 75,933,860	\$ 71,041,639

The University recorded depreciation expense of \$3,934,033 and \$3,714,420 for the years ended June 30, 2011 and 2010, respectively. Net interest in the amount of \$-0- and \$12,659 was capitalized to construction in progress for the years ended June 30, 2011 and 2010, respectively.

During 2010, the University sold its Laconia building for gross proceeds of \$370,000 and a gain of approximately \$136,000.

**(7) Deposits with Trustees**

Deposits with Trustees at June 30 are comprised of the following and are invested in Treasury securities which are considered to be Level 1 for the purpose of fair value disclosures:

	<b>2011</b>	<b>2010</b>
Construction funds	\$ 758,911	\$ 3,952,599
Debt service reserves	3,497,683	3,479,169
Debt service payments	1,531,201	1,743,770
	\$ 5,787,795	\$ 9,175,538

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

**(8) Notes and Bonds Payable**

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

	<u>2011</u>	<u>2010</u>
Bonds payable:		
Dormitory and Dining Facilities, Construction, and Consolidation Bonds of 1972 payable to the Department of Housing and Urban Development due serially to 2012 with interest at 3%. Certain dormitory buildings, the cafeteria and student center are pledged as collateral.	\$ 50,000	\$ 100,000
Fixed Rate Revenue Bonds issued May 2000 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2031; weighted average rate of 7.35%	-	1,570,000
Fixed Rate Revenue Bonds issued September 2003 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2034; weighted average rate of 5.84%	6,365,000	6,570,000
Fixed Rate Revenue Bonds issued June 2005 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2036; weighted average rate of 5.10%	17,615,000	17,925,000
Fixed Rate Revenue Bonds issued July 2006 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2027; weighted average rate of 4.52%	7,510,000	7,875,000
Variable Rate Revenue Bonds issued December 2008 to the New Hampshire Health and Education Facilities Authority with monthly installments of principal and interest until 2039; interest rate tied to USD-SIFMA-Municipal Swap Index (rate was 0.09% and 0.26% as of 2011 and 2010, respectively)	<u>31,695,000</u>	<u>32,220,000</u>
Total bonds payable	63,235,000	66,260,000
Premiums paid on bonds:		
Premium on 2005 and 2006 Issues	<u>334,192</u>	<u>351,597</u>
Total notes and bonds payable and premium	<u>\$ 63,569,192</u>	<u>\$ 66,611,597</u>

On January 1, 2011 the University called the remaining \$1,300,000 of its 2000 Bond Series Issue at a price of 101% or \$1,313,000. The \$270,000 principal payment due on the 2000 Bond Series Issue had previously been paid by the University during the 2011 fiscal year. The call resulted in an expense of \$49,266.

In December 2008, the University issued Series 2008 bonds for \$32,730,000. Some of the proceeds were used to advance refund portions of the Series 2003 and 2005 bonds. The advanced refunding resulted in a gain of \$4,594,579 and the write off of prior issuance costs of \$923,802.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

Payments on the 2008 bond issue are guaranteed under a direct pay letter of credit issued by TD Bank. ~~The letter of credit expires on December 17, 2013, at which time it must be renewed. The University is~~ obligated under a reimbursement agreement with the bank to repay any drawings under the letter of credit. Under the terms of the reimbursement agreement, the University is subject to certain restrictive covenants involving financial results, additional indebtedness, and the maintenance of certain financial ratios. In conjunction with the 2000, 2003, 2005, 2006 and 2008 bond issuances, the University is required to maintain certain financial ratios and is in compliance with these requirements at June 30, 2011 and 2010.

Scheduled aggregate principal repayments of notes and bonds payable outstanding at June 30, 2011 are as follows:

Fiscal year ending June 30:	
2012	\$ 1,505,000
2013	1,505,000
2014	1,560,000
2015	1,115,000
2016	785,000
Thereafter	<u>56,765,000</u>
Total	<u>\$ 63,235,000</u>

The University has a \$1,000,000 unsecured revolving line of credit. No borrowings were outstanding at any time during the years ended June 30, 2011 or 2010. Advances on the line of credit bear interest at the one month London Interbank Offering Rate (LIBOR) plus 1.5% (1.686% and 1.847% at June 30, 2011 and 2010, respectively).

**(9) Temporarily Restricted Net Assets**

Temporarily restricted net assets consist of the following at June 30:

	<b>2011</b>	<b>2010</b>
Purpose restrictions:		
Financial aid	\$ 1,882,194	\$ 1,741,082
Instructional	1,092,717	1,094,024
Building	<u>692,342</u>	<u>484,477</u>
	3,667,253	3,319,583
Unappropriated unrealized gains on investments	1,625,694	617,938
Time restrictions:		
Financial aid	<u>41,932</u>	<u>176,841</u>
	<u>\$ 5,334,879</u>	<u>\$ 4,114,362</u>

Unspent endowment gains and income are classified as temporarily restricted until the University appropriates and spends such sums in accordance with the terms of the underlying endowment and relevant State law, at which time they will be reclassified to unrestricted revenues.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

**(10) Permanently Restricted Net Assets**

Permanently restricted net assets consist of the following at June 30:

	<b>2011</b>	<b>2010</b>
Endowment funds for:		
Academic support	\$ 411,955	\$ 405,235
Financial aid	10,712,140	9,474,739
	\$ 11,124,095	\$ 9,879,974

**(11) Net Assets Released from Restrictions**

Net assets released from temporary donor restrictions were as follows for the years ended June 30:

	<b>2011</b>	<b>2010</b>
Purpose restrictions:		
Student aid and other	\$ 572,441	\$ 671,384

**(12) Retirement Plan and Trust**

The University has a defined contribution retirement plan (the Plan) covering substantially all full-time employees. The Master Agreement between the University and its professional employees provides for a Plan contribution by the University equal to 9% of base salary. Total pension expense attributable to the Plan was \$2,873,755 and \$2,652,039 in 2011 and 2010, respectively. Total employer contributions to the Trust were \$2,601,298 and \$2,472,519 for August 31, 2010 and 2009, respectively.

Contributions are fully vested after attainment of more than three years of 1,000 or more hours of service per year by the participant. Normal retirement age is 55 years old.

**(13) Deferred Compensation**

Effective December 2002, the University has offered a deferred compensation plan under which eligible employees may elect to defer a portion of their annual compensation for payment in future periods. Under the plan, deferred wages are payable at the participant's election at a date certain, or at times of unforeseeable emergency, or at termination of the participant's employment with the University. Participation in the plan is limited to a select group of management and highly compensated employees.

Assets of the plan are recorded at fair value and were \$352,205 and \$246,264 at June 30, 2011 and 2010, respectively, consisting primarily of investments in mutual fund securities. An offsetting liability has been recorded for these amounts in the accounts payable and accrued expenses financial statement line item.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

### (14) Operating Leases

The University leases certain classrooms and office space under various lease agreements which expire at various dates through September 2021. The leases generally require that the University pay for insurance, maintenance, and certain other operating expenses, and provide for rent adjustments in the event of changes in real estate taxes. Rent expense under operating leases was \$1,636,132 and \$1,593,240 in 2011 and 2010, respectively.

Scheduled future minimum rental payments under operating leases as of June 30, 2011 are as follows:

2012	\$	1,133,575
2013		1,170,411
2014		935,460
2015		882,416
2016		641,252
Thereafter		1,927,223

### (15) Food Service Contract

The University entered into a ten (10) year agreement with Sodexo to operate the University's food operations starting August 1, 2008. As part of the contract, the University received \$4,000,000 to assist the University in financing improvements at the discretion of the University in the food service operation. The \$4,000,000 will be received in three payments each of which will be amortized over the remaining life of the contract. In the event that the contract is terminated, all outstanding amounts owed to Sodexo shall become due and payable immediately upon notification of termination by the University. Under the agreement, the University retains ownership of all buildings and equipment. The University will receive commissions on a percentage of sales basis. The University provides an annual \$500,000 deposit to Sodexo for their operating cash needs in June thru August as a revolving deposit in which is included in student deposits and advanced payments on the Statements of Financial Position. Included in student deposits and advance payments is a liability associated with the deposits received from Sodexo that are being amortized over the life of the agreement.

### (16) Commitments and Contingencies

The University is engaged in routine civil litigation, including employment, personal injury, and other claims. Management does not expect any of these matters to have a materially adverse effect on the University.

The University has a collective bargaining agreement for certain faculty and staff that was renegotiated during the 2011 fiscal year until June 2015.

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

**(17) Net Asset and Endowment Matters**

The following represents required disclosure relative to the composition and activities of endowment and funds functioning as endowment for the year ended June 30, 2011:

	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ 2,829,671	\$ 11,124,095	\$ 13,953,766
Accumulated unspent unrealized gains and losses	<u>1,625,694</u>	<u>-</u>	<u>1,625,694</u>
<b>Total funds</b>	<b><u>\$ 4,455,365</u></b>	<b><u>\$ 11,124,095</u></b>	<b><u>\$ 15,579,460</u></b>

The following represents required disclosure relative to the composition and activities of endowment and funds functioning as endowment for the year ended June 30, 2010:

	Temporarily Restricted	Permanently Restricted	Total
Donor-restricted endowment funds	\$ 2,862,155	\$ 9,879,974	\$ 12,742,129
Accumulated unspent unrealized gains and losses	<u>617,938</u>	<u>-</u>	<u>617,938</u>
<b>Total funds</b>	<b><u>\$ 3,480,093</u></b>	<b><u>\$ 9,879,974</u></b>	<b><u>\$ 13,360,067</u></b>

***Endowment***

The University's endowment consists of approximately 90 individual funds established for a variety of purposes. Its endowment includes only donor-restricted endowment funds. As required by U.S. generally accepted accounting principles, net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

***Interpretation of Relevant Law and Spending Policy***

The Board of Trustees of the University has interpreted the Uniform Prudent Management of Institutional Funds Act (UPMIFA), effective for fiscal year ended June 30, 2009, and thereafter, requiring the preservation of the original value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the University classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original gift value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as

# SOUTHERN NEW HAMPSHIRE UNIVERSITY

## Notes to Financial Statements

June 30, 2011 and 2010

temporarily restricted net assets as defined by donor restrictions or until those amounts are appropriated for expenditure by the University in a manner consistent with the standard of prudence prescribed by UPMIFA. In accordance with UPMIFA, the University considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

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

Distributions from long-term investments are made using the total return method. Under the total return method, distributions consist of interest, dividends, and realized and unrealized gains. The Board of Trustees has approved spending of \$587,052 in 2011 and 2010. At such a time in the future that the three year rolling average of the permanently restricted funds plus the accumulated earnings thereon based on a 4% rate exceeds this amount, higher spending will be authorized. Spending approved for 2012 is expected to be \$587,052. The University has adopted this spending policy in order to protect the inviolate nature of the original corpus of gifts as well as to preserve the purchasing power of these funds into the future.

### *Funds with Deficiencies*

From time to time, the fair value of assets associated with the individual donor-restricted endowment funds may fall below the level that the donor requires the University to retain as a fund of perpetual duration. In accordance with U.S. generally accepted accounting principles, deficiencies of this nature that are reported in temporarily restricted are \$20,859 as of June 30, 2011. These deficiencies resulted from unfavorable market fluctuations that occurred shortly after the investment of new permanently restricted contributions. There were \$12,821 in deficiencies as of June 30, 2010.

### *Return Objectives and Risk Parameters*

The University's investment portfolio is managed to provide for the long-term support of the University. Accordingly, these funds are managed with disciplined longer-term investment objectives and strategies designed to meet cash flow and spending requirements. Management of the assets is designed to attain the maximum total return consistent with acceptable and agreed upon levels of risk. It is the goal of the aggregate long-term investments to generate a long-term target rate of return of at least 8.8%, which would meet the annual spending rate (\$587,052), provide for inflation and fees and provide for real growth.

### *Strategies for Achieving Investment Objectives*

To satisfy its long-term rate-of-return objectives, the University relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The University targets an asset allocation strategy wherein assets are diversified among several asset classes. The pursuit of maximizing total return is tempered by the need to minimize the volatility of returns and preserve capital. As such, the University seeks broad diversification among assets having different characteristics with the intent to endure lower relative performance in strong markets in exchange for greater downside protection in weak markets.

**SOUTHERN NEW HAMPSHIRE UNIVERSITY**

**Notes to Financial Statements**

**June 30, 2011 and 2010**

The following represents required disclosure relative to the composition of funds held as endowments at June 30, 2011 and 2010. This is a partial list of the University's investments and will not equal the total investments on the Statements of Financial Position.

	Temporarily Restricted Net Assets	Permanently Restricted Net Assets	Total
<b>Endowment at June 30, 2009</b>	<b>\$ 1,561,369</b>	<b>\$ 8,522,443</b>	<b>\$ 10,083,812</b>
Gifts and additions	<u>143,112</u>	<u>1,273,778</u>	<u>1,416,890</u>
Investment returns:			
Interest and dividends	42,833	774	43,607
Net realized and unrealized gains (losses)	<u>1,700,815</u>	<u>49,126</u>	<u>1,749,941</u>
Total investment returns	<u>1,743,648</u>	<u>49,900</u>	<u>1,793,548</u>
Expenditures:			
Amounts appropriated for operations	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Total expenditures	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Change in investments	<u>1,299,708</u>	<u>1,323,678</u>	<u>2,623,386</u>
Reclassifications:			
Reclassification of net assets	<u>619,016</u>	<u>33,853</u>	<u>652,869</u>
<b>Endowment at June 30, 2010</b>	<b>\$ 3,480,093</b>	<b>\$ 9,879,974</b>	<b>\$ 13,360,067</b>
Gifts and additions	<u>114,429</u>	<u>1,234,421</u>	<u>1,348,850</u>
Investment returns:			
Interest and dividends	142,017	713	142,730
Net realized and unrealized gains (losses)	<u>1,305,878</u>	<u>8,987</u>	<u>1,314,865</u>
Total investment returns	<u>1,447,895</u>	<u>9,700</u>	<u>1,457,595</u>
Expenditures:			
Amounts appropriated for operations	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Total expenditures	<u>(587,052)</u>	<u>-</u>	<u>(587,052)</u>
Change in investments	<u>975,272</u>	<u>1,244,121</u>	<u>2,219,393</u>
<b>Endowment at June 30, 2011</b>	<b>\$ 4,455,365</b>	<b>\$ 11,124,095</b>	<b>\$ 15,579,460</b>

**Annamarie T. Cioffari, Ph.D.**  
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#### **EDUCATIONAL HISTORY:**

<u>Institution</u>	<u>Year</u>	<u>Degree</u>	<u>Major</u>
Univ. of Vermont	1987	Ph.D.	Psychology, specialty in Development Disabilities
Boston University	1986	Certificate	Psychiatric Rehabilitation Trainer
Univ. of Vermont	1980	M.A.	Psychology
Univ. of Bridgeport	1976	B.A.	Psychology, English minor

#### **PROFESSIONAL EXPERIENCE:**

**2002- present**      **Director, Southern New Hampshire University (SNHU), Program in Community Mental Health.** Direct a graduate program in community mental health, which offers specializations in clinical services for: adults with serious mental illnesses; children and adolescents with serious emotional disturbances and their families, and people with co-occurring substance abuse and psychiatric disabilities. Responsible for: program leadership, program and curriculum development, budget and enrollment management, faculty recruitment, faculty and staff supervision, oversight of operations, liaison for accreditation and licensure .

**1999-2002**      **Co Director, Program in Community Mental Health (PCMH).** Please note: PCMH was initially affiliated with Trinity College of VT, transitioning to SNHU with Trinity's closure in May, 2001). Co-direct a graduate program in community mental health, which offers specializations in clinical services for: adults with serious mental illnesses; children and adolescents with serious emotional disturbances and their families, and people with co-occurring substance abuse and psychiatric disabilities. Shared responsibility with co-director for: program leadership and development; strategic planning; and implementing transition to SNHU. Primarily responsible for curriculum development; faculty recruitment and supervision; and external relations, including acting as liaison for accreditation and licensure.

**Annamarie T. Cloffari, Ph.D.**

**Vita**

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- 1995 – 1999**      **Academic Director, Trinity College of Vermont, Program in Community Mental Health.** See program description above. Held primary responsibility for ongoing curricular and program development, faculty recruitment and faculty supervision.
- 
- 1992 – 1997**      **Director of Higher Education Initiatives, Center for Community Change, Trinity College of VT.** Director of training and technical assistance activities focused on workforce development in the field of mental health. Staffed a project which involved all major stakeholders in the Vermont mental health system in developing a comprehensive plan for improving Vermont's mental health workforce. Responsibilities included developing linkages with higher education institutions in Vermont, developing competencies for staff working with adults with psychiatric disabilities or with children and adolescents experiencing a serious emotional disturbance, and their families, and designing a variety of training initiatives to address the competencies.
- Through a contract with the VT Division of Mental Health, acted as Interim Children's Program Coordinator with the Child, Adolescent and Family Unit.
- 1989 - 1992**      **Director of Higher Education Initiatives, Center for Community Change, University of Vermont, Psychology Department.** Director of a project intended to improve and increase the availability of pre and in-service training for people who work in community settings with adults who have psychiatric disabilities and children/adolescents experiencing a severe emotional disturbance and their families. Worked with all mental health constituencies (service providers, advocacy organizations, current and former service recipients and their families, state agencies, academics from many disciplines) in designing training and other staff development activities.
- 1982 - 1989**      **Psychosocial Rehabilitation Training Project Coordinator, University of Vermont, Psychology Department.** Coordinator of a grant from the Vermont Division of Mental Health. Similar in activities to those described above, the goals of the project were to coordinate and/or develop training resources for Community Mental Health Agency (CMHA) and hospital staff working with people with psychiatric disabilities.

**OTHER PROFESSIONAL EXPERIENCE:**

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- 1987 - 1989      **Bakeman Commission, Howard Mental Health Services.** Filled in, as requested, as a part-time facilitator for the Bakeman Commission, a group of citizens, professionals and family members recommending service system and other social changes to improve the quality of life for people with developmental disabilities.
- 1984 - 1985      **Family Education Group, Howard Mental Health Services.** Assisted in a family education and support group for families of people diagnosed with serious mental illnesses.

**TEACHING EXPERIENCE:**

- 2001 - present      **Associate Professor, Southern New Hampshire University.**  
Teach PCMH Orientation. Develop and teach overview/policy course in Behavioral Health Services. Teach Master's Project course. Oversee PCMH curriculum development
- 1992 - 2001      **Assistant Professor, Trinity College, Basic and Applied Social Sciences Department.** Develop and teach courses in the area of community mental health in general and on community support service approaches for adults with serious mental illnesses; helped develop and teach PCMH 600/Overview of Community Mental Health and the Final Project course for students completing their Master of Science degree in Community Mental Health.
- 1987 - 1993      **Clinical Assistant Professor, University of Vermont Department of Psychology.** (Also, Clinical Instructor from 1982 - 1987). Developed and taught courses in: community mental health; understanding the experience of serious mental illness; community-based approaches to working with adults with serious mental illnesses; rehabilitation; career and education planning for adults with psychiatric disabilities.

**OTHER TEACHING EXPERIENCE:**

**Adjunct Faculty, St. Michael's College, PREVEL School.** Taught the Graduate Psychology Research Seminar, designed to assist Master's level students in completing their Major Paper or Thesis. Instructor also serves as major advisor and/or Masters committee chair.

**Instructor, Adelphi University, VT, MSW program.** Taught an introduction to research and statistics in the social sciences and their relevance to clinical practice for graduate level social work students.

**Graduate Teaching Assistant, UVM, Psychology.** Taught General Psychology (Psychology 1) for evening students; lectured in Psychology 1 and organized a testing center for 400-800 students taking this as an individualized, mastery based course; selected, supervised, and developed training for student proctors.

**GRADUATE INTERNSHIP EXPERIENCE:**

- 1981 - 1982** Vermont Department of Mental Health, Research Assistant. Research assistant in the Planning and Evaluation Division.
- 1980 - 1981** UVM, Center for Developmental Disabilities, Research Assistant. Worked on the "School and Community Integration Project," part of a federal grant to foster school integration, transition to adult services, and increased use of community services for persons with developmental disabilities in central Vermont. Responsibilities included: development of pilot year intervention for social integration for school-age students, consultation on the evaluation design for the project, coordination activities for a community task force on integration strategies.
- 1978 - 1980** UVM, Psychology Dept, Distributive Clinical Internship. Worked with the Residential Managers Training Project. Assisted in developing and running statewide and regional workshops for group home and community mental health staff serving people with developmental disabilities. Training and consultation in: normalization, behavior management, and individualized program planning.

### CONFERENCES AND INSTITUTES:

Following are some examples of conferences and other training activities I have helped to organize:

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- **New Horizons In Mental Health.** Five colloquia on new and emerging areas of practice & research which have the potential to affect the lives of people with psychiatric disabilities (1997).
  - **Recovery Conference.** A one day series of workshops on the newest information and approaches to facilitating recovery for adults diagnosed with serious mental illnesses (1996).
  - **Supervisory Training.** A series of trainings for new supervisors in developmental and mental health services, organized jointly with the Division of Developmental Services and the Vermont Council of Community Mental Health Services (1996 & 1997).

As part of the Psychosocial Rehabilitation Training Project:

- **Case Management, Training of Trainers.** Two-day conferences for case managers and supervisors whose responsibilities included training new case managers at the 10 CMHAs in Vermont and at VSH. Included the beginning of a design to evaluate outcomes of new case management services in Vermont.
- **Dual Diagnosis: Working with People with Mental Illness and Substance Abuse Problems.** One day, statewide workshop.
- **Fulfilling the Vision: Community Integration for Adults with Mental Illness.** Eight meetings, open to the public, introducing new initiatives in the Vermont mental health system, national perspectives and new research in the field.
- **Vermont Conference on Community Rehabilitation.** Three-day conference jointly sponsored with Vermont Department of Mental Health and Vocational Rehabilitation.
- **Department of Labor, Issues for Mental Health: I and II.**
- **Project Engage<sup>R</sup> Workshop.** An introduction to Family Education.
- **Family Education Workshop: I and II**
- **Consumer Support and Advocacy Conferences: I and II**

Annamarie T. Cioffari, Ph.D.

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#### CONFERENCES AND INSTITUTES (cont.):

- ~~Introduction to Rehabilitation. A three day conference for mental health workers~~
- Residential Services Workshop
- Hutchings Psychiatric Institute Workshop. Introduction to a comprehensive community support program.
- International Rehabilitation: Day conferences with presenters from Sweden and Israel.

#### ORGANIZATIONS:

Vermont Protection and Advocacy Board & Mental Health Advisory Council (until 1991)

Vermont Citizen Advocacy - advocate (1981 - present)

Vermont Association for Mental Health

Flynn Center for the Performing Arts, Education Committee (2008-present)

**Dissertation:** "Nonhandicapped Children's Attitudes and Actions Towards Severely Handicapped Children in Their School."

**Masters Thesis:** "An Investigation of Strategy Transfer with Mildly Retarded Women."

#### PAPERS:

Cioffari, A.T., Copeland, R.E., Burehard, J.D., & Carling P.J. (1992). Creating a competent workforce: The role of a psychology department in promoting multidisciplinary public-academic linkages and human resource development in Vermont. In P. Wohlford (Ed.), *Public-academic linkages for clinical training in psychology* (Chapter 23). Washington, D.C.: NIMH.

Cioffari, A., Blanch, A.K., Wilson, S.F., Carling, P.J., & Pierce, J.E. (1988). Building a vision of community support: A collaborative colloquium series. In J. D. Moore & A. M. Sanchez (Eds.), *Innovation in collaboration: Vignettes of state/university collaboration to improve mental health Systems* (pp. 79-88). Boulder, CO: Western Interstate Commission for Higher Education.

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**PAPERS:**

Cioffari, A., Sbardellati, E. and Fox, W. (1981, May). *Integration of the severely handicapped: Development, implementation, and evaluation of a systems change plan to provide quality services to severely handicapped learners.* Paper presented at the annual conference of the American Association on Mental Deficiency.

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Widrick, G., Burchard, S. and Cioffari, A. (1980, July). *Training community mental health workers in Vermont as service providers to persons with retarded development.* Paper presented at the conference on rural issues of the National Institute of Social Workers, Burlington, VT.

Burchard, S.N., Hasazi, J.E., Kendzioriski, G.D., Joffe, J.M., Cioffari, A.T., and Widrick, G.C. (1981). *Residential managers training program: A training program for staff and managers providing community services for persons with retarded development.* Unpublished manuscript, University of Vermont, Burlington, VT.

**PRESENTATIONS:**

- September, 2005      The Program in Community Mental Health: Innovative Approaches in Education,  
Alaska Behavioral Health Workforce Summit, Anchorage, AK.
- June, 2000            The Program in Community Mental Health: Innovative Approaches in Education  
for the Mental Health Workforce. Presented at the Commissioner's Forum at  
"Training Institutes 2000," sponsored by the National Technical Assistance Center  
for Children's Mental Health, Center for Child Health and Mental Health Policy,  
Georgetown University Child Development Center; SAMSHA and CMHS.
- October, 1995 &  
October, 1996        The Program in Community Mental Health: presentations at the Vermont  
Association of Mental Health Annual Meeting.
- October, 1991        Creating A Competent Workforce: a half-day pre-conference institute on staff  
training and development in community mental health services. Presented at the  
Northeast Regional Training Institutes & Conference on Housing And Supports,  
In Burlington, VT.
- September, 1991     Making It Happen: Developing the Attitudes, Knowledge & Skills Needed For  
Your Children's Mental Health Workforce: presented at the Human Resource  
Association's New Directions Conference, in Fairlee, VT
- December, 1990      Public-Academic Linkages for Clinical Training in Psychology. Presented with  
Rod Copeland and John Burchard at the NIMH, Public Academic Linkages for  
Clinical Training Conference, in Washington, D.C.

## **CURRICULUM VITAE**

**JULIE ANN WELKOWITZ, Ph.D.**  
*Program in Community Mental Health*  
*Southern New Hampshire University, Vermont Center*  
*463 Mountain View Drive, Suite 101*  
*Colchester, VT 05416*  
*802-655-7235*

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### **EDUCATION**

- 1993            **University of Vermont**, Burlington, VT  
Ph.D., Clinical Psychology
- 1984            **Cornell University**, Ithaca, NY  
B.A., College of Arts and Sciences  
Dual Major: Psychology and Government

### **LICENSE**

Psychologist-Doctorate  
License Number: 48-0000597 (Vermont)

### **ADVISORY BOARDS/TASK FORCES**

- 2007-Current    Vermont Early Childhood and Family Mental Health  
Workgroup
- 2005- 2011      Vermont ACT 264 Advisory Board, Member

### **AWARDS**

- 2005            TASH Positive Approaches Award

### **ACADEMIC/ADMINISTRATIVE/POLICY EXPERIENCE**

- July 2005-  
Present            **Southern New Hampshire University-Vermont Center**  
Program in Community Mental Health  
School of Liberal Arts  
Colchester, VT  
**Assistant Academic Coordinator; Associate Professor**

Current Activities:

- ◆ Provide coordination and oversight of the academic activities for a Masters level program in Community Mental Health that leads to licensure as a clinical mental health counselor. Position involves curriculum development, teaching, advising, program evaluation and administration.
- ◆ Research collaboration with *Connecting Cultures* through the Behavior Therapy and Psychotherapy Center at the University of Vermont. Research efforts have involved qualitative and quantitative approaches to better understand the strengths and needs of refugee youth living in Burlington, Vermont.

1992-2005

**University of Vermont**

College of Education and Social Services

University of Vermont, Burlington, VT

**Research Assistant Professor**

Primary Activities:

- ◆ Coordinated a Masters and Certificate of Advanced Studies (CAS) level graduate concentration for educators specializing in the issues of emotional and behavioral disorders of children and adolescents. Involved in program administration, curriculum development, teaching, student advising, and supervision of students in their practica.
- ◆ Designed and implemented model development and outreach programs in schools throughout Vermont to build the capacity of schools and communities to support children and adolescents with behavioral challenges.
- ◆ Conducted applied evaluation research regarding model development, outreach and sustainability projects designed to support youth with emotional disturbance and their families.
- ◆ Provided behavioral consultation to schools throughout Vermont.
- ◆ Wrote several federal grants that were awarded to the University of Vermont to conduct above activities (See Grant Experience).

**GRANT EXPERIENCE** (includes grant listings during time as faculty member only)

- 2001-2005 **Co-Author/Co-Coordinator, Graduate Concentration to Prepare Special Educators and Related Service Personnel Serving Students with Emotional and Behavioral Disabilities.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 2004-2005 **Behavioral Consultant, Safe Schools/Healthy Students Project.** Federal grant awarded to the Lamoille North School District. The purpose of the grant was to build the capacity of the school district to support the healthy development of all students, including those at risk of emotional and behavioral challenges, and to create a safe learning environment (Funded by the US Departments of Education, Justice and Health & Human Services).
- 2001-2003 **Co-Principal Investigator, Studying the Sustainability of Four SED Prevention Projects.** National research project to study the sustainability of school related prevention models designed to support youth at risk of emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 2000-2003 **Co-Principal Investigator, Outreach Using a Proven Model of Early Intervention for Students with Emotional and Behavioral Challenges.** Federally funded elementary school initiative to establish and evaluate parent/teacher partnerships regarding children at risk of emotional and behavioral disorders (Funded by the US Department of Education, Office of Special Education Programs).
- 1997-2000 **Co-Author, Faculty, Improved Graduate Program to Prepare Special Educators to Support Students with Emotional and Behavioral Disabilities in Regular Education Classrooms.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 1996-2000 **Co-Author/Coordinator, A Model Mentor/Advisor Program Supporting Secondary School Youth With Emotional and**

*Behavioral Challenges and their Families within Rural Vermont.* A four year initiative in two Vermont high schools to establish a comprehensive mentor/advisor program emphasizing community service learning for high risk students (Funded by the US Department of Education, Office of Special Education Programs).

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- 1995-1996 **Faculty, Vermont Statewide Educational Personnel Preparation Program (BEST Initiative).** A statewide initiative to provide training to educators and related service personnel to support students with emotional and behavioral disorders (Funded by the Vermont Department of Education).
- 1993-1997 **Faculty, Preparing Special Educators to Serve Students with Serious Emotional Disturbance and Provide Supports for their Families in Rural Vermont.** Graduate training program for educators specializing in the support of students with emotional disturbance (Funded by the US Department of Education, Office of Special Education Programs).
- 1994-1996 **Co-Coordinator, Reducing Out-of-Community Residential Programs by Improving Services to Children with Serious Emotional Disturbance and Their Families.** A model demonstration project to promote interagency collaboration and reduce out-of-community placement of youth with serious emotional disturbance in Addison County, Vermont (Funded by the Office of Special Education Programs).
- 1992-1994 **Research Associate, Best Practices for Educating Students with Serious Emotional Disturbance Within Their Local Public Schools and Communities in Rural Settings.** Provided on-site technical assistance to educators of students with serious emotional disturbance in Vermont (Funded by the US Department of Education, Office of Special Education Programs).

**RESEARCH/  
MODEL DEVELOPMENT EXPERIENCE**

- 2005-Present **Program in Community Mental Health**  
Southern New Hampshire University-Vermont Center  
Colchester, Vermont

Ongoing evaluation of a graduate training program for Masters level students seeking to be mental health clinicians.

- 1992-2005      **Center on Disability & Community Inclusion**  
College of Education and Social Services  
University of Vermont, Burlington, VT
- Applied evaluation research of systems change projects to increase the success of youth at risk or experiencing emotional and behavioral disorders within their schools and communities. Areas of focus have included: mentoring, community service learning, interagency collaboration.
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- 2000-2003      **School Research Office**  
College of Education and Social Services  
University of Vermont, Burlington, VT
- Applied evaluation research and model development regarding school-related prevention models to support children and adolescents at risk of emotional and behavioral challenges. Particular areas of interest included evaluating the success of parent teacher action research and factors related to sustainability of systems change interventions.
- 1993            **Department of Psychology**  
University of Vermont  
Burlington, VT  
Doctoral Dissertation: The Role of Cultural Factors in the Use of Human Services by Abenaki Families
- Explored factors related to the use of children's services (i.e., mental health, supplemental education, health, social services) by Abenaki Indians in northern Vermont. Specifically examined such factors as: cultural identification, alienation, attitudes towards providers, and social support.
- 1990-1991      **Department of Psychology**  
University of Vermont  
Burlington, VT
- Coordinated the implementation in Vermont of a multi-state project to evaluate alternatives to residential services for youth with emotional and behavior disorders.
- 1986-1987      **Child & Adolescent Service System Program (CASSP)**  
Department of Mental Health, Waterbury, VT
- Involved in the development of a comprehensive system of care for youth with severe emotional disturbance in Vermont as part of an

NIMH grant.

1984-1986

**National Institute of Mental Health**  
Bethesda, MD

Participated in neuropharmacological research on Alzheimer's disease.

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**TEACHING/  
CURRICULUM DEVELOPMENT EXPERIENCE**

- Fall 2006-  
Present      **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 635, Child Clinical Skills I
- Sum 2008-  
Present      **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 680, Diagnosis and Assessment
- Fall 2005-  
Present      **Instructor**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 690, Masters Project
- Win/Sp. 2008      **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 680, Diagnosis and Assessment
- Spring 2006      **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 635, Child Clinical Skills I
- Spring 2006      **Curriculum Developer**  
Southern New Hampshire University  
Graduate Program in Community Mental Health  
Graduate Course: PCMH 636, Child Clinical Skills 2
- 1993-2005  
(Fall/Spring)      **Practicum Supervisor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 295, Teaching Internship: Emotional and Behavioral Disabilities (Includes a monthly practicum seminar and

on-going supervision with site visits)

- 1998- 2004 **Instructor**  
(Fall semesters) University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 306, EBD Part I: Issues & Approaches to  
Assessment of Emotional & Behavioral Disorders of Childhood &  
Adolescence  
(Taught on-campus and through Interactive Television at sites  
throughout Vermont)
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- Spring 2003 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 307, Emotional and Behavioral Disabilities  
Part II: Prevention and Teaching Strategies  
(Taught on-campus and through Interactive Television at sites  
throughout Vermont)
- 1993-1997 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 310, Curriculum and Technology in  
Special Education: Emotional and Behavioral Disabilities (Survey of  
Behavioral Disorders of Childhood).
- 1993-1997 **Co-Instructor**  
University of Vermont, Dept. of Education  
Burlington, VT  
Graduate Course: EDSP 311, Curriculum and Technology in  
Special Education: Emotional and Behavioral Disabilities (Affective  
Curriculums).
- Fall 1992 **Co-Instructor**  
University of Vermont, Continuing Education  
Burlington, VT  
Undergraduate Course: Psychology 152, Abnormal Psychology
- Spring 1989 **Co-Instructor**  
University of Vermont, Continuing Education  
Burlington, VT  
Undergraduate Course: Psychology 100, Introductory Psychology

Other Teaching and Related Experiences:

1995- 2005 **Chair/Committee Member**

Masters and Doctoral Theses Committees  
Departments of Education and Psychology  
University of Vermont

2000-2004

**Anti-Bias/Diversity Trainer**

A World of Difference Curriculum: Anti-Bias and Diversity Training,  
Sponsored by the Anti-Defamation League.  
Provided trainings to school administration, faculty and staff in  
Vermont on an anti-bias/diversity curriculum for teachers and  
students (See "Presentations" for listing of specific trainings).

1997-2004  
(Fall/Spring)

**Guest Lecturer:**

Department of Education, University of Vermont  
Undergraduate Course: EDSP 5, Issues Affecting Persons with  
Disabilities  
Class Topic: Emotional and Behavioral Disabilities

1997-2002  
(Fall Sem).

**Guest Lecturer**

Department of Psychology, University of Vermont  
Graduate Course: PSYC 355, Psychopathology II  
Class Topic: Substance Abuse

Spring 2002

**Guest Lecturer**

Department of Education, University of Vermont  
Graduate Course :EDSP 301, History of Services for Individuals  
with Disabilities  
Class Topic: Emotional and Behavioral Disabilities

Spring 2001

**Guest Lecturer**

Counseling Department  
Johnson State College  
Graduate Course: Legal & Ethical Issues in Counseling  
Class Topic: Issues of Diversity

Spring 1996

**Guest Lecturer**

Department of Education, University of Vermont  
Graduate Course: EDSP 302: Students with Significant Disabilities:  
Characteristics and Educational Interventions  
Class Topic: Emotional and Behavioral Disabilities

**CLINICAL &  
CONSULTATION  
EXPERIENCE**

1994-  
Present

**Family Therapy Institute of Vermont**  
Burlington, VT

Family Therapist

Participate on a bi-weekly family therapy team using a reflecting team model and narrative therapy approach.

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~~1992-2005~~ **University of Vermont, Department of Education**

Burlington, VT

Research Assistant Professor

Faculty position involved considerable consultation to educators and other school staff regarding issues related to the support of pre-school, elementary and high school age students with emotional and behavioral problems (see grants projects listed above). Also provided supervision to graduate students throughout Vermont with respect to their applied practica activities.

1995-2002

**Private Clinical Practice**

Burlington, Vermont

Clinical Psychologist

Provided outpatient psychotherapy to children, adolescents, adults and families presenting with a range of clinical issues (e.g., trauma, affective disorders, anxiety disorders, transitional issues, loss, communication issues).

1991-1992

**SUNY Health Science Center**

Syracuse, NY

Psychology Intern

Provided psychotherapy to children and adults (individual, couples, family, group); conducted psychological assessments; and participated on multi-disciplinary teams. Services were provided in a range of settings including an outpatient psychiatry clinic, a pediatric clinic, a family medicine clinic, an acute inpatient psychiatric unit and a day treatment facility.

1989-1991

**Behavior Therapy and Psychotherapy Center**

Dept. of Psychology, University of Vermont

Burlington, Vermont

Clinical Psychology Fellow

Provided individual and group therapy and conducted psychological evaluations for children, adolescents, and adults at an outpatient therapy clinic. Additionally, provided individual therapy, consultation, and assessments at elementary, middle and high

schools and a pediatric outpatient clinic.

1988-1991 **Family Therapy Service**  
University of Vermont Department of Psychology  
Burlington, VT  
Clinical Psychology Fellow

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Provided couples and family therapy using a reflecting team with strategic and systemic approaches.

1988-1989 **Vermont State Hospital**  
Waterbury, VT  
Clinical Psychology Fellow

Provided individual and family therapy to adults with chronic mental health problems at an inpatient psychiatric hospital.

1987-1988 **Project Wraparound/ Winooski School District**  
Winooski, VT  
Clinical Psychology Fellow

Provided on-site individual therapy to elementary, junior high, and high school students with severe emotional disturbance. Additionally, provided consultation to teachers, school staff and parents, conducted psychological evaluations, and facilitated communication between home and school and with other community agencies.

Jan.-May 1987 **Counseling and Testing Center**  
University of Vermont, Burlington, VT  
Clinical psychology trainee

Conducted individual psychotherapy with university students.

1984-1986 **National Institute of Mental Health**  
Bethesda, MD  
Research Assistant

Administered cognitive and behavioral assessments to patients with Alzheimer's disease and depression on an inpatient research unit.

## **PUBLICATIONS**

McConaughy, S., Kay, P., Welkowitz, J, Hewitt, K., Fitzgerald, M. (2007).  
*Achieving, Behaving, Caring Partnerships. Making the First Years of School*

*Positive for all Children.* Longmont, CO: Sopris West.

Welkowitz, J., Backus, L., Ryan, A., Topper, K. Student voices on connection and autonomy: Developmental implications of a Mentor/Advisor Project. Unpublished Manuscript, University of Vermont.

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Welkowitz, J. & Hamilton, R. (2006, January/February). University of Vermont's graduate concentration in emotional and behavioral disabilities. *TASH Connections*, 32, 29, 31.

Fitzgerald, M., Hewitt, K, Ratti, J.C., McNulty, R., Welkowitz, J. (2003). Parents and teachers: Partners in prevention of emotional disorders. Unpublished manuscript, University of Vermont School Research Office.

Welkowitz, J., Broer, S., Topper, K., Thomas, C., Backus, L., Hamilton, R. (2001). Students Speak Out: Preliminary Findings of a Mentor/Advisor Project. In Newman, C., Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 13<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the research base* (pp. 145-147). Tampa: University of South Florida, The Louis de la Parte Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Hamilton, R., Welkowitz, J., & Backus, L. (2001). *Improved Graduate Program to Prepare Special Educators to Support Students with Emotional and Behavioral Disabilities in Regular Education Classrooms* (Final Report). Burlington, VT: Center on Disability and Community Inclusion, University of Vermont.

Welkowitz, J. & Fox, W. (2000). *A Model Mentor/Advisor Program Supporting School Youth with Emotional and Behavioral Challenges and Their Families within Rural Vermont* (Final Report). Burlington, VT: Center on Disability and Community Inclusion, University of Vermont. (ERIC Document Reproduction Service No. ED462787).

Welkowitz, J., Backus, L., Topper, K. (October 1998). "It's Our Classroom": Students Take Charge. *Classroom Leadership On Line*. Reston, VA: ASCD.

Hamilton, R., Broer, S. & Welkowitz, J. (1997). Michael Stayed in the General Education Classroom. In Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 9<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 26 to February 28, 1996) (pp. 327-334). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Welkowitz, J., Broer, S., LaFramboise, S., Prue, J., Carruth, F., Provost, S., Fox,

W. (1997). Interagency Consultation in Rural Vermont: A Model for Serving Students with Serious Emotional Disturbance. In Liberton, C., Kutash, K., Friedman, R.M. (Eds.), *The 9<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 26 to February 28, 1996) (pp. 179-183). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

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Welkowitz, J. & Backus, L. (1996). *Building a Supportive Community to Promote Resiliency and Positive Social Development of Youth*. Burlington, VT: Center on Disability and Community Inclusion.

Welkowitz, J., Broer, S., Fox, W., Prue, J., LaFramboise, S., Provost, P., & Carruth, F. (1995). Developing an Interagency Collaborative Consultation Model: Meeting the Needs of Children and Adolescents with SED. In C. Liberton, K. Kutash, & R. Friedman (Eds.), *The 7<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (February 28 to March 2, 1994) (pp. 109-113). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Hamilton, R., Welkowitz, J., deOliva, S., Prue, J., Fox, T. (1994). *Prevention, Teaching and Responding: Developing Supportive Educational Strategies For Students With Emotional and Behavioral Challenges*. University Affiliated Program of Vermont, University of Vermont, Burlington, VT.

Welkowitz, J., Hamilton, R., Topper, K., & Inatsuka, L. (1994). Perceptions of Parents Regarding Their Involvement and Experience with Collaborative Educational Teams For Students With Emotional and Behavior Disorders. . In C. Liberton, K. Kutash, & R. Friedman (Eds.). *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 269-275). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Hamilton, R., Inatsuka, L., Welkowitz, J., & Topper, K. (1994). Perceptions of Regular Educators Regarding The Inclusion of Students With Emotional and Behavior Disorders. . In C. Liberton, K. Kutash, & R. Friedman (Eds.). *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 261-267). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Inatsuka, L. Hamilton, R., Welkowitz, J., & Topper, K. (1994). Perceptions of Special Educators Regarding The Inclusion of Students With Emotional and Behavior Disturbances. . In C. Liberton, K. Kutash, & R. Friedman (Eds.).

*The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 247-252). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

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Topper, K., Hamilton, R., Welkowitz, J., & Inatsuka, L. (1994). Perceptions of Students Experiencing Emotional and Behavior Disorders and Their Peers Regarding Inclusive Classrooms. In C. Liberton, K. Kutash, & R. Friedman (Eds.). *The 6<sup>th</sup> Annual Research Conference Proceedings, A System of Care for Children's Mental Health: Expanding the Research Base* (March 1-3, 1993) (pp. 253-259). Tampa, FL: University of South Florida, Florida Mental Health Institute, Research and Training Center for Children's Mental Health.

Clarke, R., Schaefer, M., Burchard, J. & Welkowitz, J. (1992). Wrapping Community-Based Mental Health Services Around Children with a Severe Behavioral Disorder: An Evaluation of Project Wraparound. *Journal of Child and Family Studies*, 241-261.

Welkowitz, J. (1987). *A Report On Therapeutic Foster Care*. Vermont CASSP, Vermont Department of Mental Health, Waterbury, VT, 1-108.

Tariot, P., Cohen, R., Welkowitz, J., Sunderland, T., Newhouse, P., Murphy, D. & Weingartner, H. (1987). Multiple Dose Arecoline Infusions in Alzheimer's Disease. *Archives of General Psychiatry*.

Tariot, P., Sunderland, T., Murphy, D., Cohen, M., Welkowitz, J., Weingartner, H., Newhouse, P. & Cohen, R. (1986). Design and Interpretation of Oplate Antagonist Trials in Dementia. *Progress in Neuropsychopharmacology & Biological Psychiatry*, 611-626.

Tariot, P., Sunderland, T., Weingartner, H., Murphy, D., Welkowitz, J., Thompson, K. & Cohen, R. (1987). Cognitive Effects of L-deprenyl in Dementia. *Psychopharmacology*, 489-495.

#### **CONFERENCE & WORKSHOP PRESENTATIONS**

Eber, L. & Welkowitz, J. *Creating Person Centered Strength-Based Plans for Students with the Most Complex Needs*. Weeklong strand presented at the BEST Summer Institute, Killington, VT, June 22-25, 2009.

Welkowitz, J. Cioffari, A. Knight, J. & Carlson, T. *Creative Solutions to Rural Workforce Development*. Workshop presented at the National Association for Rural Mental Health Conference, Burlington, VT, August 8, 2008.

Bean, B., Young-McCarthy, M, Welkowitz, J., & Marshall, C. *Vermont's Early Childhood and Family Mental Health Competencies*. Workshop presented at

the National Association for Rural Mental Health Conference, Burlington, VT, August 8, 2008.

Merio, D., Bernacchio, C., & Welkowitz, J. *Strategies for Engaging Students: Comprehending, Applying, & Analyzing Evidence-Based Teaching Methods in Psychosocial Rehabilitation Higher Education*. Workshop presented at the 33<sup>rd</sup> Annual USPRA Conference, Lombard, Ill, June 16, 2008.

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Welkowitz, J. *Hear Our Silent Cries: Supporting Students with Depression and Anxiety*. Workshop Strand presented at the BEST Summer Institute, Killington, VT, June 27-30, 2005.

Welkowitz, J. *Understanding the Warning Signs For Depression and Strategies For Assessment and Intervention*. Presented at the Vermont Council For Exceptional Children Conference: "Help Me, I'm Sad", Burlington, VT, May 17, 2005.

Welkowitz, J. & McPherson, A. *Sharing Strategies: A Dialogue in Understanding Challenging Behaviors (Part II)*. . Inservice presentation for Lamoille North Supervisory Union, Lamoille Union High School, Hyde Park, VT, January 17, 2005.

Welkowitz, J. & Boardman, D. *Sharing Strategies: A Dialogue in Understanding Challenging Behaviors*. Inservice presentation for Lamoille North Supervisory Union, Lamoille Union High School, Hyde Park, VT, August 25, 2004.

Welkowitz, J. *A World of Difference: Anti-Bias and Diversity Training*. Presentation for Rutland South Supervisory Union, Rutland, VT, May 20, 1994.

Welkowitz, J. & Hewitt, K. *Couldn't IEP Meetings Use This? Lessons Learned From Parent-Teacher Action Research*. Presentation at the CEC Annual Convention, New York, NY, April 7, 2002.

Welkowitz, J. *What is Emotional Disturbance?*. Presentation for the Learning at Lunch Series, Sponsored by the University of Vermont, Division of Continuing Education, Burlington, VT, November 14, 2001.

Welkowitz, J. & Lamphere, L. *A World of Difference: Anti-Bias and Diversity Training*. Presented at Peoples Academy High School, Morrisville, VT, August 23, 2001.

Welkowitz, J., Backus, L. & Bloom, D., Holley, P., & Ivy, D., *A World of Difference: Anti-Bias & Diversity Training*. Presented at the 2001 BEST Summer Institute, Killington, VT, June 25-29, 2001.

- Welkowitz, J. & Backus, L. *A World of Difference: Anti-Bias & Diversity Training*. Presented at the Vermont Superintendents Association Annual Spring Conference, Stowe, VT, May 17, 2001
- Welkowitz, J., Thomas, C. & Rooney, M, *STOMP Into Action: A High School Peer Mentoring Program That Promotes Emotional Wellness Through Supportive Relationships and Community Service Learning*. Presented at the Governor's Prevention Conference, Killington, VT, May 14, 2001.
- Sinclair, M., Welkowitz, J., Daunic, A., Rhuman, J., Bullis, M, Benz, M., Schumaker, J. & Bryan, T., *Promoting Success for Secondary Students with Emotional/ Behavioral Needs: Research-based Strategies for Administrators*. Presented at the CEC Annual Convention: Kansas City, Missouri, April 19, 2001.
- Welkowitz, J. & Michelle Chittenden. *A World of Difference: Anti-Bias & Diversity Training*. Presented at Essex Elementary School, Essex, Vermont, January 15, 2001.
- Welkowitz, J., Thomas, C, Shippe, R., Hoagland, Amy. *STOMP Into Action: Linking Mentoring With Community Service Learning For High School Students*, Presented at the Mentors Make A Difference Conference III, Burlington, VT May 18, 2000.
- Sinclair, M., Welkowitz, J., Daunic, A., Rhuman, J, Bullis, M, Benz, M., Schumaker, J. & Bryan, T, *Promoting Success for Secondary Students with Emotional/ Behavioral Needs: Research-based Strategies for Administrators*. Presented at the CEC Annual Convention: Building Tomorrow Together, Vancouver, B.C., April 5-8, 2000.
- Welkowitz, J., Topper, K., Shippe, T. & Peets, J. *Addressing the Needs of High Risk Children: A Resiliency Model for a Successful Mentor Advisory Program*. Presented at the Conference on Youth Violence in Schools & Communities: Building Active Partnerships for Prevention, Boston, April 29-30, 1999.
- Welkowitz, J., Thomas, C, Topper, K., Marshall, P., Ravenna, C., Bigelow, A., Hastings, E., Cavacas, M., *Group Mentoring: Promoting Resiliency among High School Students Through Team Building and Community Service*. Presented at Mentors Make A Difference Conference, Burlington, VT April 27, 1999.
- Kay, P., Welkowitz, J., Kamps, D., Daunic, A., Rhuman, J. Sinclair, M., Bullis, M, Benz, M. *Building our Schools' Capacity to Meet Students' Emotional and Behavioral Needs: OSEP's SED Prevention/ Intervention Projects*. Presented at the CEC Annual Convention: Creating New Horizons, Charlotte, NC, April 14-17, 1999.

Welkowitz, J., Topper, K., Austin, M., Marshall, P. *The Mentor/Advisor Project: Promoting Resiliency Among High School Students*. Presented at the VASEA/ Department of Education Special Education Leadership Conference, Essex, Vermont, August 6, 1998.

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~~Welkowitz, J., Backus, L., Topper, K., Austin, M., Marshall, P., Ravenna, C., Rafter, M., *Group Mentoring: An Opportunity For High School Students To Develop Relationships And Skills Through Team Building And Community Service*. Presented at the Mentors Make A Difference Conference, Burlington, Vermont, May 18, 1998.~~

Welkowitz, J., Topper, K., Austin, M., Reid, R. *Promoting Resiliency Among High School Youth*. Presented at the 1998 Governor's Prevention Conference, Fairlee, Vermont May 26-27, 1998.

Welkowitz, J., Topper, K., Backus, L. *A Mentor/Advisor Model for Supporting High School Students At Risk of Developing Emotional and Behavioral Disorders*. Presented at the 21st Annual TECBD National Conference on Severe Behavior Disorders of Children and Youth, Scottsdale, Arizona, November 20-22, 1997.

Welkowitz, J., Broer, S., LaFramboise, S., Prue, J. *Interagency Consultation in Rural Vermont: What's Happening & What Does it All Mean?* Presented at the 9th Annual Research Conference sponsored by the Florida Mental Health Institute: "A System of Care for Children's Mental Health: Expanding the Research Base", Tampa, FL., February 26-28, 1996.

Broer, S., Welkowitz, J., & Fox, W. *Developing an Interagency Consultation Model to Meet the Needs of Children, Families & Service Providers: The Addison County Community Collaboration Project*. Presented at the Virginia Beach Conference: Children and Adolescents with Emotional and Behavioral Disorders, Virginia Beach, September 28-October 3, 1995.

Hamilton, R., & Welkowitz, J. *Best Practices for Educating Students with Serious Emotional Disturbance in the Regular Classroom*. Presented at the ASCD 1995 Annual Conference, San Francisco, CA, March 25 - 28, 1995.

Hamilton, R. & Welkowitz, J. *Best Practices for Educating Students With Serious Emotional Disturbance in Their Regular Education Classroom*. Presented at the Third Annual Wraparound Family Reunion, Burlington, Vermont, Sept. 17, 1994.

Hamilton, R. & Welkowitz, J. *Best Practices for Educating Students With Serious Emotional Disturbance in Their Regular Education Classroom*. Presented at the ASCD 1994 Annual Conference, Chicago, March 20, 1994.

Fox, W., & Welkowitz, J. *The Addison County Community Collaboration Project: Reducing Out-of-Community Residential Placements By Improving Services to Children With Severe Emotional Disturbance and Their Families*. Presented at the 3rd Annual Virginia Beach Conference sponsored by the Commonwealth Institute for Child and Family Studies: Children and Adolescents with Emotional or Behavioral Disorders, Virginia Beach, VA, October 2-6, 1993.

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Hamilton, R., Welkowitz, J., Topper, K. & Inatsuka, L. *Perceptions of Parents, Educators, and Students Regarding the Inclusion of Students With Serious Emotional Disturbance in Regular Classrooms*. Presented at the Sixth Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, March 1-3, 1993.

Fondacaro, K. & Welkowitz, J. *Treatment for Victims of Sexual Abuse*. Presented at the 1990 Conference Series of the Community Child Protection Network: Treatment For Our Abused Children, Burlington, VT, April 6, 1990.

#### **POSTER SESSIONS**

Kay, P. & Welkowitz, J. *Achieving, Behaving, Caring Partnerships*. Presented at the 2001 OSEP Research Project Directors' Conference, Washington D.C., July 12, 2001.

Welkowitz, J., Broer, S., Thomas, C., Hamilton, R. *Examining Preliminary Findings of a Mentor/Advisor Program*. Presented at the 13th Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, March 5-8, 2000.

Fox, W. & Welkowitz, J. *Promoting Resiliency Among High School Students*. Presented at the 1998 OSEP Research Project Directors' Conference, Washington D.C., July 16, 1998.

Fox, W. & Welkowitz, J. *A Mentor/Advisor Model for High School Students At-Risk of Emotional and Behavioral Disorders*. Presented at the 1997 OSEP Research Project Directors' Conference, Washington D.C., July 17, 1997.

Welkowitz, J. & Burchard, J. *The Role of Cultural Alienation and Ethnic Identification in the Relationship Between Abenaki Indians and the Human Service Delivery System*. Accepted for the Fourth Annual Research Conference sponsored by the Florida Mental Health Institute: A System of Care for Children's Mental Health; Expanding the Research Base, Tampa, FL, February 18-20, 1991.

Burchard, J., Clarke, R., Fox, W., Hamilton, R. & Welkowitz, J. *Project*

*Wraparound: Serving SED Children in the Mainstream.* Presented at the National Conference on Clinical Training In Psychology: Improving Psychological Services for Children and Adolescents With Severe Mental Disorders, Washington, D.C., May 18-20, 1988.

Gross, M., Tariot, P., Sunderland, T., Welkowitz, J., Cohen, R. & Murphy, D. *Low and High Dose Naloxone in Older Normals.* Presented at the 139th Annual Meeting of the American Psychiatric Association, Washington, D.C., May 13, 1986.

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SUSAN A. MASLACK, M.S.W.  
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Burlington, Vermont 05401  
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(E-mail) [s.maslack@snhu.edu](mailto:s.maslack@snhu.edu)

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**EDUCATION:**

Boston University School of Social Work, Master of Social Work, May 1985  
Concentration: *Management, Planning, and Community Organization* with a focus on mental health administration.

University of Vermont, B.S., Social Work, May 1982.

**PROFESSIONAL POSITIONS:**

**Higher Education Administrator / Site Development and Marketing Coordinator** -  
Graduate Program in Community Mental Health, Trinity College of Vermont,  
February 1996 – May 2001; and Southern New Hampshire University, May 2001 -  
Present.

Responsible for a wide variety of academic administration which has included the following: budget development and management; enrollment management and projections; management of scholarship and grant funding; strategic management of site development and marketing of national graduate program; establishing support and endorsement from state and local agencies and organizations for education of the behavioral health services workforce through the graduate program; overseeing and implementing marketing and recruitment of students; facilitating communication and approval from state level higher education approval bodies; coordinating advising and accommodation services for enrolled students; coordinating with other administrative offices within the college to facilitate program operations and student services; contribute to joint operations and program development, including licensure issues, curriculum development and restructuring, and policy and procedure development.

**Assistant Professor** – Southern New Hampshire University, Graduate Program in Community Mental Health, May 2001 – Present.

Provide instruction in the graduate program in multiple learning sites on and off campus for courses, including the following:

*Orientation and Immerston*

*PCMH 600: Overview of Behavioral Health Services*

*PCMH 610: Helping Relationships*

*PCMH 685: Social and Cultural Foundations*

*PCMH 690: Master's Project*

**Clinical Professor** - Trinity College of Vermont, Graduate Program in Community Mental Health, October 1999 – May 2001.

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Lecturer - Trinity College of Vermont, Graduate Program in Community Mental Health, March 1995 – May 2001.

Appointed as an adjunct member of the graduate program faculty to develop curriculum and provide instruction to graduate students in *PCMH 500: Initial Orientation, Assessment and Immersion*, March 1995, April 1995, December 1995, January 1997, May 1997, September 1997, December 1997, September 1998, March 1999 and May 2000; to provide instruction for graduate students in *PCMH 690: Final Project*, Spring / Summer 1997, and Summer / Fall 1999; to provide graduate course development for *PCMH 650 / 662: Internship I and II*, August 1995.

Academic Advisor - Trinity College of Vermont, Graduate Program in Community Mental Health, March 1995 – May 2001; and Southern New Hampshire University, May 2001 - present.

Provide information to students on the graduate program and University policies and procedures; provide ongoing support to develop individual professional development and educational plans as they relate to the graduate program; provide ongoing support for personal issues that may arise that have direct bearing on students' abilities to participate in the graduate program; monitor student grades and success in meeting educational goals and program requirements; coordinate with faculty, program administrators, the registrar, student services, student accounts, financial aid and the Dean of Students Office, as needed.

Project Coordinator - Vermont Title IV-E Child Welfare Training Project, University of Vermont Department of Social Work. August 1993 - March 1995.

Full-time faculty member and coordinator of a state-wide collaborative partnership between the state child welfare agency (Vermont Department of Social and Rehabilitation Services) and an educational program (the UVM M.S.W. Program), designed to provide higher education opportunities for state employees and other students committed to working in child welfare services. Responsibilities included: development and management of the overall project workplan; facilitating meetings between the two institutions to foster the development and maintenance of the project goals and implementation; development and maintenance of the necessary working agreements and contracts for the program's structure; drafting and negotiating the contract between the State and the university; liaison with the federal Department of Health and Human Services Children's Bureau, national associations and other university Title IV-E programs; providing support for faculty curriculum development; project evaluation; coordinating student selection, contracts, and related trainee activities; developing and maintaining the training project budget; field liaison to first year students in the project; membership on faculty committees and support of overall Department functioning; academic advising of 20 students; teaching.

Lecturer – (Graduate Course Instruction) *Mental Health Practice*, University of Vermont, Department of Social Work, Burlington, Vermont, January 1992 -1995.

Graduate level education on the subject of social work practice in mental health service delivery for families of children with severe emotional disturbance and adults with psychiatric disabilities. Developed curriculum and provided instruction for four years, coordinating with other faculty in the advanced practice health/ mental health sequence.

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**Mental Health Consultant** - Center for Community Change through Housing and Support, Trinity College of Vermont Institute for Program Development, January 1993 - August 1993.

Responsible for providing on-site, telephone, and written technical assistance and training to national, state, provincial and local mental health organizations throughout North America to help them research, plan and implement changes within their service systems to achieve more positive outcomes for people with psychiatric disabilities. Developed written materials for dissemination to the field about best service practices; marketing the Center's work through telephone contacts, written documents/proposals, and oral presentation. Managed overall workplans and budgets of specific grants/contracts, and contributed to overall Center management through joint planning and decision-making activities.

**Technical Assistance Training Specialist** - Center for Community Change through Housing and Support, University of Vermont Department of Psychology, May 1990 - December 1992.

Responsible for the development and implementation of a comprehensive training agenda for the Center for Community Change through Housing and Support to national, state, and local mental health organizations, on the subject of housing and community support systems for persons with severe psychiatric disabilities. Coordination of the planning of The Ninth National CSP Learning Community Conference on housing and support services for persons with psychiatric disability, Washington, D.C., May 1991, sponsored by the National Institute of Mental Health. This was a large and successful event, involving 640 participants and 120 speakers. Coordinating, planning, and marketing of regional conferences and institutes on housing and support services. Developing contracts to provide training in locations throughout the United States and Canada.

**Conference Coordinator** - University of Vermont Department of Psychiatry, Depression: Awareness, Recognition, and Treatment (D/ART) Program, March - May 1990.

Responsible for the coordination of a local program to train primary care and mental health providers in the diagnosis and treatment of depression.

**Consultant/Conference Coordinator** - Vermont State Department of Education, February - May 1990.

Responsible for the coordination and on-site management of "Moving Beyond the Hurdles: A Focus on Strengthening Our Work with Socially and Emotionally Challenged Children," a one day state conference addressing the needs and issues of families and children 0 - 5 years of age with or at risk of developing emotional disturbance.

**Consultant/Grant Writing** - Vermont Department of Mental Health, February - March 1990.

Assisted in the writing and editing of grant renewal application for the Vermont Respite Care Demonstration Project. Grant was awarded.

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**Consultant/Conference Coordinator** - Vermont Department of Mental Health. "Vermont Symposium on Integrated Assessment of Children and Adolescents With Severe Emotional Disturbance," a four part conference series, April 1988 - April 1989.

Activities included: securing and coordinating funding, conference presenters, facility, and scheduling-publicizing conference; organizing-conference registration; coordinating-conference evaluation process; and organizing support for publishing the proceedings. As part of this project, I wrote and was awarded a grant from a private foundation for funding to print and distribute the proceedings of the symposium (project completed by Department of Mental Health staff).

**Consultant/Grant Writing**, Vermont Department of Mental Health. Grant Application for the Vermont Respite Care Demonstration Project, April 1988.

Activities included: a review of relevant literature, assistance in writing specific sections of grant application, assistance in editing the final grant application. Grant was awarded.

**Consultant/Training Coordinator** - Vermont Department of Mental Health. Planned, organized, and coordinated a one-day training, "Non-Traditional Approaches to Therapy With Families," to improve services to families with severely emotionally disturbed children/youth and with patterns of abusive behavior. March - May 1988.

Activities included: planning training, securing speakers, creating agenda, securing facility, publicizing training, organizing and compiling evaluation, and planning and publicizing availability of follow-up training funds.

**Member, Evaluation Team**, Evaluation of Intensive Family-Based Services Provided to Vermont Families. Research conducted by Karen M. Foudacaro, Ph.D. and Theodore A. Tighe, M.Ed., Department of Psychology, University of Vermont, February 1988 - January 1989.

**Family Work Supervisor** - The Baird Center for Children and Families, Burlington, Vermont, January 1987 - January 1988.

Provided for the direct supervision of Family Workers and Family Work Interns (undergraduate students from the University of Vermont and Trinity College Social Work Programs) for both a short term and a long term home-based service to families with severely emotionally disturbed children. Assisted with development of intensive family-based service, including developing clinical and administrative procedures, hiring staff, and supervision.

**Family Worker**--The-Baird Center for Children and Families, Burlington, Vermont. September 1986 - January 1988.

Provided casework, support, and parenting skills training to parents of emotionally disturbed children in a home-based service. Worked with parents and children to improve parent-child

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relationships, child development, and behavior management. Helped to organize a parent support group in Chittenden County.

**Social Worker** - The Baird Center for Children and Families, Burlington, Vermont, September 1985 - August 1986.

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Provided casework services to children with severe emotional disturbance and their families in a specialized therapeutic fostercare program. Supervised the professional foster parents. Provided individual therapeutic supports to children, and for some their natural families.

**Mental Health Administration Intern** - Community Counseling Center, Pawtucket, Rhode Island, September 1984 - May 1985.

Reported directly to the executive director (Steve White, Ph.D.) of a local community mental health center as a management intern and member of the management team. Coordinated preparation and survey for agency accreditation by JCAH, which was successfully awarded. Supervised the writing and compiling of a five year plan for the agency. Compiled all agency and department policies and procedures. Participated in agency budget proposals and grant writing. Organized a Hispanic Advisory Council to the Board of Directors to foster more culturally informed agency services. Participated in development of quality assurance, utilization review, credentialing, privileging and staff development planning.

**Assistant Residential Manager** - Howard Mental Health Services, Burlington, Vermont, April 1983 - July 1984.

Participated in the management of a seven bed group home for adults with severe psychiatric disabilities. Provided case management for three clients. Provided support and taught daily living and social skills.

**Residential Manager** - Rutland Mental Health Services, Rutland, Vermont, November 1982 April 1983.

Participated in the structural and program development of a supervised apartment program for adults with psychiatric disabilities transitioning from institutional to community living. Lived in and managed two three-bed apartments, providing direct and indirect mental health services.

**Social Worker Intern** - Medical Center Hospital of Vermont, Psychiatric Unit, Burlington, Vermont, September 1981 - December 1981.

Counseled and coordinated therapy for an average caseload of eight adults with psychiatric disabilities. Assessed and counseled families of clients. Observed and co-lead group work in art therapy, crafts, and women's issues.

**Assistant to the Coordinator** - Vermont Conference on the Primary Prevention of Psychopathology (VCPPT), Burlington, Vermont, May - August 1980.

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Academic Fellow - University of Vermont, Social Work Program, Burlington, Vermont, 1980  
1981 and Freshman Orientation 1980.

Advised and counseled freshmen and transfer students in the Social Work Program regarding  
~~academic scheduling, campus resources, campus living, and personal development.~~

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### CURRICULUM DEVELOPMENT AND INSTRUCTION:

*PCMH 600: Overview of Behavioral Health Services*, Assistant Professor, Southern New Hampshire University, Graduate Program in Community Mental Health, Summer 2008.

This course provides an overview of emerging policy and practice in behavioral health care for children, youth and families and adults with mental health and substance abuse concerns. This includes the historical context in which service systems organize, finance and deliver care; the current principles and approaches to comprehensive treatment and support; community-building, advocacy, and systems change; and current concepts of recovery, resiliency, community support and integrated services. Topics are addressed from multiple perspectives, with a strong emphasis on the perspective and experience of service recipients and their families; as well as service providers, policy makers and the community at large.

*PCMH 685: Social and Cultural Foundations*, Assistant Professor, Southern New Hampshire University, Graduate Program in Community Mental Health, Spring 2007, Summer 2008.

Instruction of a graduate level course which focuses on multiculturalism and culturally relevant services and which seeks to enhance the knowledge and skills of the behavioral health workforce serving diverse communities. The course focuses on the health disparities and social determinants of health and behavioral health, which contribute to disease or wellness. Students gain an understanding of the theory and practice considerations relevant to diversity issues of race, ethnicity, culture, gender, age, disability, sexual orientation, and religious preferences, and learn about important aspects of multicultural counseling.

*PCMH 610: Helping Relationships*, Adjunct Instructor, Southern New Hampshire University, Graduate Program in Community Mental Health, Fall 2003 and Fall 2004.

Instruction for a course in the graduate program focused on gaining an understanding of the clinical process, the fundamentals of therapeutic relationships, communication and interviewing skills, change theory, and introduction to counseling theories and techniques as it relates to working with children, youth or adults with psychiatric disabilities and substance abuse issues. Students examine values, characteristics of effective helpers, cultural context, personal bias and power, natural supports, community settings, and collaborative teams.

*PCMH 690: Final Project*, Lecturer, Trinity College of Vermont, Graduate Program in Community Mental Health, Spring / Summer 1997, and Summer / Fall 1999, Fall / Winter 2000 - 2001. Also, Southern New Hampshire University, Spring / Fall 2002, Summer / Fall 2005, Fall / Spring 2007- 08, and several Independent Study Students.

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Provide seminar instruction and support to individual students to research and write a major paper focused on topics relevant to contemporary issues in the field of mental health which can include a literature review in an emerging area of clinical practice; planning and analysis of a system change strategy; program design, development or evaluation; or a grant proposal. Students are expected to integrate and synthesize the relevant literature, concepts and theories from previous course work in the program.

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*PCMH 650/ 662: Internship I and II*, Course Development, Trinity College of Vermont, Graduate Program in Community Mental Health, August 1995; and Collaboration on revision of same courses under Southern New Hampshire University, June 2006 and September 2009.

Development of curriculum, manual and materials required for student participation, faculty instruction, and agency support for two 250 hour internships at the graduate practice level in community mental health services. Developed guidelines and policies for student performance and participation. PCMH faculty provide individual and group support for students to develop appropriate and individualized learning agreements for internship experiences and serve as liaison to the internship site.

*PCMH 500: Initial Orientation, Assessment and Immersion*, Lecturer Trinity College of Vermont, Graduate Program in Community Mental Health, March 11/ 12, 1995, March 18/19, 1995, March 25/26, 1995, April 1995, December 1995, January 1997, May 1997, September 1997, December 1997, September 1998 and March 1999, and May 2000. Southern New Hampshire University, Since May 2001, approximately 3 – 4 sessions annually. No longer taken for credit, but a requirement of the Graduate Program in Community Mental Health.

Students receive an orientation to the program, including an overview of the pedagogical philosophy and content of the program, as well as program policies and procedures. Students create an individual professional development plan, outlining their learning and career goals.

*Advanced Social Work Practice In Mental Health*, Lecturer, University of Vermont, Department of Social Work, Graduate Level, Spring 1992, and Spring 1993, Spring 1994, Spring 1995.

Required course for M.S.W. candidates in the Health/ Mental Health concentration. The course was designed to provide students with a working knowledge of illness, treatment, and recovery from severe emotional disturbance in children and psychiatric disabilities in adults. Focusing on community based mental health services, the course covered an ecological systems approach and advanced methods of social work practice in areas of family preservation, case management, mental health treatment, building natural supports, rehabilitation, and crisis intervention. The course also provided knowledge and linkages to mental health service system administration, policy and research.

*Connecticut Department of Mental Health Staff Retraining Project: Training of Trainers*, Curriculum Development and Instruction, with Laurie Curtis, M.Ed., Center for Community Change Through Housing and Support, Trinity College of Vermont, June 1993.

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(Biss)

Intensive five day training of trainers to facilitate a comprehensive system change initiative to shift inpatient care staff to roles in community support services in local communities in the State of Connecticut. Major topics covered included values and principles for service delivery in a comprehensive community based mental health service system, recovery and rehabilitation theories, the relationship between hospital and community based services, national trends in community support, practice models for community rehabilitation and support, crisis intervention strategies, team building within service components, and developing regional training strategies.

**PUBLICATIONS:**

Biss, S.M. and Curtis, L. (1994). Crisis service systems: Beyond the emergency room. The Bulletin. Birmingham, England: International Mental Health Network.

Biss, S.M. and Curtis, L. (1993, May). Crisis service systems: Beyond the emergency room. In Community, 3,1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 1-4.

Biss, S.M. (1993, May). In practice. In Community, 3, 1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 3-6.

Biss, S.M. (1993, May). In person. In Community, 3-, 1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 3-5.

Biss, S.M. (1993, May). In research. In Community, 3,1 Burlington, Vermont: Trinity College of Vermont Center for Community Change through Housing and Support, 6-7.

Editor (1992, July, 1992; October; 1993, February; 1993, May). In Community. A nationally distributed publication of the Center for Community Change Through Housing and Support on innovations in housing and support for people with psychiatric disabilities.

Biss, S.M. (Ed.) (1992). Housing and Supports: Collaboration in the 90's -- Proceedings of the Ninth National CSP Learning Community Conference (May 1991). (Monograph Series on Housing and Rehabilitation in Mental Health). Burlington, Vermont: University of Vermont, Center for Community Change through Housing and Support.

**PROFESSIONAL AND COMMUNITY MEMBERSHIPS:**

Member, New Hampshire Committee to Address Culture and Disparities in Health and Mental Health, under the NH Health & Equity Partnership.

Member, Maine State Co-occurring Health Integration Task Force

Member, Vermont Department of Health Office of Alcohol and Other Drug Abuse Program Committee on Workforce Development

## SUSAN A. MASLACK

Member, Vermont Association of Mental Health.

Member, American Association of University Women

Chair, Vermont Family Empowerment and Resource Network, 1987 - 1988.

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Student Representative, Community Organization, Management and Planning Sequence Faculty, Boston University School of Social Work, 1984 - 1985.

Student Representative, Social Work Faculty, University of Vermont, 1981 - 1982.

Executive Member, Student Social Work Organization, University of Vermont, 1981 - 1982.

### **ADDITIONAL TRAINING:**

Budgeting for Non-Profit Organizations Seminar, University of Vermont Continuing Education Management Series, March 1984.

Family Education Group Training Workshop, Vermont Department of Mental Health, February 1984.

### **CONFERENCES AND WORKSHOP PARTICIPATION:**

Workforce Development: Participated as a program administrator for the Graduate Program in Community Mental Health on committees and at symposiums pertaining to workforce development in the areas of mental health and substance abuse, including the following:

2011 Unconvention, October 24 – 25, 2011, Asilomar, Pacific Grove, CA, with focused attention on Cultural Diversity and Complexity in Co-occurring Mental Health and Substance Abuse Services, Trauma-Informed Care, Integration Efforts in Australia and Canada, Supporting Family Members, and Integration of Primary Health Care and Behavioral Health.

2010 Summit of the Milwaukee Mental Health Task Force on Mental Health: Race, Culture, and Ethnicity.

Maine COSII Workforce Development Committee, August 2009 to 2011.

Vermont Substance Abuse Workforce Development and Higher Education Committee, Ongoing.

Vermont Behavioral Health Workforce Summit, Burlington, Vermont, June 13, 2008.

New England Workforce Development Summit, Tewksbury, Massachusetts, November 15, 2006.

Wisconsin Statewide Comprehensive Community Support Training Committee, January – October 2006.

Alaska's Behavioral Health Workforce Summit, Anchorage, Alaska, September 28 & 29, 2006.

Building Partnerships in Rural Mental Health Workforce Development, Mesa, Arizona, March 4 & 5, 2005.

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Other Conference Participation: Ms. Maslack has spent a large portion of her career, particularly in her role as educator and administrator of the Graduate Program in Community Mental Health, both under Trinity College of Vermont and Southern New Hampshire University, attending and participating in conferences which focus on the concerns of mental health for children, youth and families, child welfare, mental health for adults, substance abuse and addictions, brain development, prevention services, and other topics related to mental health and substance abuse issues for people of all ages. In her role as Site Development Coordinator, Ms. Maslack has attended events, as frequently as every other week at times and on average once a month, in order to promote the graduate program and to provide for continuous learning, networking, and the gathering of information on current knowledge in the field and to provide relevant input into the curriculum. These activities are too numerous to list and are often attended annually. Some examples from recent years are highlighted below.

2011 New Hampshire Mental Health Symposium: WRAP Training with Mary Ellen Copeland.

2011 Maine Co-occurring Disorders Institute: Complexities of Trauma

2008 Annual Conference of the National Association for Rural Mental Health

2007 New Hampshire Mental Health Symposium: Stages of Change Interventions for Individuals and Populations. (A full day training with Dr. James Prochaska, April 2007)

New England Organization of Human Services Education Annual Conference: Promoting Nonviolence in our Homes, Schools, and Communities (April 2007)

Wisconsin Annual Rehabilitation Conference

Wisconsin Annual Mental Health and Substance Abuse Conference

Integrated Model for Treatment of Individuals With Co-occurring Psychiatric and Substance Disorders (Ken Minkoff; Several training events in Vermont, Wisconsin and Alaska)

Northern New England Conference on Child Maltreatment

Alaska Annual Full Lives Conference for Direct Support Staff

Wisconsin Annual Crisis Intervention Conference

Vermont Annual Substance Abuse Conference

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Vermont Annual Mental Health Association Conference

Wisconsin Annual Community Support Program Conference

~~Wisconsin Association of Alcohol and Other Drug Abuse Counselors Annual Conference~~

Wisconsin Annual Children Come First Conference

Vermont Touchpoints Institute and CUPS Learning Series Spring Conference: Recognizing and Addressing Depression in Families With Young Children (March 2004)

NAMI Wisconsin's 25<sup>th</sup> Anniversary Conference and Celebration

Wisconsin Statewide Substance Abuse Information Meeting

Wisconsin Rehabilitation and Transition Training Conference

Wisconsin Statewide Prevention Conference

Networking Neurons: Making Connections. Wisconsin Brain Team conference on current research in brain development and practices relating to children and their families. (June 2003)

Changing the Conversation on Addiction and Recovery: Implementing the National Treatment Plan in Wisconsin (October 2003)

National Mental Health Symposium to Address Discrimination and Stigma (March 2001)

**HONORS AND AWARDS:**

The Margaret B. Whittlesey Award, Outstanding Senior in Social Work, Excellence in Scholarship and Service, University of Vermont, 1982.

## LAURA CLEMMONS

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### SUMMARY OF QUALIFICATIONS

- Committed and dedicated consultant, public speaker, and community support liaison, focused on facilitating multicultural systems.
- Proven experience and in-depth knowledge of the best practices utilized in creating culturally sensitive environments.
- Excellent community collaboration skills with a solid leadership background.
- Strong analysis and program development capabilities with effective communication, organizational, and problem solving capabilities.
- Committed to incorporating a social justice perspective with a strong and inclusive community perspective.

### EDUCATION

UNIVERSITY OF VERMONT, Burlington, VT Doctor of Education, Higher Education, Leadership and Policy Program	September 2002-March 2008
TRINITY COLLEGE, Burlington, VT Master of Science, Community Mental Health	December 1995-May 1998
LESLEY COLLEGE, Cambridge, MA Bachelor of Science, Human Services and Early Intervention <i>Minor: Psychology</i>	January 1984-December 1986
UNIVERSITY OF THE PACIFIC, Stockton, CA Undergraduate and Graduate courses in Special Education	September 1981-December 1983

### PROFESSIONAL EXPERIENCE

SHADES OF EBONY PROGRAM, Burlington, VT <i>Founder &amp; Program Co Director</i>	2000-present
<ul style="list-style-type: none"><li>• Direct daily operations of support program for students of color and their families, predominantly in the Burlington area, focusing on academic, community, and family issues.</li><li>• Consult and educate school administrators and staff on social and cultural concerns affecting this population.</li><li>• Serve as a liaison between communities and schools to encourage parent involvement in school activities.</li><li>• Research funding possibilities and successfully write and administer a number of grants.</li><li>• Supervise tutorial and administrative support staff</li><li>• Program development within Shades program as well as collaborative programming with community agencies.</li></ul>	
Disability Services, ACCESS UNIVERSITY OF VERMONT, Burlington, VT <i>Learning Specialist</i>	2006-present
<p>Supporting academic guidance and learning for approximately 170 students eligible for ADA accommodations, concentration focused on working with students with psychiatric disabilities.</p> <ul style="list-style-type: none"><li>• Determine individually designed student accommodations and services by reviewing pertinent documentation, student and parent input and current course load; monitor and modify accommodation plan as needed.</li><li>• Provides information and consultation to prospective students, screening services and to at-risk students seeking supportive services.</li></ul>	

- Provide information and consultation to faculty and other university and community staff involved with the academic career and socio emotional well-being of the student.
- Provide and maintain effective and timely communication with members of the University community involved in provision of accommodations, while providing updated information and (community) referral resources to students with disabilities.
- Liaison for two (university) colleges as well as campus support offices (ALANA, Women's Center, Counseling Center).
- Maintain clear, concise, and up to date case records in office data base system.
- Demonstrate commitment to diversity, social justice and fostering collaborative multicultural environment with participation in search committees, workgroups and program development.

MULTICULTURAL CONSULTANT, Charlotte, VT

2004-present

- Provide multicultural curriculum and training for human service providers, educators and public health officials, with a emphasis on social justice as well and how to integrate into ethnically and culturally diverse communities.

SOUTHERN NEW HAMPSHIRE UNIVERSITY, Manchester, VT

2004-present

*Adjunct Professor*

- Instructor for Social and Cultural Foundations pre licensure course in the Community of Mental Health Program.
- Responsible for development of syllabus and selection of course literature

BAIRD CENTER FOR CHILDREN AND FAMILIES, Burlington, VT

2001-2004

*Multicultural Consultant/Outpatient Clinician*, Burlington High School (2002-2004)

- Provide consultation, program evaluations, and implementation of academic programs, primarily for students of color.
- Develop recommendations for administration and support staff on the cultural needs of the diverse student population in high school, and areas of need to be addressed by teaching staff.
- Work within the community to encourage more parents of color to become involved in school activities.
- Collaborate with grassroots community organizations and community leaders to create a more responsive and inviting school environment.
- Support students and parents on home, school, and community issues.

*Multicultural Coordinator*, Baird Center for Children & Families/Kidsafe Community Network (2001-2002)

- Delivered services to nine schools within the Burlington School District, including assessment of the needs of minority and refugee students/families and interaction with communities to address these needs.
- Provided in-home counseling and support to minority and refugee families, and designed/implemented school-based support groups focused on multicultural issues.
- Collaborated with grassroots community organizations, families, and social service organizations to assist in evaluating the needs of diverse communities and implemented programs and policies.
- Designed and implemented training for a broad range of Baird staff on multicultural issues, including the assessment of the needs of culturally diverse families, communities, and neighborhoods.
- Taught and reinforced methods to approach families regarding mental health and racial awareness, and assisted in the development of culturally sensitive policies for a diverse population.
- Consulted with Kidsafe Community Network agencies to assess needs and provide recommendations to increase staffing and board members of color, improve agency operations, and develop more culturally sensitive programs.

BURLINGTON SCHOOL DISTRICT, Burlington, VT

2000-2001

*Interim Diversity Equity Coordinator*

- Assessed the needs of minority and refugee students in six elementary schools, as well as their families and community.
- Worked in conjunction with school administration, the district office, and community groups to develop policies and programs to serve the targeted population, and to provide multicultural education.
- Developed and implemented diversity support groups in all six schools.
- Organized support groups to address the needs of the African American population.
- Collaborated with community agencies related to programs serving socioeconomically disadvantaged children and families as well as refugee and minority families.
- Supported individual schools in their efforts to decrease challenging school-wide behaviors and to increase school spirit, community support and involvement.

H.O. WHEELER ELEMENTARY SCHOOL, Burlington, VT

1999-2000

*Behavioral Interventionist, Grades K-5*

- Provided supportive mental health services, crisis support, and behavioral incentives to a highly diverse population of 220 student, in addition to supervising the in-school suspension room.
- Worked with the principal, guidance, and special education staff with policy development in areas of mental/public health and social issues affecting students and families in a highly impoverished area.
- Collaborated with school administration, outside agencies, and communities on assessing the needs of a diverse population and on the creation of school-wide discipline policies and procedures.
- Provided in-home support to over 60 families and created/facilitated groups focused on social, friendship, anger management, and coping skills.
- Served as acting principal as needed. Responded to parent, student, teacher, and classroom management issues.

## Southern New Hampshire University Board of Trustees 2011-2012

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<p>*Preferred mailing address Revised January 26, 2012 njr</p>		

**Southern New Hampshire University**  
**Graduate Program in Community Mental Health and Mental Health Counseling**

**Mission**

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~~The mission of the Graduate Program in Community Mental Health and Mental Health~~

Counseling is to prepare individuals for work as counselors in community-based behavioral health care and a variety of related services for children and adults, by providing education in state-of-the-art professional practice. The curriculum is based on a set of core competencies. These competencies are nationally recognized, multidisciplinary and multicultural in nature, are drawn from the research literature and from practices in 'model programs,' and have been developed with input from the major constituencies, including professionals, researchers, advocates, service users and their families. One innovative feature is that it strives to be an integrated program, in which people in recovery and family members study with students who are current service providers, all with mutual goals for greater learning and service in the field.

The program is offered in a Cohort model and employs a Weekend delivery format designed to be accessible to working adults. The program also prepares its master's level graduates for licensure and certification as Mental Health or Professional Counselors and/or Substance Abuse Counselors.

The Objectives and Goals of the Program are:

- To increase the clinical counseling and community support skills and competence of staff and managers working in integrated mental health and substance abuse services;
- To develop new leaders skilled in innovative program development in response to emerging needs in community mental health and substance abuse treatment;
- Through professional development and education, to improve service outcomes for children and youth or adults with psychiatric disabilities and/or substance abuse issues and their families;
- To increase the number of family members and people in recovery who are prepared to work in mental health and substance abuse counseling.

## Staff List Form

**Bidder/Program Name:** SNHU Graduate Program in Community Mental Health & Mental Health Counseling

**Name of RFP:** RFP#12-OMHRA-IPOPCapacity-12

This proposal includes:

- 60 days of Professional Staff time, approximately 3.15 days per week or an average of .6 FTE from May 23 through September 29, 2012. 15 Days are allocated for the period May 23 through June 30 and 45 days for the period July 1 through September 29, 2012.
- 8 days of Administrative Assistant staff time from May 23 through September 29, 2012. Four days are allocated to May 23 through June 30 and 4 days for July 1 through September 29, 2012.
- This will be divided into the two project periods below.
- More detail on how days/week of staff time are allocated to project activities may be seen in the project Timeline.
- Staff Roles are described in the Proposal Narrative, section I, # 3.
- Professional Staff resumes may be seen in Appendix C.

**Budget Period May 23 through June 30, 2012:**

A	B	C	D	E	F	G	H
Position Title	Current Individual in Position	Projected Hrly Rate as of 1 <sup>st</sup> Day of Budget Period	Hours per Week	Proj. Amnt Funded by this Contract for Budget Period	Proj. Amnt from Other Sources for this Budget Period	Total Salaries All Sources	Site*
PCMH Director	Annamarie Cioffari	\$38.69	6.5	\$1,509	\$7,776	\$9,285	
Asst. Academic Coord.	Julie Welkowitz	\$29.44	6.5	\$1,148	\$5,918	\$7,066	

Site Dev. Coord.	Susan Maslack	\$30.65	7	\$1,287	\$6,069	\$7,356
Admin. Asst	Sarah Chausse or Cindi Arsenault	\$18.50	5.3	\$588	\$3,915	\$4,503

**Bidder/Program Name: SNHU Graduate Program in Community Mental Health & Mental Health Counseling**

**Name of RFP: RFP#12-OMHRA-HPOP-Capacity-12**

This proposal includes:

- 60 days of Professional Staff time, approximately 3.15 days per week or an average of .6 FTE from May 23 through September 29, 2012. 15 Days are allocated for the period May 23 through June 30 and 45 days for the period July 1 through September 29, 2012.
- 8 days of Administrative Assistant staff time from May 23 through September 29, 2012. Four days are allocated to May 23 through June 30 and 4 days for July 1 through September 29, 2012.
- This will be divided into the two project periods below.
- More detail on how days/week of staff time are allocated to project activities may be seen in the project Timeline.
- Staff Roles are described in the Proposal Narrative, section I, # 3.
- Professional Staff resumes may be seen in Appendix C.

**Budget Period July 1 through September 29, 2012:**

A	B	C	D	E	F	G	H
Position Title	Current Individual in Position	Projected Hrly Rate as of 1 <sup>st</sup> Day of Budget Period	Hours per Week	Proj. Amnt Funded by this Contract for Budget Period	Proj. Amnt from Other Sources for this Budget Period	Total Salaries All Sources	Site*
PCMH Director	Annamarie Cioffari	\$38.69	10	\$4,643	\$15,476	\$20,119	
Asst. Academic							

Coord.	Julie Welkowitz	\$29.44	10	\$3,532	\$11,777	\$15,309
Site Dev. Coord.	Susan Maslack	\$30.65	10	\$3,678	\$12,260	\$15,938
Admin. Asst.	Sarah Chausse or Cindi Arsenault	\$18.50	2.6	\$592	\$9,164	\$9,756



**BUDGET FORM AND JUSTIFICATION Bidder/Program Name: SNHU PCMH; RFP#12-OMHRA-HPOPCapacity-12**

\*Fringe Benefits @ 35%;

Travel: May-June: 3 trips to NH @ 365 miles \*\$0.555 = \$607; \$300 from HPOP & \$307 in-kind  
 NEIAS attendance (\$1690, includes \$985 registration & meals/lodging; 550 miles@ \$0.555 = \$305 and \$400 exhibitor fee)

July-Sept: 5 trips to NH@ 365 miles\*\$0.555= \$1,013; \$813 in HPOP & \$200 in-kind  
 NEIAS in Waterville Valley attendance est. at \$1,856, includes \$1,290 attendance/lodging, 300 miles @ \$0.555 = \$166.50 & \$400 exhibitor fee

Budget for State Fiscal Period 5/23/12-6/30/12			Budget for State Fiscal Period 7/1/12-9/29/12			Budget for Federal Project Period 5/23/12-9/29/12					
Line Item	HPOP Funds Requested	Contract or In-Kind Funds	Total	Line Item	HPOP Funds Requested	Contract or In-Kind Funds	Total	Line Item	HPOP Funds Requested	Contract or In-Kind Funds	Total
Personnel	\$4,532	0	\$4,532	Personnel	\$12,445	0	\$12,445	Personnel	\$16,977	0	\$16,977
Fringe Benefits*	\$1,586	0	\$1,586	Fringe Benefits*	\$4,356	0	\$4,356	Fringe Benefits*	\$5,942	0	\$5,942
Travel**	\$1,990	\$307	\$2,297	Travel**	\$2,669	\$200	\$2,869	Travel**	\$4,659	\$507	\$5,166
Equipment	0	0	0	Equipment	0	0	0	Equipment	0	0	0
Supplies	\$500	0	\$500	Supplies	\$500	0	\$500	Supplies	\$1,000	0	\$1,000
Contractual	0	0	0	Contractual	0	0	0	Contractual	0	0	0
Construction	0	0	0	Construction	0	0	0	Construction	0	0	0
Other	0	0	0	Other	0	0	0	Other	0	0	0
				Consultant	\$1,500	0	\$1,500	Consultant	\$1,500	0	\$1,500
Total Direct Charges	\$8,608			Total Direct Charges	\$21,470			Total Direct Charges	\$30,078		\$30,585
Indirect Charges	\$861			Indirect Charges	\$2,147			Indirect Charges	\$3,008		\$3,059
<b>TOTAL</b>	<b>\$9,469</b>			<b>TOTAL</b>	<b>\$23,617</b>			<b>TOTAL</b>	<b>\$33,086</b>		<b>\$33,644</b>

**BUDGET NARRATIVE**  
**RFP #12 - OMHRA-HPOP Capacity-12**

**Bidder: Southern New Hampshire University/Program in Community Mental Health**

**PERSONNEL: \$16, 977.00 Total**

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**5/23/12-6/30/12 (Budget Period I): \$4,532.00 requested**

During the first budget period, the funds requested will cover personnel costs as follows: 15 days of professional staff time and 4 days of administrative assistant staff time. During this time period, professional staff time will be used to conduct activities to include: meeting with SNHU offices to determine existing demographic information collected for students and existing strategies for recruitment and retention of minority students; reviewing relevant literature; collecting information on recommended self-assessment tools and guides; contacting state and local agencies to obtain technical assistance and resource information; developing list of contact agencies knowledgeable about minority and low income groups; summarizing and disseminating key information collected; providing monthly updates to funders. Administrative assistant staff time will be used for the following activities: organizing contact information for relevant community agencies and organizations; assisting with dissemination activities (i.e., copying materials; uploading/sending information through electronic resources).

**7/1/12-9/29/12 (Budget Period II): \$12,445.00 requested**

During this second budget period, the funds requested will cover personnel costs as follows: 45 days of professional staff time and 4 days of administrative assistant staff time. During this time period, professional staff time will be used to conduct activities to include: reviewing existing program evaluation data, meeting with outside consultant, developing questions and strategies for surveying key informants on the PCMH program, on integrating content on cultural relevance into higher education curricula, and on best practices for recruitment, retention and career advancement for minority students in higher education; surveying key informants and summarizing feedback; disseminating information on survey results, developing long-range plan for implementation of best practices; providing monthly updates and final report to funders. Administrative assistant time will be used for the following activities: assisting with the

collection of information from key informants (i.e., copying, mailings; sending requests through emails/ list-serves, etc.); assisting with the dissemination of information (i.e., copying, assembling packets, mailings, etc.), and assisting with required reports to funders.

**FRINGE BENEFITS: \$5942.00 Total**

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Fringe benefits are calculated at 35% of personnel salary.

**5/23/12-6/30/12 (Budget Period I): \$1,586.00 requested**

**6/7/12-9/29/12 (Budget Period II): \$4,356.00 requested**

**TRAVEL: \$4,659.00 Total**

**5/23/12-6/30/12 (Budget Period I): \$1,990.00 requested (\$307.00 in-kind)**

This request includes 3 round trips to New Hampshire @ 365 miles \* \$0.555 = \$607 (\$300 from HPOP & \$307 in-kind) and attendance, for dissemination activities, at the week-long New England Institute for Addiction Studies (NEIAS) in Brunswick, Maine (\$1690, includes \$985 registration & meals/lodging; 550 miles @ \$0.555 = \$305, and \$400 exhibitor fee).

**7/1/12-9/29/12 (Budget Period II): \$2,669 requested (\$200 in-kind)**

This request includes 5 trips to NH @ 365 miles \* \$0.555 = \$1,013 (\$813 in HPOP & \$200 in-kind) and attendance, for dissemination activities, at the week-long New England Institute for Addiction Studies (NEIAS) in Waterville Valley, New Hampshire (\$1,856, includes \$1,290 registration/lodging, 300 miles @ \$0.555 = \$166.50 & \$400 exhibitor fee).

**EQUIPMENT: \$0.00**

No equipment requested.

**SUPPLIES: \$1000.00 Total**

Supplies for both budget periods will include costs of paper, copying, stationary/envelopes, postage.

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**~~5/23/12-6/30/12 (Budget Period I): \$500.00 requested~~**

**67/1/12-9/29/12 (Budget Period II): \$500.00 requested**

**CONTRACTUAL: \$0.00**

No contractual expenses are anticipated.

**CONSTRUCTION: \$0.00**

No construction costs will be incurred.

**OTHER: Consultant: \$1500.00 Total**

**5/23/12-6/30/12 (Budget Period I): \$0.00 requested**

**67/1/12-9/29/12 (Budget Period II): \$1500.00 requested**

During this second budget period, funds will be allocated to hire a consultant knowledgeable with respect to behavioral health issues related to minority and low income populations, as well as knowledgeable regarding higher education processes related to the recruitment and retention of these target populations. This consultant will assist with the self-assessment process, including sharing his/her expertise on cultural relevance in behavioral health care and recruitment, retention and advancement of minority students in higher education and perhaps also on the development of questions and strategies for surveying key informants.

**INDIRECT COSTS: \$3008.00 Total**

SNHU is requesting the 10% of total direct costs for indirect expenses, as allowed under the contract. This applies to both budget periods.

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**5/23/12-6/30/12 (Budget Period I): \$861.00 requested**

**6/7/12-9/29/12 (Budget Period II): \$2147.00 requested**

**TOTAL COSTS: \$33,086.00 Total requested**

**5/23/12-6/30/12 (Budget Period I): \$9,469.00 requested (+ \$307.00 in-kind)**

**6/7/12-9/29/12 (Budget Period II): \$23,617.00 requested (+ 200.00 in-kind)**