



Lori A. Weaver
Interim Commissioner

Katja S. Fox
Director

STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION FOR BEHAVIORAL HEALTH

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March 7, 2023

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

REQUESTED ACTION

Authorize the Department of Health and Human Services, Division for Behavioral Health, to amend an existing contract with Brandeis University (VC#392871), Waltham, MA, for continued study of the readiness, capability, and cost-effectiveness of implementing a Certified Community Behavioral Health Clinic (CCBHC) model of service across the NH Community Mental Health and Substance Use Disorder Treatment Systems, by exercising a contract renewal option with no change to the price limitation of \$97,407 and extending the completion date from June 30, 2023 to December 31, 2023, effective upon Governor and Council approval. 100% Federal Funds.

The original contract was approved by Governor and Council on September 7, 2022, Item #33.

Funds are available in the following accounts for State Fiscal Year 2023, with the authority to adjust budget line items within the price limitation through the Budget Office, if needed and justified.

**05-95-92.922010-2340 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS
DEPT OF, HHS: BEHAVIORAL HEALTH DIV, BUREAU OF MENTAL HEALTH SERVICES,
PROHEALTH NH GRANT (100% Federal Funds)**

State Fiscal Year	Class / Account	Class Title	Job Number	Current Budget	Increased (Decreased) Amount	Revised Budget
2023	102-500731	Contracts for Program Services	92202340	\$53,298	\$0	\$53,298
			<i>Subtotal</i>	\$53,298	\$0	\$53,298

**05-95-92-922010-41200000 HEALTH AND SOCIAL SERVICES, HEALTH AND HUMAN SVCS
DEPT, HHS: BEHAVIORAL HEALTH DIV, BUREAU OF MENTAL HEALTH SERVICES,
MENTAL HEALTH BLOCK GRANT (100% Federal Funds-ARPA)**

State Fiscal Year	Class / Account	Class Title	Job Number	Current Budget	Increased (Decreased) Amount	Revised Budget
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2023	074-500589	Grants for Pub Asst and Relief	92254120	\$44,109	\$0	\$44,109
			Subtotal	\$44,109	\$0	\$44,109
			Total	\$97,407	\$0	\$97,407

EXPLANATION

The purpose of this request is to extend Phase 1 of the New Hampshire Community Mental Health Centers and Substance Use Disorder treatment systems Readiness Study to complete analysis and assessment of the capability and cost effectiveness of implementing a Certified Community Behavioral Health Clinic (CCBHC) model of service in accordance with HR 4302, Protecting Access to Medicare Act of 2014 (PAMA) and criteria as defined by the Substance Abuse and Mental Health Services Administration.

This extension will allow the Department to complete their thorough review and assessment of the analyses and associated reports to determine the appropriateness of the Department moving forward with Phase 2, CCBHC Implementation Plan Development, by utilizing existing State Fiscal Year 2023 funding that will be carried forward to State Fiscal Year 2024.

The Department will continue monitoring Contractor performance through the review of monthly status reports to ensure project deliverables and associated timelines are met and adhered to.

As referenced in Exhibit A, Revisions to Standard Agreement Provisions, of the original agreement, the parties have the option to extend the agreement for up to one (1) additional year, contingent upon satisfactory delivery of services, available funding, agreement of the parties and Governor and Council approval. The Department is exercising its option to renew services for six (6) months of the one (1) year available.

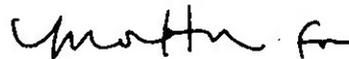
Should the Governor and Council not authorize this request, Department will lose ground gained through the initial analysis of the service system and the opportunity to understand how to improve quality of integrated community based mental health and substance use services through potentially implementing the CCBHC model.

Area served: Statewide

Source of Federal Funds: Assistance Listing Number# 93.958, FAIN B09SM085371 and Assistance Listing Number #93.243, FAIN H79SM080245.

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

Respectfully submitted,



Lori A. Weaver
Interim Commissioner

**State of New Hampshire
Department of Health and Human Services
Amendment #1**

This Amendment to the Readiness Study for Certified Community Behavioral Health Clinics (CCBHC) contract is by and between the State of New Hampshire, Department of Health and Human Services ("State" or "Department") and Brandeis University ("the Contractor").

WHEREAS, pursuant to an agreement (the "Contract") approved by the Governor and Executive Council on September 7, 2022 (Item #33), the Contractor agreed to perform certain services based upon the terms and conditions specified in the Contract and in consideration of certain sums specified; and

WHEREAS, pursuant to Form P-37, General Provisions, Paragraph 1.7, and Exhibit A, Revisions to Standard Agreement Provisions, the Contract may be amended upon written agreement of the parties and approval from the Governor and Executive Council; and

WHEREAS, the parties agree to extend the term of the agreement to support continued delivery of these services; and

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

1. Form P-37 General Provisions, Block 1.7, Completion Date, to read:

December 31, 2023

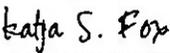
All terms and conditions of the Contract not modified by this Amendment remain in full force and effect. This Amendment shall be effective upon Governor and Council approval.

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

State of New Hampshire
Department of Health and Human Services

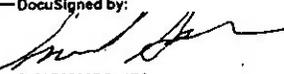
3/9/2023

Date

DocuSigned by:

Name: Katja S. Fox
Title: Director

3/7/2023

Date

Brandeis University
DocuSigned by:

Name: Samuel Solomon
Title: CFO

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

OFFICE OF THE ATTORNEY GENERAL

3/9/2023

Date

DocuSigned by:
Robyn Guarino
74873484041480
Name: Robyn Guarino
Title: Attorney

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

OFFICE OF THE SECRETARY OF STATE

Date

Name:
Title:

State of New Hampshire

Department of State

CERTIFICATE

I, David M. Scanlan, Secretary of State of the State of New Hampshire, do hereby certify that BRANDEIS UNIVERSITY is a Massachusetts Nonprofit Corporation registered to transact business in New Hampshire on March 17, 2022. I further certify that all fees and documents required by the Secretary of State's office have been received and is in good standing as far as this office is concerned.

Business ID: 893140

Certificate Number: 0005830631



IN TESTIMONY WHEREOF,

I hereto set my hand and cause to be affixed
the Seal of the State of New Hampshire,
this 15th day of July A.D. 2022.

A handwritten signature in black ink, appearing to read "D. Scanlan", is written over a faint circular stamp.

David M. Scanlan
Secretary of State



Brandeis

UNIVERSITY

I, Orla C. O'Brien, hereby certify that I am duly appointed Clerk/Secretary/Officer of Brandeis University. I hereby certify the following is a true copy of the Brandeis University current Bylaws or Articles of Incorporation of the Corporation and that the Bylaws or Articles of Incorporation authorize the following officers or positions to bind the Corporation for contractual obligations

Ronald D. Liebowitz, President
Carol A. Fierke, Provost and Executive Vice President of Academic Affairs
Stewart Uretsky, Executive Vice President for Finance and Administration
Samuel Solomon, Chief Financial Officer and Treasurer

I further certify that the following individuals currently hold the office or positions authorized:

Stanley M. Bolotin, Director, Pre-Award Services, Office of Research Administration
Martha Davis, Associate Director, Pre-Award Services, Office of Research Administration
Christine DiBlasi, Assistant Director, Pre-Award Services, Office of Research Administration
Marissa Hamilton, Assistant Director, Pre-Award Services, Office of Research Administration

I further certify that it is understood that the State of New Hampshire will rely on this certificate as evidence that the person listed above currently occupies the position indicated and that they have full authority to bind the corporation. This authority **shall remain valid for thirty (30) days** from the date of this certificate.

DATED: March 7, 2023

ATTEST:

A handwritten signature in black ink, appearing to read "Orla C. O'Brien", written over a horizontal line.

Orla C. O'Brien
Assistant Secretary of the Brandeis Board of Trustees

These bylaws reflect the revisions voted at the meeting of the Board of Trustees on April 12, 2022.

Article I: The Corporation

The Corporation of Brandeis University shall consist of not more than fifty (50) voting Trustees, as provided under the terms of the Charter, Chapter 326 of the Laws of 1937 of the Commonwealth of Massachusetts, as amended by Chapter 257 of the Acts of 1961, as further amended by Chapter 371 of the Acts of 1968, and as further amended by Chapter 354 of the Acts of 1973.

Article II: Trustees and Terms of Trustees

Section A: Election of Trustees

1. The Board of Trustees shall be self-perpetuating.
2. **Nomination and Election:**
 - a. The Nominating and Governance Committee shall screen potential nominees, investigating and assessing their suitability for consideration as Trustees, and determining whether to recommend to the Board of Trustees an individual for nomination as a Trustee.
 - b. The Nominating and Governance Committee shall submit a biographical summary and such other information it may deem useful of any individual it recommends for membership on the Board of Trustees.
 - c. Upon submission of the nomination to the Board of Trustees, and if the nominee has expressed a willingness to serve, the Chair of the Board of Trustees shall conduct a vote in accordance with the provisions of Article IV, Section B, 2a. of these Bylaws.
 - d. The Chair shall declare that an individual has been duly elected, if, with a majority of the eligible Trustees voting, three-quarters (3/4) of the votes cast are affirmative. The Chair of the Board of Trustees shall thereupon notify the individual.
 - e. The Nominating and Governance Committee shall establish a regular process of evaluating the participation of each Trustee throughout his or her term.
3. **Term of Office:**

A Trustee, regularly elected in the above-prescribed manner, shall serve for a period of four (4) years. If the Trustee is elected on or before December 31, his or her term will be deemed to have begun immediately following the prior spring Commencement; if elected on or after January 1, his or her term will be deemed to have begun immediately following the next spring Commencement. Subject to the limitations of subparagraphs (b) and, below, the Board of Trustees may, at its discretion, elect a Trustee to additional four (4) year terms. The re-election of a Trustee for a second or third term shall not be a formality. The Nominating and Governance Committee shall first evaluate each Trustee eligible for re-election to the Board before nominating such Trustee for an additional term, subject to re-election by the Board.

- a. No Trustee, except as noted in subparagraph (c) and (e), shall serve more than twelve (12) years in total, but any incumbent Board Chair who shall have attained twelve (12) years of service, but who is in the midst of a term, may complete that term. Consecutive years of service shall include all years served, whether as a regular Trustee, Alumni Term Trustee, Chair of the Fellows of the University, President of the Brandeis Alumni Association, or President of the Brandeis National Committee.
- b. Any Trustee who as of January 25, 2022: 1) will have served a total of at least twelve (12) years, or 2) will be in the midst of their third four-year term, shall be elected to a final four-year term ending immediately after Commencement 2026.
- c. Leaves of absence may be granted to voting Trustees on a case-by-case basis; upon recommendation of the Chair and a majority vote of the Board of Trustees.

Section B: Alumni Term Trustees

The membership of the Board of Trustees shall include four (4) Alumni Term Trustees, each serving for a term of four (4) years, as voting members of the Board, and elected in accordance with the procedures for the election of regular Trustees set forth in Article II, Section A 2. a to d.

1. The terms of the four (4) Alumni Term Trustees shall be so staggered that one (1) shall be elected each year.
2. An individual serving for the unexpired portion of the term of an Alumni Term Trustee may, upon the conclusion of that term, be immediately elected to a full, four-year term as an Alumni Term Trustee, provided the unexpired term portion did not exceed two years. The unexpired portion of the term of an Alumni Term Trustee that is equal to or exceeds two years shall be considered a full term for purposes of election in accordance with the provisions of Section B. 3. below.
3. An Alumni Term Trustee, upon completion of his or her term, shall not succeed to another Alumni term, except as noted in Section B. 2 above. Such Trustee, however, shall be eligible for election by the Board of Trustees under provisions of Section A. 2.

Section C: Other Representative Trustees

The Chair of the Board of Fellows of Brandeis University, the President of the Brandeis National Committee, and the President of the Brandeis Alumni Association shall, upon entering into incumbency of such office and upon approval of the voting Trustees, become voting members of the Board of Trustees, unless any such person is already serving as a Trustee. Any person so elected by the Board of Trustees by virtue of one of the foregoing particular offices shall serve only during his or her incumbency in that office. Upon termination of such incumbency, membership on the Board of Trustees of such person shall automatically expire.

Section D: Trustees Emeriti/Ae

1. When a Trustee leaves the Board due to resignation or term expiration, he or she will be eligible to be elected a Trustee Emeritus/a if he or she has served a minimum of two terms and has provided distinguished and meritorious service and leadership, and has

made exceptional contributions, to the University. In that regard, the Nominating and Governance Committee shall assess a potential candidate with regard to the degree of his or her exemplary leadership behavior, philanthropic contributions, the extent of time and energy devoted to the University and the extent of specialized expertise needed to advance the University's strategic priorities, and with a potential candidate being required to meet at least three of those four criteria at a level above and beyond that normally expected of a Trustee.

2. A Trustee Emeritus/a is not a voting member of the Board of Trustees and is not included in the count of Trustees established by the Charter of the Corporation. A Trustee Emeritus/a automatically becomes a Fellow as described in Article VIII.

Section E: Removal or Suspension of a Trustee or Officer of the Board

A Trustee or Officer of the Board may be removed or suspended from office for cause deemed sufficient by those voting for such removal in accordance with the provisions set forth in Article IV; Section B, 2.b, ii.

Article III: Officers and Terms of Service

Section A: Officers of the Corporation

The Officers of the Corporation shall be a Chair (designated in the Charter as the President) of the Board of Trustees, up to three (3) Vice Chairs (designated in the Charter as the Vice Presidents), a Treasurer, a Secretary, an Assistant Treasurer, and an Assistant Secretary/Clerk.

Section B:

1. Each of the Officers shall be elected from the voting membership of the Board of Trustees upon nomination by the Nominating and Governance Committee, except the Treasurer, Assistant Treasurer and the Assistant Secretary/Clerk, and shall be elected by the Board of Trustees at the Annual Meeting or at such other designated meeting, with proper notice, by the Board of Trustees. The duly elected Officers of the Corporation shall assume their respective offices immediately upon the conclusion of the spring Commencement exercises of the University, unless the election of an officer is for the purpose of filling an existing vacancy, in which case the position will be filled immediately or upon a future date specified in the vote.
2. The term of office of the Chair, Vice Chair(s) and Secretary shall be three (3) years, running concurrently with the term of the Chair of the Board of Trustees, and the Vice Chair(s) shall be eligible to serve in the same office for a second consecutive term. The term of office of the Secretary shall be limited to one three-year term, and shall not be eligible for election to an additional consecutive term. Any other Officer who has served in the same office for two (2) consecutive terms shall not be eligible for election in that office for an additional consecutive term. [The September 14, 2016 amendment concerning Officer terms running concurrently with the Chair's term shall take effect upon the next occurring expiration of each Officer's term after that date. Upon such expiration, the next elected Officer's term in each office shall be for the remainder of the

Chair's then current term, and shall be treated as a full term for purposes of determining eligibility for re-election to that office.]

3. A vacancy occurring in any office of the Corporation, except that of Treasurer, Assistant Treasurer and Assistant Secretary/Clerk, shall be filled by election of a successor from the voting membership of the Board of Trustees upon nomination by the Nominating and Governance Committee. Such successor's term shall run concurrently with the term of the Chair of the Board of Trustees and shall be treated as a full term for purposes of determining eligibility for re-election to that office.
4. Upon the President's recommendation, the Board of Trustees appoints the Treasurer, Assistant Treasurer and Assistant Secretary/Clerk from among the full-time employees of the University. The Assistant Secretary/Clerk shall be a resident of the Commonwealth of Massachusetts.

Article IV: Powers of Trustees

Section A: The Board of Trustees

1. The Board of Trustees is the governing body of the Corporation, and has full power to determine all questions relating to the management of the Corporation and to control and fix its corporate and educational policies. Without limiting the foregoing, the Board of Trustees has power, in behalf of the Corporation, to acquire property, and to enter into contracts and to fix the terms of any such acquisition or disposition of property and of any such contracts, to borrow money or otherwise incur indebtedness and issue negotiable or other obligations of the Corporation and to secure the same by mortgage, pledge, or other lien, or otherwise upon any part of the property or assets of the Corporation.
2. **Executive Committee**
 - a. **Membership** The Executive Committee shall include the Chair of the Board of Trustees, who shall serve as Chair of the Executive Committee; the Vice Chairs of the Board of Trustees, who shall serve as Vice Chairs of the Executive Committee; the President of the University; and the Chairs of the Standing Committees as set forth in Article IV, Section A.3.c. below. There may also be up to two at-large members of the Executive Committee elected for a term of one year each from among the voting Trustees by the Board of Trustees upon recommendation of the Nominating and Governance Committee.
 - b. **Powers and Duties**
 1. The Executive Committee shall serve as a resource to the President for consultation and advice, and, subject to the limitations set forth in subparagraphs (2), (3) and (4) below, in the intervals between meetings of the Board of Trustees, is authorized to exercise the powers of the Board of Trustees. In the exercise of such powers, the Executive Committee shall take action on issues or matters of importance when a majority of the Committee determines that there is a reason to so act.
 2. The following powers are reserved to the Board alone and may not be delegated to the Executive Committee:
 - i. to authorize amendment of the Charter;

- ii. to authorize a merger or consolidation of the Corporation;
 - iii. to authorize dissolution of the Corporation; and
 - iv. to initiate a bankruptcy proceeding
3. Unless specifically authorized by the Board of Trustees, the Executive Committee may not:
 - i. elect or remove trustees; or elect or remove the President or the Provost; or grant tenure to or remove a tenured member of the faculty; or appoint or remove any member of the staff or non-tenured member of the faculty.
 - ii. amend the Bylaws of the University; authorize the opening or closing of any school or academic department of the University; or award degrees.
 - iii. adopt or amend annual operating or capital budgets; authorize any unbudgeted facility, project, debt, or buy or sell property beyond Board-approved guidelines; or set tuition or fees,
 - iv. set the compensation of the President.
4. The Board of Trustees may reverse or modify any vote of the Executive Committee, but no such reversal or modification shall nullify or impair any payment, purchase, sale, contract, or definitive commitment made under the authority of the Executive Committee.

c. Meetings

1. The Executive Committee shall meet at the call of the Chair of the Board or upon vote of the Executive Committee or whenever not fewer than three members of the Executive Committee so request in writing.
2. A majority of the members of the Executive Committee, including the Chair or one Vice Chair of the Board, shall constitute a quorum. Actions of the Executive Committee shall be by majority vote of the Committee. Members may participate by telephone conference only at the discretion of the Chair. Notice of meetings may be sent by facsimile or electronic mail. Summary minutes of the meetings shall be distributed to the Board of Trustees reasonably promptly following the meeting of the Executive Committee.

3. Other Committees

- a. The Board of Trustees may establish such Committees, in addition to the Executive Committee, as it deems proper and advisable, may assign their duties and responsibilities (except that no such assignment shall, in the absence of approval of the Board, grant any Committee power to take any action reserved in the Charter or Bylaws to the Board), and subject to the terms of the corporate Charter and these Bylaws, may delegate authority to Committees and their Chairs and Vice Chairs. Authority granted to standing and ad hoc committees to act on behalf of the Board of Trustees shall be confirmed annually. The Chair of the Board of Trustees shall appoint Committee members, Chairs and Vice Chairs of such Committees, with Chair appointments subject to the approval of the Nominating and Governance Committee. Committee Chairs and Vice Chairs must be voting Trustees, unless otherwise specifically authorized by the Executive Committee.
- b. Committee Chairs and Vice Chairs shall normally be appointed for a one year term, but no Chair or Vice Chair shall serve more than a total of three consecutive years in the

- same position, and may be removed by the Chair of the Board, but only after consultation with the Nominating and Governance Committee and the President.
- c. In addition to the Executive Committee, the Standing Committees of the Board of Trustees shall include but not be limited to:
 1. Academy
 2. Diversity, Equity, and Inclusion
 3. Institutional Advancement
 4. Investment
 5. Nominating and Governance
 6. Resources
 7. Risk Management and Audit
 8. Student Life
 - d. With the prior approval of the Chair of the Board of Trustees, each Standing Committee may establish subcommittees.
 - e. The Chair of the Board of Trustees shall have the authority to establish ad hoc Committees and to appoint Committee members, Chairs and Vice Chairs of such Committees. Committee Chairs and Vice Chairs must be voting Trustees, unless otherwise specifically authorized by the Executive Committee. Members of Committees may be Trustees or non-Trustees, but only Trustees may vote on Committee matters.
 - f. Each Committee member shall be familiar with and comply with the University's Conflict of Interest Policy for Trustees, Officers and Committee Members.
 - g. The Standing Committees shall have the authority as stated in their mandates, which shall be annually approved by the Board of Trustees.

Section B: Voting

1. There shall be no proxy voting.
2. All actions of the Board of Trustees, including regular resolutions, elections and appointments, shall be by majority vote of those present at a duly called meeting where a quorum is present, except for the following:
 - a. an affirmative vote of three-quarters of the voting Trustees in attendance at a regularly scheduled meeting of the Board of Trustees shall be required to elect a Trustee or an Officer of the Board,
 - b. a two-thirds (2/3) affirmative vote of the Trustees eligible to vote, shall be necessary:
 - i. to establish, suspend or discontinue the operation of any school or academic department of the University;
 - ii. to remove from office a Trustee or Officer of the Board of Trustees for cause deemed sufficient by those voting for such removal.
3. In the absence of a duly called meeting of the Board of Trustees, votes of the Board of Trustees may be taken by electronic mail or facimile. An action is deemed approved by electronic vote if approved in the affirmative by a majority of Trustees eligible to vote, unless a greater number of votes is required by a specific provision of the Bylaws, in which case the requirements of that provision shall prevail.

Section C: Quorum

A majority of the total number of members of the Board of Trustees eligible to vote shall be necessary to constitute a quorum at any regular or special meeting of the Board of Trustees. Trustees may participate in a meeting of the Board of Trustees by telephone, video or web conference at the discretion of the Chair.

Article V: Duties of Officers

Section A: The Chair

The Chair of the Board of Trustees shall have the powers and perform the duties customarily belonging to such office. The Chair shall serve as a resource to the President for consultation and advice. The Chair shall preside at all meetings of the Board of Trustees and is responsible for the preparation of the agenda of meetings of the Board of Trustees, and the appointment of the Chair, Vice Chairs and all members of Standing Committees of the Board of Trustees, with Chair appointments subject to the approval of the Nominating and Governance Committee. The Chair of the Board serves as Chair of the Executive Committee of the Board of Trustees.

Section B: The Vice Chairs

In the event of the absence or incapacity of the Chair of the Board of Trustees, his or her duties shall be performed by a Vice Chair designated by the Chair or, if the Chair is unable to designate a Vice Chair, elected by the Board as Chair pro tempore.

Section C: The Treasurer

The Treasurer shall keep, or cause to be kept, full and accurate accounts of all receipts and disbursements of funds and complete records of all other property of the Corporation. He or she shall, in the name of the Corporation, issue, or cause to be issued, receipts for funds or other property, deposit and disburse funds, and see to the custody of all other property as the Board of Trustees shall direct. He or she shall make, or cause to be made, reports to the Board of Trustees and to others as required with respect to the financial condition of the Corporation in such form and at such intervals as the Board of Trustees shall direct; and he or she shall perform, or cause to be performed, all duties that are incident to the office of the Treasurer, subject at all times to the authority and control of the Board of Trustees. The Assistant Treasurer shall aid the Treasurer in the performance of his or her duties, and shall perform such other tasks incident thereto as the Board of Trustees may direct.

Section D: The Secretary

The Secretary shall arrange, or cause to arrange, for proceedings of the Board of Trustees to be properly recorded and stored. The Secretary shall be responsible for securing the seal of the Corporation and fulfilling such other obligations as are established by corporate law in the Commonwealth of Massachusetts. The Assistant Secretary/Clerk shall aid the Secretary in the performance of his or her duties, and shall perform such other tasks incident thereto as the Board of Trustees may direct.

Article VI: Meetings of Trustees

Section A: Annual Meeting and Other Meetings

The Annual Meeting of the Board of Trustees shall be held each year at the University, in Waltham, Massachusetts. The Chair of the Board or the Assistant Secretary of the Corporation shall designate the meeting as the "Annual Meeting" in the call of such meeting and in all related matters. Other regular meetings shall be held on such dates and in such locations as determined by the Chair.

Special meetings shall be called by the Assistant Secretary at the request of the Chair or upon the written request to the Chair or Assistant Secretary of not fewer than ten (10) of the Trustees. The Assistant Secretary shall send notice of all regular meetings at least ten (10) days in advance. The Assistant Secretary shall send notice of all special meetings at least twenty-four (24) hours in advance, by telefax and/or electronic mail. In exigent circumstances, a special meeting may be called with a notice period of fewer than twenty-four (24) hours.

In this context, exigency shall be determined in the sole discretion of the Chair and the President. If the President is absent or incapacitated, the Chair shall consult with one or more of the Vice Chairs. Any Trustee may waive notice of any meeting, and the attendance of a Trustee at any meeting shall constitute a waiver of notice by him or her of such meeting. As provided in Article IV, Section C, Trustees may participate in regular or special meetings of the Board of Trustees, by telephone, video or web conference at the discretion of the Chair.

Section B:

Notice and a copy of the agenda of a meeting of the Board of Trustees shall be sent by mail, fax or electronically to all Trustees. The Chair shall prepare the agenda. A matter that has not been set forth on the agenda shall be voted upon only with the consent of two-thirds (2/3) of the Trustees present at the meeting. Such consent shall be considered to have been given, and any objection waived, if two-thirds (2/3) or more of the Trustees at such meeting vote on such matter.

Section C:

The Board of Trustees may hold any regular or special meeting, or any part thereof, in executive session with participation limited to voting Trustees with such exceptions as the Board of Trustees may provide. Any Committee of the Board of Trustees, with the approval of the Chair of the Board, may hold any regular or special meeting, or any part thereof, in executive session, with participation limited to voting members of the Board and such other individuals as may be designated by the Chair of the Committee with the concurrence of the Chair of the Board.

Article VII: Conflict of Interest

1. Each trustee shall be familiar with and comply with the University's Conflict of Interest Policy for Trustees, Officers and Committee Members, as it shall be approved and amended by the Board of Trustees from time to time.

2. Subject to the terms and conditions of such policy, a Trustee may be a party to, or may be financially or otherwise interested in, a matter affecting the University, whether directly or indirectly, provided that such interest shall have been disclosed and approved in accordance with such policy prior to any action taken with respect thereto by the Board of Trustees.
3. Subject to the terms and conditions of such policy, in any matter in which a Trustee has been or may be determined to have a conflict of interest:
 - a. Such Trustee shall not be counted in determining a quorum for a meeting of the Board of Trustees;
 - b. Such Trustee shall abstain from participating in the matter and shall absent himself or herself from that part of the meeting during which such matter is under consideration, except that he or she may be invited by the Board of Trustees to make a statement to it or answer questions;
 - c. Such Trustee shall not vote on the matter; and
 - d. Such Trustee shall not use his or her personal influence in any manner with respect to such matter.

Annual confidentiality and conflict of interest statements shall be submitted by each Trustee and reviewed by the Executive Committee, pursuant to such policy and its procedures.

Article VIII: The Board of Fellows of Brandeis University

The Board of Trustees may elect distinguished individuals as members of the Board of Fellows of Brandeis University for the purpose of fostering and advancing the welfare of the University. The President shall propose candidates to the Nominating and Governance Committee of the Board of Trustees, which shall present nominees for election of the Board of Trustees upon recommendation of the President of the University and the Nominating and Governance Committee.

The Chair of the Board of Fellows shall be nominated from the roster of Fellows or Trustees and shall be elected by the Board of Trustees for a three-year term and may be reelected for one consecutive three-year term. The Chair of the Board of Fellows, in consultation with the Chair of the Board of Trustees, may call meetings of the Fellows at designated times and places.

Members of the Board of Fellows shall retain their status as Life Members of the Board of Fellows of Brandeis University unless special circumstances warrant removal.

Article IX: Faculty and Officers of Administration

Section A: The President

The Board of Trustees appoints the President of the University. The President, by virtue of office, is a voting member and attends all meetings of the Board of Trustees, except during an evaluation of his or her performance, following which the President shall have the opportunity of addressing any issues raised before the Board. The President also serves ex officio, in a voting

capacity, on all committees of the Board of Trustees, except the Audit and Risk Management Committee.

Section B:

1. The President of the University is the Chief Executive Officer of the University, charged with the responsibility for all academic, administrative, financial, and other activities and with the execution of all policies established by the Board of Trustees. The President shall be a member of each faculty.
2. The Provost, those Vice Presidents reporting directly to the President, the General Counsel, and members of the Faculty within the tenure structure are appointed or promoted by the Board of Trustees upon the recommendation of the President of the University.
3. The President may delegate to academic and administrative officers such matters as he or she may deem appropriate.

Section C:

1. The President of the University, or the Provost and Senior Vice President for Academic Affairs, or the Executive Vice President for Finance and Administration, or the Chief Financial Officer and Treasurer, are authorized to sign, seal and execute on behalf of the University, the following documents: acceptances of gifts; pledges of money or securities or of real or personal property; discharges of mortgages; releases, receipts and indemnity agreements; contracts and agreements pertaining to all forms of benefaction, including without limitation life income trusts, chairs, endowments, and designated physical facilities; documents related to the investment of assets; agreements relating to employment; and any and all instruments that are involved in the regular course of the University's operations, including the implementation of cash management through the execution of loans for seasonal borrowing, to open custodial accounts, and to execute applications in connection with federal and state loan authorities.
2. Further, the said officers are authorized to sign, seal and execute on behalf of the University, any document to purchase or sell real estate, goods, equipment, facilities and services, including the financing thereof through lease arrangements, in an amount not to exceed \$1.0 million per transaction, unless such transaction has been duly authorized by the Board of Trustees.
3. The President of the University alone may delegate his or her powers concerning the signing and execution of documents and instruments to other designated senior officials of the University, but only under explicit and limited circumstances.

Article X: Faculty and Student Representatives to the Board of Trustees

1. The Chair of the Faculty Senate and four faculty representatives to the Board of Trustees elected through a process organized by the Faculty Senate (collectively, the "faculty representatives"), shall serve as representatives to the Board of Trustees through participation in Board committees, as set forth below. Faculty representatives are not Trustees and do not vote on matters before the Board of Trustees or its Committees.

Faculty representatives participate on the Board of Trustees' committees in order to help inform their members about issues; but not to make decisions. Faculty representatives will be assigned to Committees as determined by the Chair of the Board of Trustees.

2. The Board of Trustees may authorize the election of students to serve as representatives to the Board of Trustees through participation in Board committees under such terms and procedures as it deems appropriate. Such representatives are not Trustees and do not vote on matters before the Board of Trustees or its Committees.
3. Except as provided in Article VI, Section C, student representatives attend meetings of the following committees: Academy, Student Life, and Diversity, Equity, and Inclusion, as assigned by the Chair of the Board; and faculty representatives attend meetings of the following committees: Academy, Institutional Advancement, Resources, Student Life, and Diversity, Equity, and Inclusion, as assigned by the Chair of the Board. The faculty representative to the Resources Committee shall serve as a member of the Faculty Committee on Planning and Strategy; and the faculty representative to the Diversity, Equity, and Inclusion Committee shall serve as member of the Faculty Committee on Diversity, Equity, Inclusion, and Social Justice. Faculty and student representatives receive minutes, agendas, and other documents, may recommend items to be placed on committees agendas, and speak on matters before those Committees to which the Chair of the Board has assigned them.
4. The Chair and Vice Chairs of the Board of Trustees, together with the Chairs of the Academy and Resources Committees, shall meet with the faculty representatives during regular meetings of the Board to discuss matters of concern to the faculty. The Chair of Student Life Committee and a Vice Chair of the Board of Trustees shall meet with the student representatives during regular meeting of the Board to discuss matters of concern to the students.
5. Faculty and student representatives may be invited by the Chair to non-executive session meetings of the Board from time to time.

Article XI: Indemnification

1. Each Trustee, all Officers of the Corporation, all members of Board Committees, the President, the Provost, all Deans and Vice Presidents of the University, including all past incumbents of these several positions, shall be indemnified by it against all expenses actually and necessarily incurred by such individuals in connection with the defense of any action, suit, or proceeding to which he or she has been made a party by reason of his or her being or having been in such role, except in relation to matters as to which such individual(s) shall be adjudicated in such action, suit, or proceeding to be liable for gross negligence or willful misconduct in the performance of duty.
2. The Board of Trustees may, in its discretion, authorize from time to time the indemnification of any person not otherwise entitled to indemnification hereunder, who is an employee or other agent of the Corporation or who serves at the request of the Corporation as an employee or other agent of an organization in which the Corporation has an interest, but only to the extent permitted from time to time by law.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
7/13/2022

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

PRODUCER Arthur J. Gallagher Risk Management Services, Inc. 470 Atlantic Avenue Boston MA 02210 License#: BR-724491 BRANUMI-02	CONTACT NAME: Diane Gould PHONE (A/C No, Ext): 617-531-7744 FAX (A/C, No): 617-531-7777 E-MAIL ADDRESS: Diane_Gould@ajg.com <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">INSURER(S) AFFORDING COVERAGE</th> <th style="text-align: center;">NAIC #</th> </tr> <tr> <td>INSURER A: United Educators Ins, a Reciprocal Risk Retention</td> <td style="text-align: center;">10020</td> </tr> <tr> <td>INSURER B: Arch Insurance Company</td> <td style="text-align: center;">11150</td> </tr> <tr> <td>INSURER C:</td> <td></td> </tr> <tr> <td>INSURER D:</td> <td></td> </tr> <tr> <td>INSURER E:</td> <td></td> </tr> <tr> <td>INSURER F:</td> <td></td> </tr> </table>	INSURER(S) AFFORDING COVERAGE	NAIC #	INSURER A: United Educators Ins, a Reciprocal Risk Retention	10020	INSURER B: Arch Insurance Company	11150	INSURER C:		INSURER D:		INSURER E:		INSURER F:	
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INSURER F:															
INSURED Brandeis University 415 South Street Waltham MA 02453															

COVERAGES **CERTIFICATE NUMBER: 146422498** **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 INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GENL AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:			G61-61H	6/1/2022	6/1/2023	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 \$ \$ COMBINED SINGLE LIMIT (Ea accident) \$ BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS ONLY <input type="checkbox"/> NON-OWNED AUTOS ONLY						EACH OCCURRENCE \$ AGGREGATE \$ \$
	<input type="checkbox"/> UMBRELLA LIAB <input type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$						PER STATUTE OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
B	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	N/A	WCX 0066812 01	7/1/2022	7/1/2023	

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
 RE: Readiness Study for Certified Community Behavioral Health Clinics

CERTIFICATE HOLDER NH Department of Health and Human Services 129 Pleasant Street Concord NH 03301-3857	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
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Brandeis
UNIVERSITY

Office of Research Administration

Mission Statement

Brandeis University is a community of scholars and students united by their commitment to the pursuit of knowledge and its transmission from generation to generation. As a research university, Brandeis is dedicated to the advancement of the humanities, arts and social, natural and physical sciences. As a liberal arts college, Brandeis affirms the importance of a broad and critical education in enriching the lives of students and preparing them for full participation in a changing society, capable of promoting their own welfare, yet remaining deeply concerned about the welfare of others.

In a world of challenging social and technological transformations, Brandeis remains a center of open inquiry and teaching, cherishing its independence from any doctrine or government. It strives to reflect the heterogeneity of the United States and of the world community whose ideas and concerns it shares. In the belief that the most important learning derives from the personal encounter and joint work of teacher and students, Brandeis encourages undergraduates and postgraduates to participate with distinguished faculty in research, scholarship and artistic activities.

Brandeis was founded in 1948 as a nonsectarian university under the sponsorship of the American Jewish community to embody its highest ethical and cultural values and to express its gratitude to the United States through the traditional Jewish commitment to education. By being a nonsectarian university that welcomes students, teachers and staff of every nationality, religion and orientation, Brandeis renews the American heritage of cultural diversity, equal access to opportunity and freedom of expression.

The university that carries the name of the justice who stood for the rights of individuals must be distinguished by academic excellence, by truth pursued wherever it may lead and by awareness of the power and responsibilities that come with knowledge.

BRANDEIS UNIVERSITY

Financial Statements

June 30, 2022

(with summarized comparative information for June 30, 2021)

(With Independent Auditors' Report Thereon)



RSM US LLP

Independent Auditor's Report

Board of Trustees
Brandeis University

Opinion

We have audited the financial statements of Brandeis University (the University), which comprise the balance sheets as of June 30, 2022 and 2021, the related statements of activities, and cash flows for the years then ended, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of the University as of June 30, 2022 and 2021, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audits in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the University and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

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

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the University's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

THE POWER OF BEING UNDERSTOOD
AUDIT | TAX | CONSULTING

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the University's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

RSM US LLP

Boston, Massachusetts
October 31, 2022

BRANDEIS UNIVERSITY

Balance Sheet

June 30, 2022

(with comparative information as of June 30, 2021)

(In thousands of dollars)

Assets	2022	2021
Cash and cash equivalents	\$ 55,236	\$ 40,854
Accounts receivable, net	25,004	21,071
Notes receivable, net	4,728	6,233
Contributions receivable, net	18,526	7,679
Long-term investments	1,228,761	1,314,834
Funds held by bond trustee, restricted	1,672	16,832
Funds held in trust by others and other assets	34,038	39,025
Lease right-of-use assets, net	7,896	6,674
Property, plant and equipment, net	351,861	358,453
Total assets	\$ 1,727,722	\$ 1,811,655
Liabilities and Net Assets		
Liabilities:		
Accounts payable and accrued liabilities	\$ 36,867	\$ 39,539
Sponsored program advances	13,044	8,600
Student deposits and deferred revenue	9,593	7,391
Lease obligations	9,330	7,979
Other long-term liabilities	17,353	19,988
Long-term debt, net	268,698	280,802
Total liabilities	354,885	364,299
Net assets:		
Without donor restrictions	190,662	205,659
With donor restrictions	1,182,175	1,241,697
Total net assets	1,372,837	1,447,356
Total liabilities and net assets	\$ 1,727,722	\$ 1,811,655

See accompanying notes to financial statements.

BRANDEIS UNIVERSITY

Statement of Activities

Year ended June 30, 2022

(with summarized comparative information for the year ended June 30, 2021)

(In thousands of dollars)

	Net assets without donor restrictions	Net assets with donor restrictions	2022	2021
Operating revenues and other support:				
Tuition and fees (net of financial aid)	\$ 174,692	\$ -	\$ 174,692	\$ 156,571
Residence hall, and dining	46,341	-	46,341	30,189
Net tuition and fees, residence hall, and dining	221,033	-	221,033	186,760
Net assets utilized in operations	28,048	-	28,048	27,287
Sponsored programs – direct	54,309	-	54,309	51,813
Sponsored programs – indirect	14,767	-	14,767	14,573
Other investment income	623	-	623	338
Investment income from funds held in trust by others	348	-	348	330
Endowment return utilized	59,313	-	59,313	61,774
Other auxiliary enterprises	421	-	421	142
Other sources	9,198	-	9,198	7,964
Total operating revenues and other support	388,060	-	388,060	350,981
Operating expenses:				
Compensation	190,803	-	190,803	185,069
Employee benefits	47,741	-	47,741	32,083
Utilities and general repairs	20,504	-	20,504	17,497
Depreciation	29,392	-	29,392	29,023
Interest	9,582	-	9,582	10,412
Supplies, services, and other	87,335	-	87,335	71,277
Total operating expenses	385,357	-	385,357	345,361
Change in net assets from operating activities	2,703	-	2,703	5,620
Nonoperating activities:				
Net investment return	(5,615)	(41,732)	(47,347)	280,686
Endowment return utilized in operations	(7,853)	(51,460)	(59,313)	(61,774)
Net assets utilized in operations	(9,492)	(18,556)	(28,048)	(27,287)
Net assets released for capital purposes	237	(237)	-	-
Contributions	9,976	51,867	61,843	27,154
Other changes	(4,953)	596	(4,357)	(7,282)
Change in net assets from nonoperating activities	(17,700)	(59,522)	(77,222)	211,497
Change in net assets	(14,997)	(59,522)	(74,519)	217,117
Net assets at beginning of year	205,659	1,241,697	1,447,356	1,230,239
Net assets at end of year	\$ 190,662	\$ 1,182,175	\$ 1,372,837	\$ 1,447,356

See accompanying notes to financial statements.

BRANDEIS UNIVERSITY

Statement of Cash Flows

Year ended June 30, 2022

(with comparative information for the year ended June 30, 2021)

(In thousands of dollars)

	2022	2021
Cash flows from operating activities:		
Change in net assets	\$ (74,519)	\$ 217,117
Adjustments to reconcile change in net assets to net cash used in operating activities:		
Depreciation and amortization, net	27,982	27,613
Donations of securities	(5,058)	(2,519)
Proceeds from sale of donated securities	1,938	1,734
Net realized and unrealized investment loss (gain)	45,354	(281,937)
Net change from funds held in trust by others	2,182	(2,014)
Loss on disposal of fixed assets	2	84
Contributions restricted for long-term investment	(22,800)	(6,460)
Change in operating assets, net	(13,197)	(6,746)
Change in operating liabilities, net	2,291	2,821
Net cash used in operating activities	<u>(35,825)</u>	<u>(50,307)</u>
Cash flows from investing activities:		
Acquisition and construction of property, plant and equipment	(22,020)	(26,251)
Purchases of investments	(220,203)	(255,599)
Proceeds from sales and maturities of investments	259,668	354,662
Notes receivable issued	(75)	(89)
Notes receivable repaid	1,580	1,451
Net cash provided by investing activities	<u>18,950</u>	<u>74,174</u>
Cash flows from financing activities:		
Principal payments on bonds, notes and leases	(11,077)	(10,382)
Cost of issuance of bonds and notes	-	(22)
Payments on line of credit	-	(35,000)
Change in funds held by bond trustee	15,160	13,199
Proceeds from sale of donated securities restricted for long-term purposes	4,374	3,273
Contributions restricted for long-term investment	22,800	6,460
Net cash provided by (used in) financing activities	<u>31,257</u>	<u>(22,472)</u>
Change in cash and cash equivalents	14,382	1,395
Cash and cash equivalents, beginning of year	40,854	39,459
Cash and cash equivalents, end of year	<u>\$ 55,236</u>	<u>\$ 40,854</u>
Supplemental data:		
Interest paid	\$ 11,087	\$ 11,731
Decrease in accrued liabilities attributable to property, plant, and equipment	782	510

See accompanying notes to financial statements.

BRANDEIS UNIVERSITY

Notes to Financial Statements

June 30, 2022

(with comparative information for June 30, 2021)

(In thousands of dollars)

(1) Organization

Brandeis University (the University) is a private, not-for-profit, nonsectarian, co-educational institution of higher education with approximately 5,300 full-time equivalent undergraduate and graduate students. Established in 1948, the University offers educational programs for undergraduates in liberal arts and sciences, and graduate education and training in the arts and sciences, business, social policy and management.

(2) Summary of Significant Accounting Policies

(a) Basis of Presentation

The University's financial statements are presented on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States (GAAP). The financial statements have been prepared to focus on the University as a whole and to present balances and transactions based on the existence or absence of donor-imposed restrictions, as follows:

Without donor restrictions: net assets not subject to donor stipulations restricting their use, but may be designated for specific purposes by the University or may be limited by contractual agreements with outside parties. Such net assets may be designated by the Board of Trustees (the Board) for specific purposes, including to function as endowment.

With donor restrictions: net assets subject to donor stipulations that restrict the purpose and usage or contain a time restriction, which may be perpetual. These net assets are released from restrictions when the specified time elapses or actions have been taken to meet the restrictions. As further described in note 14, the University is subject to the Massachusetts Uniform Prudent Management of Institutional Funds Act (UPMIFA), under which donor-restricted endowment funds may be appropriated for expenditure by the Board in accordance with the standard of prudence prescribed by UPMIFA. Net assets of such funds in excess of their historic dollar value are classified as donor restricted until appropriated by the Board and spent on their intended purpose. In addition, net assets with donor restrictions includes donor-restricted endowment funds with underwater valuation. Life income trusts and pledges receivable for which the ultimate use is restricted by the donor are also reported as net assets with donor restrictions.

For comparison purposes, the 2022 statement of activities has been presented with 2021 summarized comparative information in total but not by net asset class. This summarized 2021 information is not intended to and does not include sufficient detail to constitute a complete presentation of changes in net assets in conformity with GAAP. Accordingly, such information should be read in conjunction with the University's financial statements for the year ended June 30, 2021, from which the summarized information was derived.

(b) Liquidity Information

In order to provide information about liquidity, assets have been sequenced in the balance sheet according to their nearness to conversion to cash, and liabilities have been sequenced according to the nearness of their maturity and resulting use of cash.

BRANDEIS UNIVERSITY

Notes to Financial Statements

June 30, 2022

(with comparative information for June 30, 2021)

(In thousands of dollars)

(c) Cash and Cash Equivalents

For purposes of the statement of cash flows, cash and cash equivalents, except those held as long-term investments, or funds held by bond trustee, consist of bank deposits, certificate of deposits, money market funds and investments with original maturities of three months or less at the date of purchase, and are carried at cost, which approximates fair value. The University maintains its cash in bank deposit accounts, which, at times may exceed federally insured limits. The University has not experienced losses in such accounts and does not believe it is exposed to any significant credit risk on cash and cash equivalents.

(d) Fair Value

Investments and funds held in trust by others are reported at fair value in the University's financial statements. Fair value represents the price that would be received upon the sale of an asset or paid upon the transfer of a liability in an orderly transaction between market participants as of the measurement date. GAAP establishes a fair value hierarchy that prioritizes inputs used to measure fair value into three levels:

Level 1 – quoted prices (unadjusted) in active markets that are accessible at the measurement date for assets or liabilities;

Level 2 – observable prices that are based on inputs not quoted in active markets, but corroborated by market data; and

Level 3 – unobservable inputs are used when little or no market data is available.

The fair value hierarchy gives the highest priority to Level 1 inputs and the lowest priority to Level 3 inputs. In determining fair value, the University utilizes valuation techniques that maximize the use of observable inputs and minimize the use of unobservable inputs to the extent possible. Certain investments meeting defined criteria are reported at their net asset value (NAV), which is used as a practical expedient to estimate their fair values, and these investments are not categorized in the fair value hierarchy.

(e) Funds Held by Bond Trustee

Funds held by bond trustee represents bond proceeds that will be drawn down to fund various capital projects. Funds held by bond trustee is invested in the Massachusetts Development Finance Agency's (MDFA) Short Term Asset Reserve Fund (STAR).

(f) Funds Held in Trust by Others and Other Assets

Funds held in trust by others (FHITBO) are perpetual trusts held in perpetuity by external trustees, as specified by the donors, and are reported by the University at fair value based on the underlying assets held by the trust. These assets are considered to be Level 3 within the fair value hierarchy. Trust income is distributed at least annually to the University in accordance with the terms of the trusts and is recorded as investment income. Changes in the fair value of the trusts are recorded as increases or decreases to net assets with donor restrictions. The University had \$9,683 and \$11,865 of FHITBO as of June 30, 2022 and 2021, respectively. Other assets include prepayments, inventories, and deferral of qualifying cloud computing arrangement implementation costs.

BRANDEIS UNIVERSITY
Notes to Financial Statements
June 30, 2022
(with comparative information for June 30, 2021)
(In thousands of dollars)

(g) Leasing

The University determines if an arrangement is a lease at inception. The University has both leases under which it is obligated as a lessee and leases for which it is a lessor. Finance leases are included in property, plant, and equipment, operating leases are included in right of use assets, and the related lease obligations in the balance sheet.

Lease right-of-use assets represent the University's right to use an underlying asset for the lease term. Lease obligations represent the University's liability to make lease payments arising from the lease. Operating and finance lease right-of-use assets and related obligations are recognized at commencement date based on the present value of lease payments over the lease term discounted using an appropriate incremental borrowing rate. The incremental borrowing rate is based on the information available at commencement date in determining the present value of lease payments. The value of an option to extend or terminate a lease is reflected to the extent it is reasonably certain management will exercise that option. Lease expense for lease payments is recognized on a straight-line basis over the lease term. Interest expense is recognized as a component of the lease payment for finance leases.

Rental income arising from operating leases as a lessor is included in operating revenue in other sources in the statement of activities.

(h) Property, Plant, and Equipment

Property, plant, and equipment are stated at cost less accumulated depreciation. Depreciation is computed on a straight-line basis over the estimated useful lives of land improvements (18 years), buildings (60 years), building systems and improvements (18–50 years), equipment and furnishings (5–15 years), software (5 years), and leases (3–5 years).

Costs incurred in connection with construction projects are accumulated in construction in progress until complete and placed into service at which time the cost is transferred to the respective asset class and depreciation begins.

Expenses for the repair and maintenance of facilities are recognized during the period incurred. Betterments, which add to the value of the related assets or materially extend the lives of the assets, are capitalized.

(i) Other Long-Term Liabilities

Other long-term liabilities include liabilities associated with asset retirement obligations arising from regulatory requirements to perform certain asset retirement activities, primarily asbestos removal, at or prior to disposal of certain property. As of June 30, 2022 and 2021, the estimated liabilities were \$6,011 and \$5,640, respectively. In addition, the University carries a liability related to refundable advances received under the Federal Perkins Loan Program (the Program) as discussed in note 6. As of June 30, 2022 and 2021, those liabilities were \$1,717 and \$2,931, respectively.

Other long-term liabilities also include liabilities associated with gift annuities and charitable remainder trusts, as discussed in note 2(j).

BRANDEIS UNIVERSITY

Notes to Financial Statements

June 30, 2022

(with comparative information for June 30, 2021)

(In thousands of dollars)

(j) Charitable Remainder Trusts

The University is the beneficiary of a number of gift annuities and charitable remainder trusts, which are included in long-term investments on the balance sheet. The University initially recognizes a contribution as well as an interest in the underlying investment from which a specified amount, or percentage, of the fair value of the trusts' assets is paid to the donor or named beneficiary each year. Actuarial methods are used to calculate that portion of the investment representing the present value of the liability to the donor and that portion representing the contribution. Net contribution revenue recognized under such agreements was \$392 and \$81 for the years ended June 30, 2022 and 2021, respectively.

The fair value of interests in gift annuities and charitable remainder trusts is based on quoted market prices of underlying investments, which amount to \$21,730 and \$26,067 for the years ended June 30, 2022 and 2021, respectively.

The fair value of the liability on gift annuities and charitable remainder trusts is based on present value techniques and assumptions including life expectancy and estimated rate of return. Liabilities to the donors are recorded at the present value of the estimated future payments to be distributed over the life of the donor or named beneficiary, which amount to \$9,625 and \$11,150 for the years ended June 30, 2022 and 2021, respectively. These liabilities are valued on a recurring basis and are considered to be Level 2 within the fair value hierarchy.

(k) Revenue Recognition

Revenues are reported as an increase in net assets without donor restrictions, unless they are limited by donor-imposed restrictions. Expirations of donor-restrictions are reflected in the statement of activities as net assets utilized in operations. Net realized gains (losses) from the sale or other disposition of investments and the change in unrealized appreciation (depreciation) of investments are reported as revenue without donor-restrictions, unless restricted by donor-imposed stipulations or law.

Revenue is recognized when or as the University satisfies performance obligations by rendering promised goods or services.

Tuition, student fees, residence hall and dining revenues are recorded as revenue when the related services are rendered during the academic year, which falls within the fiscal year. Payments are generally required to be received in advance of the academic term and are recorded as student deposits and deferred revenue. Tuition and student fees received for courses that cross fiscal years are prorated in accordance with the number of days of instruction. Other auxiliary enterprise revenues are recognized when the goods or services are provided.

(l) Contributions and Sponsored Programs

Contributions with and without donor restrictions are reported as increases to net assets. Contributions include unconditional promises (contributions receivable) that are reported at present value of expected cash flows, net of an allowance for uncollectable contributions receivable. Contributions of noncash assets are recorded at fair value on the date of the contribution.

Contributions without donor restrictions and contributions with donor restrictions for which time or purpose restrictions have been met are reclassified to operating activities as net assets utilized in

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operations, unless the purpose is capital in nature. For the years ended June 30, 2022 and 2021, net assets utilized in operations include \$18,556 and \$21,139 of net assets released from restrictions, respectively. Contributions for capital purposes are reported as nonoperating activities and released from restriction when the related asset is placed into service.

Grants and contracts awarded by federal and other sponsors, which generally are considered nonexchange transactions restricted by sponsors for certain purposes, are recognized as revenue when qualifying expenditures are incurred or other conditions under the agreements are met. The University has elected the simultaneous release policy available under Accounting Standards Update (ASU) 2018-08, *Clarifying the Scope and Accounting Guidance for Contributions Received and Contributions Made*, which allows a not-for-profit organization to recognize a restricted contribution directly in net assets without donor restrictions if the restriction is met in the same period that the revenue is recognized.

Federal and other sponsored grants and contracts may be subject to fiscal funding clauses or annual appropriations. The University estimates that conditional awards outstanding as of June 30, 2022 and 2021 approximate the University's recent historical annual sponsored program activity.

(m) Allocation of Expenses

The statement of activities presents operating expenses by natural classification. Note 4 displays a matrix of operating expenses by both natural and functional categories. Depreciation, amortization, interest, and operation of plant expenses are allocated to functional expense categories on the basis of square feet utilized.

(n) Fundraising Expenses

Fundraising expense was \$12,333 and \$12,233 for the years ended June 30, 2022 and 2021, respectively, and is classified as institutional support in note 4.

(o) Income Taxes

The University is a not-for-profit organization as described in Section 501(c)(3) of the Internal Revenue Code, as amended (the Code), and is generally exempt from income taxes pursuant to Section 501(a) of the Code. The University is required to assess uncertain tax positions and has determined that there were no such positions that are material to the financial statements.

(p) Collections

Collections at Brandeis University are protected and preserved for public exhibition, education, research and the furtherance of public service. Collections are not capitalized and contributions of collections are not recognized as contribution revenue. Sales and purchases of collection items are reported as nonoperating revenue and expenses in the University's financial statements in the period in which the items are sold or acquired, respectively. The proceeds from the sale of collection items, if any, are used for the acquisition of new artwork.

(q) Nonoperating Activities

Nonoperating activities reflect all contributions, transactions of a long-term investment or capital in nature, investment return net of appropriations for current operational support in accordance with the

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University's endowment spending policy, collection of artwork, and other net asset changes resulting from transactions that do not arise from or currently affect operations, including one-time non-structural costs.

Other changes, net, in the non-operating section of statement of activities include non-structural COVID-19 costs, which may be reimbursed by the federal government.

(r) Estimates

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

(s) Related-Party Transactions

Members of the Board and senior management may, from time to time, be associated either directly or indirectly with companies doing business with the University. The University has a written conflict of interest policy that requires each individual to certify compliance with such policy on an annual basis as well as disclose any potential related-party transactions. When such a relationship exists, measures are taken to mitigate any actual or perceived conflict, including requiring that such transactions be conducted at arms' length, with terms that are fair and reasonable to and for the benefit of the University. As of June 30, 2022 and 2021, there were no material related party transactions identified. The University has \$1,331 in unsecured related party pledge receivables as of June 30, 2022.

(t) Recently Adopted Accounting Pronouncements

In September 2020, the FASB issued ASU 2020-07, *Not-for-Profit Entities (Topic 958): Presentation and Disclosures by Not-for-Profit Entities for Contributed Nonfinancial Assets*, which provides new presentation and disclosure requirements about contributed nonfinancial assets for not-for-profit entities, including additional disclosure requirements for recognized contributed services. This ASU will not change the recognition and measurement requirements for those assets. The University adopted this standard for the year ended June 30, 2022. The University did not receive any significant contributions of non-financial assets during the years ended June 30, 2022 and 2021 and there was no impact to the University's financial statements and disclosures.

(u) Subsequent Events

The University evaluates subsequent events for potential recognition or disclosure through October 31, 2022, the date in which the financial statements were issued.

(3) Tuition and Fees, Residence Hall and Dining Revenues

Revenue from tuition and fees, residence halls, and dining services is reflected net of reductions from institutional student aid and is recognized as the services are provided over the academic year, which generally aligns with the University's fiscal year. Such revenue is determined based on published rates for such services, less scholarships and financial aid awarded by the University to qualifying students. Aid in excess of a student's tuition and fees is reflected as a reduction of residence hall and dining charges. Generally, disbursements made directly to students for living or other costs are reported as an expense.

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As of June 30, such revenue at the published rates and financial aid is as follows:

	<u>2022</u>	<u>2021</u>
Tuition and fees	\$ 289,720	\$ 261,674
Less scholarships and financial aid	(115,028)	(105,103)
Tuition and fees, net	<u>174,692</u>	<u>156,571</u>
Residence hall and dining	<u>46,341</u>	<u>30,189</u>
Tuition and fees, residence hall and dining revenues	<u>\$ 221,033</u>	<u>\$ 186,760</u>

Revenues recognized in the year ended June 30, 2022 and 2021, that were included in student deposits and deferred revenue in prior years are \$5,960 and \$10,410, respectively.

(4) Analysis of Expenses

Expenses by functional and natural classification for the year ended June 30, 2022 consist of the following:

	<u>Instruction</u>	<u>Sponsored Programs</u>	<u>Academic Support</u>	<u>Student Services</u>	<u>Auxiliary Enterprises</u>	<u>Institutional Support</u>	<u>Total</u>
Compensation	\$ 84,265	\$ 27,452	\$ 29,452	\$ 15,895	\$ 4,006	\$ 29,733	\$ 190,803
Employee benefits	23,122	5,983	7,792	3,786	1,010	6,048	47,741
Utilities and general repairs	4,127	2,767	1,878	2,958	6,324	2,450	20,504
Depreciation	6,009	4,074	2,651	4,249	9,018	3,391	29,392
Interest	1,959	1,328	864	1,385	2,940	1,106	9,582
Supplies, services, and other	14,601	21,090	14,850	7,720	20,330	8,744	87,335
Total	<u>\$ 134,083</u>	<u>\$ 62,694</u>	<u>\$ 57,487</u>	<u>\$ 35,993</u>	<u>\$ 43,628</u>	<u>\$ 51,472</u>	<u>\$ 385,357</u>

Expenses by functional and natural classification for the year ended June 30, 2021 consist of the following:

	<u>Instruction</u>	<u>Sponsored Programs</u>	<u>Academic Support</u>	<u>Student Services</u>	<u>Auxiliary Enterprises</u>	<u>Institutional Support</u>	<u>Total</u>
Compensation	\$ 83,036	\$ 26,515	\$ 27,723	\$ 15,747	\$ 3,835	\$ 28,213	\$ 185,069
Employee benefits	15,300	4,006	4,881	2,557	684	4,655	32,083
Utilities and general repairs	3,528	2,387	1,622	2,346	5,613	2,001	17,497
Depreciation	5,972	4,040	2,640	3,926	9,117	3,328	29,023
Interest	2,142	1,450	947	1,408	3,271	1,194	10,412
Supplies, services, and other	8,599	19,557	10,781	4,638	17,761	9,941	71,277
Total	<u>\$ 118,577</u>	<u>\$ 57,955</u>	<u>\$ 48,594</u>	<u>\$ 30,622</u>	<u>\$ 40,281</u>	<u>\$ 49,332</u>	<u>\$ 345,361</u>

The University's primary programs are instruction and sponsored programs. Expenses reported as academic support, student services, and auxiliary enterprises are incurred in support of these primary program activities.

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(5) Accounts Receivable

The composition of accounts receivable as of June 30 is as follows:

	<u>2022</u>	<u>2021</u>
Student receivables	\$ 2,759	\$ 1,960
Sponsored program receivables	16,279	15,878
Other	6,958	4,667
	<u>25,996</u>	<u>22,505</u>
Less allowance for doubtful accounts	(992)	(1,434)
Accounts receivable, net	<u>\$ 25,004</u>	<u>\$ 21,071</u>

Accounts receivable balances are periodically reviewed to estimate an allowance for doubtful accounts. Management estimates the allowance based on a review of historical experience and specific characteristics associated with the individual receivables.

(6) Notes Receivable

The composition of notes receivable as of June 30 is as follows:

	<u>2022</u>	<u>2021</u>
Federal Perkins loan program	\$ 1,619	\$ 2,473
University student loan programs	7,031	7,710
	<u>8,650</u>	<u>10,183</u>
Less allowance for doubtful loans	(3,922)	(3,950)
Notes receivable, net	<u>\$ 4,728</u>	<u>\$ 6,233</u>

Notes receivable under the Program are funded by the U.S. government and University funds and are subject to significant restrictions. The Program has ended and a portion of the amounts are generally refundable to the U.S. government.

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(7) Contributions Receivable

The composition of contributions receivable as of June 30 is as follows:

	<u>2022</u>	<u>2021</u>
Amounts due in:		
Less than one year	\$ 10,093	\$ 3,524
Between one and five years	10,075	5,426
More than five years	400	245
Gross contributions receivable	<u>20,568</u>	<u>9,195</u>
Less:		
Allowance for unfulfilled contributions	(1,822)	(1,386)
Discount, at rates from 0.29% to 3.72%	(220)	(130)
Contributions receivable, net	<u>\$ 18,526</u>	<u>\$ 7,679</u>

Unconditional promises to give are periodically reviewed to estimate an allowance for doubtful collections. Management estimates the allowance based on a review of historical experience and a specific review of collection trends that differ from the plan on individual accounts. Adjustments to the allowance are charged to contribution revenues. An account is considered uncollectible when all collection efforts have been exhausted.

As of June 30, 2022, and 2021, over 75% of the University's gross contributions receivable was due from ten and fifteen donors, respectively.

(8) Long-Term Investments

The investment objective of the University is to invest its assets in a prudent manner to achieve a long-term rate of return sufficient to fund academic programs and university initiatives in accordance with the Board's approved spending policy. The University diversifies its investments among asset classes by incorporating several strategies and managers. Major investment decisions are authorized by the University's Trustee Investment Committee (Investment Committee) that oversees the University's investments.

In addition to equity and fixed income investments, the University may also hold shares or units in institutional funds and alternative investment funds involving hedged and private equity strategies. Hedged strategies involve funds whose managers have the authority to invest in various asset classes at their discretion, including the ability to invest long and short. Funds with hedged strategies generally hold securities or other financial instruments for which a ready market exists, and may include stocks, bonds and securities sold short and often require the estimation of fair values by the fund managers in the absence of readily determinable market values. Because of the inherent uncertainties of valuation, these estimated fair values may differ significantly from values that would have been used had a ready market existed, and the differences could be material. Such valuations are determined by fund managers and generally consider variables such as operating results, comparable earnings multiples, projected cash flows, recent sales prices, and other pertinent information, and may reflect discounts for the illiquid nature of certain investments held. Long-term investments also include assets associated with gift annuities and charitable remainder trusts.

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Investments are reported at estimated fair value. If an investment is held directly by the University and an active market with quoted prices exists, the market price of an identical security is used as the reported fair value. Reported fair values for shares in registered mutual funds are based on share prices reported by the funds as of the last business day of the fiscal year. The University's interests in alternative investment funds are generally reported at NAV reported by fund managers, which are used as a practical expedient to estimate the fair value of the University's interests therein, unless it is probable that all or a portion of the investment will be sold for an amount different from NAV. As of June 30, 2022 and 2021, the University had no plans or intentions to sell investments at amounts different from NAV. Registered mutual funds are classified in Level 1 of the fair value hierarchy.

The University's long-term investments at June 30, 2022 are summarized in the following table by strategy and, as applicable, their fair value hierarchy classification:

	Investments measured at NAV / Other*	Investments classified in fair value hierarchy			Total
		Level 1	Level 2	Level 3	
Endowment investments:					
Global equity	\$ 79,588	\$ 221	\$ -	\$ -	\$ 79,809
Non-U.S. equity	206,506	-	-	-	206,506
Private equity	295,022	-	-	-	295,022
Hedge fund/credit:					
Credit – private	305	-	-	-	305
Hedge funds – long/short	184,244	-	-	-	184,244
Hedge funds – multi strategy	174,600	-	-	-	174,600
Real assets – private	147,431	-	-	-	147,431
Cash and cash equivalents*	9,676	-	-	-	9,676
Treasuries and fixed income	-	107,575	-	-	107,575
Total endowment investments	1,097,372	107,796	-	-	1,205,168
Other investments:					
Cash and cash equivalents*	79	-	-	-	79
Mutual funds	-	23,514	-	-	23,514
Total other investments	79	23,514	-	-	23,593
Total long-term investments	\$ 1,097,451	\$ 131,310	\$ -	\$ -	\$ 1,228,761

* Cash and cash equivalents are not fair value measurements and are included in the above table for reconciliation purposes.

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The University's long-term investments at June 30, 2021 are summarized in the following table by strategy and, as applicable, their fair value hierarchy classification:

	Investments measured at NAV / Other*	Investments classified in fair value hierarchy			Total
		Level 1	Level 2	Level 3	
Endowment investments:					
Global equity	\$ 101,656	\$ 31	\$ -	\$ -	\$ 101,687
Non-U.S. equity	242,895	224	-	-	243,119
Private equity	293,468	-	-	-	293,468
Hedge fund/credit:					
Credit – private	610	-	-	-	610
Hedge funds – long/short	240,778	-	-	-	240,778
Hedge funds – multi strategy	206,613	-	-	-	206,613
Real assets – private	120,921	-	-	-	120,921
Cash and cash equivalents*	5,967	-	-	-	5,967
Receivable for investments sold*	18,890	-	-	-	18,890
Treasuries and fixed income	-	53,949	-	-	53,949
Total endowment investments	<u>1,231,798</u>	<u>54,204</u>	<u>-</u>	<u>-</u>	<u>1,286,002</u>
Other investments:					
Equities	-	1,063	-	-	1,063
Cash and cash equivalents*	81	-	-	-	81
Mutual funds	-	27,688	-	-	27,688
Total other investments	<u>81</u>	<u>28,751</u>	<u>-</u>	<u>-</u>	<u>28,832</u>
Total long-term investments	<u>\$ 1,231,879</u>	<u>\$ 82,955</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,314,834</u>

* Cash and cash equivalents and Receivables for investments sold are not fair value measurements and are included in the above table for reconciliation purposes.

(a) Investment Liquidity

Hedge funds and global equity are redeemable at NAV under the terms of subscription agreements and/or partnership agreements. Investments with daily liquidity generally do not require any notice prior to withdrawal. Investments with monthly, quarterly or annual redemption frequency typically require notice periods ranging from 30 to 180 days. The following table presents the University's long-term investments by their availability for the next 12 months following June 30:

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	June 30, 2022					
	Daily	Monthly	Quarterly	Annual	Illiquid	Total
Cash equivalents	\$ 9,755	\$ -	\$ -	\$ -	\$ -	\$ 9,755
Treasuries, fixed income and mutual funds	130,054	-	-	-	1,035	131,089
Equities	221	33,048	20,519	82,103	445,446	581,337
Hedge funds	-	-	43,038	142,831	173,280	359,149
Real assets	-	-	-	-	147,431	147,431
Total	<u>\$ 140,030</u>	<u>\$ 33,048</u>	<u>\$ 63,557</u>	<u>\$ 224,934</u>	<u>\$ 767,192</u>	<u>\$ 1,228,761</u>

	June 30, 2021					
	Daily	Monthly	Quarterly	Annual	Illiquid	Total
Cash equivalents	\$ 6,048	\$ -	\$ -	\$ -	\$ -	\$ 6,048
Receivable for investments sold	-	13,663	5,227	-	-	18,890
Treasuries, fixed income and mutual funds	80,511	-	-	-	1,126	81,637
Equities	1,318	42,960	23,334	62,146	509,579	639,337
Hedge funds	-	-	112,162	154,716	181,123	448,001
Real assets	-	-	-	-	120,921	120,921
Total	<u>\$87,877</u>	<u>\$56,623</u>	<u>\$ 140,723</u>	<u>\$ 216,862</u>	<u>\$ 812,749</u>	<u>\$ 1,314,834</u>

Investments categorized as illiquid include lock-ups with definite expiration dates, restricted shares, side pockets, or private equity and real asset funds where the University has no liquidity.

The University has certain investments with a fair value of \$68,476 at June 30, 2022 that have restricted redemptions for lock-up periods. Some of the investments with redemption restrictions allow earlier redemption for specified fees. The expiration of redemption lock-up period amounts are summarized in the table below:

Fiscal year	Amount
2023	\$ 44,081
2024	16,812
2025	6,387
2026	598
2027	598
Total	<u>\$ 68,476</u>

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(b) Commitments

Private credit, private equity, and real asset investments are generally made through limited partnerships. Under the terms of these agreements, the University is obligated to remit additional funding periodically as capital is called by the manager. These partnerships have a limited existence, generally between ten and fifteen years, and provide for annual one-year extensions after the initial contract period for the purpose of systematically liquidating portfolio positions and returning capital to the investors. However, depending on market conditions, the inability to execute the fund's strategy, and other factors, a manager may extend or reduce the term of a fund from that which was originally anticipated. As a result, the timing and amount of future capital calls expected to be exercised in any particular future year is uncertain. The aggregate amount of unfunded commitments associated with global equities, real assets, and private equity investments as of June 30, 2022 was \$8,484, \$99,909, and \$153,426 respectively.

(c) Derivatives

The endowment employs certain derivative financial instruments to replicate asset positions more cost effectively than through purchases or sales of the underlying assets.

As a result of entering into investment derivative agreements, the University is subject to market volatility consistent with the underlying asset classes. The University has established policies, procedures, and internal controls governing the use of derivatives.

The purchase and sale of exchange-traded derivatives require collateral deposits with the Futures Commission Merchant (FCM). Collateral is posted and moved on a daily basis as required by the rules of the exchange on which the derivatives are traded. In the event of the FCM's insolvency, recovery may be limited to the University's pro-rata share of segregated customer funds available. It is possible that the recovery amount could be less than the total cash or other collateral posted. The collateral is generally in the form of debt obligations issued by the U.S. Treasury or cash. Cash collateral and certain securities owned by the University were held at counterparty brokers to collateralize these positions and are included in long-term investments on the balance sheet. As of June 30, 2022 and 2021, the aggregate notional exposure on long-term assets was (\$76,927) and (\$53,179), respectively. The associated unrealized loss on these assets was (\$726) and (\$740), respectively, as of June 30, 2022 and 2021. The notional amount of these derivatives is not recorded on the University's financial statements.

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(9) Property, Plant and Equipment

The composition of property, plant, and equipment as of June 30 is as follows:

	<u>2022</u>	<u>2021</u>
Land and land improvements	\$ 49,400	\$ 47,904
Buildings	210,225	210,225
Building systems and improvements	452,293	432,026
Equipment, furnishings, and software	154,219	148,405
Leased vehicles and other equipment	3,068	2,340
	<u>869,205</u>	<u>840,900</u>
Less accumulated depreciation	(540,058)	(512,694)
Construction in progress	22,714	30,247
Property, plant and equipment, net	<u>\$ 351,861</u>	<u>\$ 358,453</u>

Depreciation expense amounted to \$29,392 in 2022 and \$29,023 in 2021. Operation and maintenance expenses amounted to \$25,566 in 2022 and \$22,231 in 2021.

(10) Financial Assets and Liquidity Resources

As of June 30, financial assets and other liquidity resources available within one year for general expenditures as defined by the University and representing operating expenses, scheduled principal payments on debt, and capital construction costs, were as follows:

	<u>2022</u>	<u>2021</u>
Financial assets:		
Cash and cash equivalents	\$ 55,236	\$ 40,854
Accounts receivable, net, due within one year	25,004	21,071
Notes receivable, net, due within one year	703	771
Scheduled pledge payments, net, available for operations	1,530	1,899
Funds held by bond trustee	1,672	16,832
Subsequent year's Board-approved endowment draw	66,170	63,492
Total financial assets available within one year	<u>\$ 150,315</u>	<u>\$ 144,919</u>

The University's working capital and cash flows have seasonal variations during the year attributable to tuition billing and a concentration of contributions received at calendar and fiscal year ends. To manage liquidity, the University has other liquidity resources including \$70,000 in bank lines of credit as described in note 12. In addition, the quasi endowment of \$107,917 can be made available for general expenditures with approval from the Board, subject to investment liquidity provisions.

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(11) Long-Term Debt

Long term outstanding as of June 30 consists of the following:

	<u>2022</u>	<u>2021</u>
M DFA Revenue Bonds, Brandeis University Issue 2018 Series S-1, at interest rate of 5.00% maturing in annual installments from October 1, 2020 through October 1, 2040	\$ 102,820	\$ 109,800
M DFA Revenue Bonds, Brandeis University Issue 2018 Series S-2, at interest rate of 5.00% maturing in annual installments from October 1, 2029 through October 1, 2034	36,905	36,905
M DFA Revenue Bonds, Brandeis University Issue 2018 Series R, at interest rate of 5.00% maturing in annual installments from October 1, 2019 through October 1, 2039	32,360	33,455
M DFA Revenue Bonds, Brandeis University Issue, 2017 Series Q, at interest rate of 2.58% maturing in annual installments from October 1, 2017 through April 1, 2032, at which time a balloon payment of \$13,200 will be due.	18,250	18,650
TD Bank note at interest rate of 3.68% maturing in annual installments from October 1, 2017 through June 1, 2032, at which time a balloon payment of \$19,125 will be due.	27,000	27,650
M DFA Revenue Bonds, Brandeis University Issue 2013 Series P-2, at interest rates of 2.35%, maturing in annual installments from October 1, 2013 through July 1, 2033	15,315	16,350
M DFA Revenue Bonds, Brandeis University Issue 2013 Series P-1, at interest rates of 2.72%, maturing in annual installments from October 1, 2017 through April 1, 2043	13,110	13,645
Total	<u>245,760</u>	<u>256,455</u>
Unamortized premium, net	24,610	26,129
Unamortized issuance costs	(1,672)	(1,782)
Long-term debt, net	<u>\$ 268,698</u>	<u>\$ 280,802</u>

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The University's principal payment obligations as of June 30, 2022 are as follows:

<u>Fiscal Year</u>	<u>Amount</u>
2023	\$ 11,124
2024	11,656
2025	12,050
2026	12,619
2027	13,213
Thereafter	185,098
	<u>\$ 245,760</u>

Interest expense for the years ended June 30, 2022 and 2021 was \$9,417 and \$10,094, respectively. There were no capitalized interest costs in 2022 and 2021.

Bond indentures require the maintenance of certain financial covenants which, among other restrictions, require the University to maintain an annual debt service coverage ratio of not less than 1.2 to 1.0 and a liquidity ratio of not less than 50%.

(12) Line of Credit

The University has a \$35,000 line of credit with JPMorgan Chase Bank, N.A. at an interest rate of Adjusted Term Secured Overnight Financing Rate (SOFR) plus 50 basis points. The Adjusted Term SOFR is equal to the Term SOFR plus 10 basis points. This agreement expires on March 16, 2023. The University also maintains a \$35,000 line of credit with Eastern Bank at an interest rate of LIBOR plus 95 basis points. This agreement expires on May 1, 2025. As of June 30, 2022 and 2021, there were no borrowings against either line of credit.

(13) Net Assets with Donor Restrictions

Net assets with donor restrictions by major category is as follows as of June 30:

<u>Detail of net assets</u>	<u>2022</u>	<u>2021</u>
Restricted contributions	\$ 33,363	\$ 33,885
Contributions receivable, net	18,526	7,679
Endowment	1,091,275	1,161,585
Student loans	2,709	2,633
Life income and annuity funds	12,873	15,627
Funds held in trust by others	9,683	11,865
Physical plant and other	978	742
Unexpended endowment income	12,768	7,681
Total net assets with donor-imposed restrictions	<u>\$ 1,182,175</u>	<u>\$ 1,241,697</u>

Net assets with donor-imposed restrictions provide support for instruction, scholarships, auxiliary programs, library, research, capital, and other programmatic purposes.

BRANDEIS UNIVERSITY

Notes to Financial Statements

June 30, 2022

(with comparative information for June 30, 2021)

(In thousands of dollars)

(14) Endowments

The University's endowment is pooled for investment purposes and consists of approximately 2,000 individual funds established for a variety of purposes. The endowment consists of both donor-restricted funds managed in accordance with applicable law and donor intent, as well as funds designated by the Board to operate as endowment (quasi-endowment).

If the fair value of an individual donor restricted endowment fund balance falls below its corpus, that fund is considered to be "underwater." As of June 30, 2022 and 2021, funds with a corpus of \$16,837 and \$1,541 were "underwater" by \$1,122 and \$307, respectively.

The University follows the provisions of UPMIFA. State law allows the Board to appropriate the endowment funds as is prudent taking into consideration the University's long-term and short-term needs, present and anticipated financial requirements, expected total return on its investments, price level trends, and general economic conditions.

The endowment investment objectives are to maximize risk-adjusted returns over a long-term horizon and to achieve its objectives by having a strategy of investing in multiple asset classes. In order to meet the primary investment goals for endowment funds, the average annual net total return over an extended period, after adjusting for inflation, is deemed sufficient to support the spending rate as determined by the Board. To have a reasonable probability of achieving the Fund's primary investment goal at an acceptable risk level, the Investment Committee has adopted a long-term asset allocation policy.

Net assets associated with endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions. Donor-restricted amounts reported below include gifts donated to the endowment, term endowments and appreciation.

BRANDEIS UNIVERSITY
Notes to Financial Statements
June 30, 2022
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(In thousands of dollars)

Endowment and quasi-endowment funds consist of the following at June 30:

	2022				Total funds as of June 30, 2022
	Without donor restrictions	With donor restrictions			
		Original gift	Accumulated returns	Total	
Donor restricted:					
Financial aid	\$ -	\$ 326,210	\$ 83,915	\$ 410,125	\$ 410,125
Department programs and support	-	429,254	242,201	671,455	671,455
Quasi (board-designated):					
Financial aid	39,231	-	-	-	39,231
Department programs and support	74,662	9,695	-	9,695	84,357
Total	<u>\$ 113,893</u>	<u>\$ 765,159</u>	<u>\$ 326,116</u>	<u>\$ 1,091,275</u>	<u>\$ 1,205,168</u>
	2021				Total funds as of June 30, 2021
	Without donor restrictions	With donor restrictions			
		Original gift	Accumulated returns	Total	
Donor restricted:					
Financial aid	\$ -	\$ 318,904	\$ 119,256	\$ 438,160	\$ 438,160
Department programs and support	-	412,764	300,966	713,730	713,730
Quasi (board-designated):					
Financial aid	42,203	-	-	-	42,203
Department programs and support	82,214	9,695	-	9,695	91,909
Total	<u>\$ 124,417</u>	<u>\$ 741,363</u>	<u>\$ 420,222</u>	<u>\$ 1,161,585</u>	<u>\$ 1,286,002</u>

Changes in endowment and quasi-endowment funds for the year ended June 30, 2022 are as follows:

	Without donor restrictions	With donor restrictions	Total
Net assets at June 30, 2021	\$ 124,417	\$ 1,161,585	\$ 1,286,002
Net investment return	(4,459)	(37,559)	(42,018)
Contributions	483	22,535	23,018
Utilized in operations	(7,853)	(51,460)	(59,313)
Change in unexpended endowment income	1,305	(5,087)	(3,782)
Transfers	-	1,261	1,261
Net assets at June 30, 2022	<u>\$ 113,893</u>	<u>\$ 1,091,275</u>	<u>\$ 1,205,168</u>

BRANDEIS UNIVERSITY
Notes to Financial Statements
June 30, 2022
(with comparative information for June 30, 2021)
(In thousands of dollars)

Changes in endowment and quasi-endowment funds for the year ended June 30, 2021 are as follows:

	Without donor restrictions	With donor restrictions	Total
Net assets at June 30, 2020	\$ 102,834	\$ 970,755	\$ 1,073,589
Net investment return	28,580	242,706	271,286
Contributions	28	6,141	6,169
Utilized in operations	(6,352)	(55,422)	(61,774)
Change in unexpended endowment income	(673)	(3,693)	(4,366)
Transfers	-	1,098	1,098
Net assets at June 30, 2021	<u>\$ 124,417</u>	<u>\$ 1,161,585</u>	<u>\$ 1,286,002</u>

(15) Retirement Plans

The University participates in defined contribution plans providing retirement benefits for substantially all full-time and regular part-time employees. Under the programs, the University makes monthly contributions, currently 6%–10% of the annual eligible wages of participants, up to defined limits. University contributions are subject to the participants meeting the minimum employee contributions, age, and service requirements. Additional voluntary contributions by participants are made subject to statutory limits. The University's contribution to the plans totaled \$11,828 in 2022. The University suspended employer contributions to the plans in fiscal year 2021.

(16) Contingencies

The University is involved in legal cases that have arisen in the normal course of its operations. The University believes that the outcome of these cases will not have a material adverse effect on the financial position of the University.

The University participates in a self-insured health insurance captive (the "Captive") in order to manage its health insurance costs. Claim amounts for any one individual up to \$300 are covered within a self-funded retention and paid for by the University. Claim amounts exceeding \$300 are shared and paid by the Captive. Management believes that any liability arising from this contingency would not be material to the University's financial position. As of June 30, 2022 and 2021, the University had estimated liabilities for claims incurred but not reported of \$1,646 and \$1,288, respectively. Total premium and self-funded retention costs under the program were \$19,063 and \$14,319 for the years ended June 30, 2022 and 2021, respectively.



BOARD OF TRUSTEES OFFICERS AND MEMBERS, 2022-2023

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Chief Scientific Officer and Senior
Vice President at IQVIA

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P'17

Practice Administrator
Pepose Vision Institute

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President, Brandeis National
Committee

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President
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University of Chicago Law School

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UniWorld Group, Inc.

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Professor, Brain & Mind Research
Institute, Weill Cornell Medical College

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Attorney/Consultant

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Partner
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Dechert LLP

Bing-Le Wu, PhD'91

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Founding Partner
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Odyssey Investment Partners, LLC

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Posse Foundation

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CEO
Blue River Petcare

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Chief Information Officer
DDB Worldwide
President, Alumni Association

Steven M. Bunson '82
Managing Director
Goldman, Sachs & Co.

*Former Chair

4. Resumes

Palmira Santos, Ph.D., Scientist Research and Evaluation (abbreviated CV)

EDUCATION

- Ph.D., Health Policy Research, Brandeis University, Waltham, MA
- M.A., Counseling Psychology, Lesley College, Cambridge, MA
- B.S., Psychology & Special Education, Lesley College, Cambridge, MA

HIGHLIGHTED EXPERIENCE

Palmira Santos, Ph.D., has specialized expertise in using mixed methods approaches to access, gather, and synthesize data from multiple sources. She has over 40 years' experience as a research and evaluation scientist dedicated to the investigation of inequities and social and economic determinants of health (SEDOH). Dr. Santos has specialized expertise in using mixed methods approaches to access, gather, and synthesize data from multiple sources. She has over 40 years' experience as a research and evaluation scientist dedicated to the investigation of inequities and social and economic determinants of health (SEDOH). Dr. Santos assesses and evaluates health, economic, and social factors on the national, regional, state, and community levels to identify SEDOH and their impact on health care utilization, access, quality, cost, and patient outcomes. Building on these analytics, she completed research on the full continuum of physical, mental health and substance use care and treatment services, as well as community-level resources (systemic barriers and workforce shortages). This has included the identification of workforce and health disparities to define needs and strategies and, as appropriate, apply or update HPSA designation in Alaska, Montana, and Massachusetts.

In addition, Dr. Santos designs, tests, administers, and analyzes provider and patient surveys including primary care, FQHCs, mental health and substance use providers, and dental practices. Dr. Santos has also focused on the role of community partnering to improve equity and address SEDOH. Examples of such work include evaluating the role and impact of community health workers, navigators, and other non-physician providers on engaging and improving utilization and outcomes for individuals affected by inequity. In addition, collaborating with teams, she has completed equity analyses of specific utilization tracks, looking at topics such as access to mental health and substance use treatment through Medicaid; use and outcomes of maternal and child health services; utilization of chronic illness care and association with disease progression; acute care episodes associated with lack of ongoing care; and access to preventative services.

PROFESSIONAL EXPERIENCE

Scientist

Brandeis University, Schneider Institute on Healthcare Systems (2013-present)

Primary Investigator

Brandeis University, Schneider Institute on Healthcare Systems (2008-2013)

Director, Health Systems Research & Evaluation
American Cancer Society (2006-2008)

Director, Public Health Specialist Chronic Disease
Alaska & Massachusetts Departments of Public Health (CDC-funded) (2002-2006)

Doctorate Program Administrator and Dissertation Advisor
University of La Verne (1999-2006)

Senior Policy Analyst
Division of Medical Assistance
Health Care Financing & Administration Region 10 (1996-1999)

Consultant
Private Health Systems and Tribal Health
Pacific Northwest (1994-1996)

Chief Executive Officer
Eastern Aleutian Tribes (Tribal Health System) (1990-1994)

Range of Clinical and Leadership Positions (1979-1990)
(Director of Substance Use & Mental Health Care,
Forensic Psychologist, Trauma Clinician)

SELECTED PUBLICATIONS

SHIFT-Care external evaluation: final report. Report submitted to the Massachusetts Health Policy Commission. Pending publication.

Summary of qualitative findings: SHIFT-Care external evaluation. Report submitted to the Massachusetts Health Policy Commission. Pending publication.

Santos, P., & Faughnan, K. Innovative partnerships to address housing and homelessness during the COVID-19 pandemic. In development.

Santos, P., Faughnan, K., Prost, C., & Tschampl, C. A. (2021). Systemic barriers to care coordination for marginalized and vulnerable populations. *Journal of Social Distress and Homelessness*. <https://doi.org/10.1080/10530789.2021.2021361>

Massachusetts Health Policy Commission. *Targeted Cost Challenge Investments Program: Care Coordination Case Study.* (2021). <https://www.mass.gov/doc/tcci-care-coordination-case-study/download>

Massachusetts Health Policy Commission. *Targeted Cost Challenge Investments Program: Evaluation Report.* (2021). <https://www.mass.gov/doc/tcci-evaluation-report-0/download>

Center for Medicare & Medicaid Innovation. (2020). *Increasing hospice enrollment: OCM Sites with the greatest improvement: OCM Learning System case study.* Retrieved from OCM Connect.

Santos, P., Joglekar, G., Faughnan, K., Darden, J., & Hendrich, A. (2020). Disproportionate preterm delivery among black women: a state-level analysis. *Journal of Racial and Ethnic Health Disparities*, 7(2): 290-297. <https://doi.org/10.1007/s40615-019-00657-x>

Center for Medicare & Medicaid Innovation. (2019). *Assessing and addressing health-related social needs: OCM Learning System, case study #11*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *Building and sustaining high-value patient and family advisory councils: Oncology Care Model Learning System, resource guide #2*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *Decreasing ED utilization: OCM-2 high performers: OCM Learning System case study*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *End-of-life care planning: barriers and approaches: Oncology Care Model Learning System, case study #8*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Caring for the whole patient: Oncology Care Model Learning System, resource guide #1*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Engaging physicians and care teams in OCM transformation: Oncology Care Model Learning System, case study #5*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Survivorship care planning: Oncology Care Model Learning System, case study #6*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Integrating palliative care: Oncology Care Model Learning System, case study #7*. Retrieved from OCM Connect.

CPC+ practice spotlight 8: using data to reduce emergency department visits. (2018, January 9). <http://files.constantcontact.com/047f19f3601/38fc1958-7841-4077-a31b-2b95132d8812.pdf>

Hefele, J. G., Santos, P., Ritter, G., Varma, N., & Hendrich, A. (2018). Risk factors for shoulder dystocia: the impact of mother's race and ethnicity. *Journal of Racial and Ethnic Health Disparities*, 5: 333-341. <https://doi.org/10.1007/s40615-017-0374-9>

Santos, P., Hefele, J. G., Ritter, G., Darden, J., Fimeno, C., & Hendrich, A. (2018). Population-based risk factors for shoulder dystocia. *Journal of Obstetric, Gynecologic, and Neonatal Nursing*, 47(1), 32-42. <https://doi.org/10.1016/j.jogn.2017.11.011>

Santos, P., Joglekar, A., Faughnan, K., Darden, J., Masters, L., Hendrich, A., & McCoy, C. K. (2018). Sustaining and spreading quality improvement: decreasing intrapartum malpractice risk. *Journal of Healthcare Risk Management*, 38: 42-50. <https://doi.org/10.1002/jhrm.21329>

➤ Writing Excellence Award: American Society for Healthcare Risk Management

Center for Medicare & Medicaid Innovation. (2017). *OCM case study #1: reducing potentially avoidable hospitalizations and emergency department utilization*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2017). *Patient and family engagement & shared decision-making: Learning System case study #2*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2017). *Supporting oral chemotherapy adherence: Learning System case study #3*. Retrieved from OCM Connect.

CPC+ practice spotlight 3: timely communication and home visits after hospitalizations improves readmission rates. (2017, August 15). <http://files.constantcontact.com/047f19f3601/bfbf210d-c4bc-4860-aff8-8be61c75a0dc.pdf>

CPC+ practice spotlight 6: improving quality through eCQM checklists and patient outreach. (2017, November 7). <http://files.constantcontact.com/047f19f3601/8493d0a5-99cf-4a50-87b6-2034d434f57c.pdf>

CPC+ practice spotlight 7: implementing behavioral health integration: Care management model. (2017, December 19). <http://files.constantcontact.com/047f19f3601/ede1e435-bec6-4593-a5b2-fb1296068922.pdf>

Cusick, W., Cox, R. L., Santos, P., Hefele, J. G., & Darden, J. (2017, January). *Shoulder dystocia response: improving neonatal outcomes*. Poster session presented at the Pregnancy Meeting of the Society for Maternal-Fetal Medicine, Las Vegas, NV.

Burstein, P. D., Zalenski, D. M., Edwards, J. L., Rafi, I. Z., Darden, J. F., Firmino, C., & Santos, P. (2016). Changing labor and delivery practice: focus on achieving practice and documentation standardization with the goal of improving neonatal outcomes. *Health Services Research*, 51(S3), 2472-2486. <https://doi.org/10.1111/1475-6773.12589>

Santos, P., Ritter, G. A., Hefele, J. L., Hendrich, A., & McCoy, C. K. (2015). Decreasing intrapartum malpractice: targeting the most injurious neonatal adverse events. *Journal of Healthcare Risk Management*, 34(4), 20-27. <https://doi.org/10.1002/jhrm.21168>

Hacker, K., Santos, P., Thompson, D., Stout, S. S., Bearse, A., & Mechanic, R. (2014). Early experience of a safety net provider reorganizing into an accountable care organization. *Journal of Health Politics, Policy and Law*, 39(4), 901-917. <https://doi.org/10.1215/03616878-2744284>

Hendrich, A., McCoy, C. K., Gale, J., Sparkman, L., & Santos, P. (2014). Ascension Health's demonstration of full disclosure protocol for unexpected events during labor and delivery shows promise. *Health Affairs*, 33(1), 39-45. <https://doi.org/10.1377/hlthaff.2013.1009>

Henkel, R., Slosar, J. P., Haydar, Z., Hendrich, A., & Santos, P. (2014, January 7). The moral imperative to disclose medical error: Doing the right thing. *Health Affairs Blog*. <https://www.healthaffairs.org/doi/10.1377/hblog20140107.036302/full/>

Santos, P. (2013). *Molecular diagnostics and companion therapies: partnerships, payment and evidence development*. The Health Industry Forum.

Santos, P. (2013). *States' role in health care reform: possibilities to improve access and quality: The 19th Princeton Conference*. Council on Health Care Economics and Policy.
<https://heller.brandeis.edu/health-industry-forum/materials/2012/may-23-25/princeton-conference-report-may-2012.pdf>

Mechanic, R., Santos, P., Landon, B. E., & Chernew, M. E. (2011). Medical group responses to global payment: early lessons from the 'Alternative Quality Contract' in Massachusetts. *Health Affairs*, 30(9), 1734-1742. <https://doi.org/10.1377/hlthaff.2011.0264>

Santos, P. (2011). *Accountable Care Organizations: implications for consumers*. The Health Industry Forum. <https://heller.brandeis.edu/health-industry-forum/materials/2010/october-14/cr-2010-oct-14.pdf>

Santos, P. (2011). *The evolution of state health insurance exchanges*. The Health Industry Forum. <https://heller.brandeis.edu/health-industry-forum/materials/2011/july-13/FINAL-cr.pdf>

Santos, P. (2010). *Establishing a national system of health insurance exchanges*. The Health Industry Forum. <https://heller.brandeis.edu/health-industry-forum/pdfs/policy-briefs/2009-july-20-health-insurance-exchanges.pdf>

Santos, P. (2010). *Federal Strategies for Promoting Affordable Biologics: Follow-on Biologic Competition conference report*. The Health Industry Forum.

Sussman, J., Santos, P., & Altman, S. (2010). *Examining end of life care: creating sensible public policies for patients, providers, and payers*. Council on Health Care Economics and Policy / Health Industry Forum.
<https://heller.brandeis.edu/council/pdfs/2010/2010%20Princeton%20Conference%20v092810-new%20photos.pdf>

Full publication list: <https://www.ncbi.nlm.nih.gov/myncbi/palmira.santos.4/bibliography/public/>

ROBERT DUNIGAN, PHD

Brandeis University



EDUCATION

- 2004 PhD Heller School for Social Policy and Management, Brandeis University, Waltham MA.
Dissertation: Factors Associated with Drinking, Binge Drinking, and Alcohol-related Problems among African American College Students
- 1996 MSW Clinical Social Work. Boston College Graduate School of Social Work Chestnut Hill, MA.
- 1994 BS Psychology, Minor in Social Work, Western Michigan University, Kalamazoo, Michigan.

RESEARCH EXPERIENCE

Researcher

- 2005-current **Senior Research Associate**, Brandeis/Harvard Center on Managed Care and Substance Abuse Treatment, Schneider Institutes of Health Policy, Heller School for Social Policy and Management, Brandeis University
- 1999-2000 **Graduate Research Assistant**, *Schneider Institute for Health Policy, Heller School for Social Policy and Management, Brandeis University*
Conducted quantitative and qualitative research on substance and alcohol abuse, health issues and service needs for minority elders residing in public housing.
- 1995-2000 **Research Associate, Clinical Research Fellow**, Harvard Medical School, Department of Social Medicine, Division on Aging, Boston, MA *Bring up to Research Experience. Exploratory project examining caregivers for elders experiencing Alzheimer's/Dementia across racial and ethnic groups. Funded by National Institute on Aging.*

Principal Investigator

- 2008-2011 *R03 Treatment Engagement and Time to Recidivism for African-American Male Offenders (Supported by the National Institute on Drug Abuse)*

This study focused on factors that predict whether African-American male offenders in the general population receive substance abuse treatment pre- and post-release from prison, as well as their length of time to recidivism. The study included subgroup comparison of African American, White, and Latino males in order to better understand the interactions between substance abuse treatment and monitoring post-release, and their relationships to outcomes. Women were also considered in the analyses on treatment and incarceration disparities.

2007-2009 *New Connections Initiative (Supported by the Robert Wood Johnson Foundation)*

This study examined factors associated with substance abuse treatment pre- and post-release from prison and the risks for incarceration experienced by young African-American and Latino males.

Co-Principal Investigator

2005-2008 *Diversity Supplement (Supported by the National Institute of Drug Abuse)*

This study explores whether there is a variable effect of using performance incentives for substance abuse facilities depending on race and gender. In particular it aims to further understand the impact of race and gender within the public substance abuse treatment system and determine if there is disparate care and outcomes for substance abuse treatment consumers based on these characteristics.

Co-Investigator

2017 Hub and Spoke Model to Improve Pharmacotherapy Use from Opioid Addiction and Promote Recovery (Washington State)

2009-2012 *Washington Circle Performance Measures and Criminal Justice Outcomes (Supported by the National Institute on Alcohol Abuse and Alcoholism)* This study examined the association between client level achievement of Washington Circle (WC) performance measures and criminal justice, employment and substance use outcomes in public sector alcohol and other drugs (AOD) treatment system in six states.

Evaluator

2020 High Point Treatment Center -SAMSHA Evaluation of High Point's Certified Community Behavioral Health Clinic Expansion Project 3/2/2020 Brandeis is Sub to High Point Treatment Center

2020 Dunigan Detroit Recovery project, Inc - SAMSHA Evaluation of Detroit Recovery Project's Certified Community Behavioral Health Clinic Expansion Project 3/2/2020 Brandeis is Sub to Detroit Recovery Project

2017 Lahey Health Behavioral Services, Transformative Research and Innovation Initiative, CHART

- 2014-2017 WISR Men Enhanced Reentry Program (BJA), Worcester County Sherriff's Office
- 2012-2015 Massachusetts Adolescent Treatment Enhancement and Dissemination Initiative (SAMHSA) Commonwealth of Massachusetts, Department of Public Health
- 2012-2014 Massachusetts Access to Recovery (SAMHSA) Commonwealth of Massachusetts, Department of Public Health
- 2011-2015 Worcester Initiative for Supported Reentry (WISR) Advocates Inc.
- 2009-2012 Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT) Homeless (GHBI) Program
- 2008-2015 **Lead evaluator, Implemented by Franciscan Hospital, Boston MA.** School-based health and mental health initiative.
- 2008-2011 Substance Abuse and Mental Health Services Administration (SAMHSA) funded for three five-year HIV and substance abuse prevention projects with Latino and African-American populations. Two focused on adolescents in inner-city Boston and in housing developments in Somerville and Waltham. The third focused on street- and gang-involved young adults in Chelsea, East Boston, and Revere. The evaluation consisted of designing and implementing outcome measures of HIV and substance abuse prevention programs and interventions, outcome measures of capacity-building activities, and process measures of project activities and programming.
- *ROCA Substance Abuse and HIV/AIDS Minority Intervention*
 - *Institute for Health and Recovery substance Abuse/HIV Initiative*
- 2006 **Lead evaluator, Implemented by Capital Region Mental Health Center, Hartford CT.** Culturally specific intervention for dually diagnosed consumers.
- Consultant**
- 2016 PrEP project to promote PrEP adherence among young, culturally diverse MSM
- 2001-2003 **Consultant, Harvard Medical School, Brigham and Women's Hospital Department of Psychiatry. National Technical Assistance Center for Improving the Behavioral Health Care for the Elderly/ Aging, Mental Health and Substance Abuse in Primary Care** Service delivery for minority elders experiencing substance abuse and mental health problems.
- 1999 **Diversity consultant, Harvard Medical School, Department of Social Medicine, Division on Aging, Boston, MA.** National study examining health and social factors associated with elder's substance and alcohol use.
- 1997 **Service feasibility consultant, Elder Services Network (ESN), Boston, MA.** Assessed ESN's collaborative potential to become a single Senior Care Organization.
- 1997 **Needs assessment consultant, Winter Park Foundation, Tampa Bay, FL.**

Assessment of senior's non-medical service needs.

ACADEMIC APPOINTMENTS

- 2018-current *Lecturer*
The Heller School for Social Policy and Management, Brandeis University
Waltham MA.
- 2014-2015 *Adjunct Faculty*
Bridgewater State University, Graduate School of Social Work, Bridgewater MA
- 2004 *Visiting Scholar/Adjunct Lecturer*
The Heller School for Social Policy and Management, Brandeis University,
Waltham, MA
- 2003-2009 *Adjunct Faculty*
Boston College Graduate School of Social Work, Chestnut Hill, MA
- 1999-2002 *Full-Time Lecturer*
Boston College Graduate School of Social Work, Chestnut Hill, MA

FELLOWSHIPS AND AWARDS

- 2004 *Graduation Speaker*, The Heller School for Social Policy and Management,
Brandeis University, Waltham, MA
- 2000 Inter-University Consortium for Political and Social Research (ICPSR) Summer
Program on Minority Aging and Health – University of Michigan, Ann Arbor, MI
- 1996-1999 *National Institute on Alcohol Abuse and Alcoholism (NIAAA), Research Training
Fellowship*, The Heller School for Social Policy and Management, Brandeis
University, Waltham, MA
- 1994-1996 *Dean's Scholarship Award*, Boston College Graduate School of Social Work,
Chestnut Hill, MA

ADMINISTRATIVE EXPERIENCE

- 1997-2000 **Director of Community Development Activities**, Harvard Medical School
Department of Social Medicine
Developed and implemented training programs; developed curricula for service
providers on minority health and aging issues.

CLINICAL EXPERIENCE

- 1995-1996 **Clinical Social Worker**, Children's Hospital, Boston, MA
Psycho-educational groups, couples, and individual interventions with minority
teenage parents.
- 1986-1994 **Mental Health Social Work Provider**, Borgess Medical Center, Kalamazoo, MI.
Patient monitoring, record keeping; social, and psycho-educational group
facilitator for geriatric, adult acute care, child and adolescent psychiatric in-
patient unit
- 1985-1993 **Clinical Service Provider**, Pathways Day Treatment Program, Kalamazoo, MI

Program development and implementation for chronically mentally ill and developmentally disabled adults; individual and group assessment and counseling; casework management and crisis intervention; pre-vocational, psycho-educational, social-recreational group facilitator; participation in interdisciplinary team meetings for community mental health adult referral entity.

1983-1985 **On-Call Residential Training Manager/Direct Care Staff**, St. Joseph Lodge, Kalamazoo, MI
Residential manager for institutionalized mentally ill adult males transitioning into the community; coordinator of social/recreational and adult daily living groups and activities; patient and medication monitoring.

1981-1983 **Child Care Counselor**, Lakeside Residential Treatment Program, Kalamazoo, MI
Supervision and activity program implementation for emotionally impaired adolescent males; facilitated social and recreational groups, community activities; provided behavioral intervention to assist residents with activities of daily life.

EDITORIAL BOARDS

2020 *Journal for Advancing Justice*, Recent publication: "Emerging Best Practices in Law Enforcement Deflection and Community Supervision Programs."

SERVICE AND VOLUNTEER AFFILIATIONS

2020 Black scholars on substance use and the overdose crisis that my team at New York University

2020 Scientific Reviewer of the 2020 Pilot Studies Program for Tufts University Clinical and Translational Science Institute (CTSI).

2011-present Heller School for Social Policy and Management, Alumni Board Member

2008-2009 Member Think Tank for African American Progress, Memphis, TN

2004-2009 Diversity Trainer, Visions Inc., Boston, MA
Executive Board Member, New Communities, Cambridge, MA

2003-2009 Diversity Trainer and Presenter, Habitat for Humanity, Boston, MA

2001 Session Chair, HIV/AIDS 2001: The Social Work Response. Philadelphia, PA

1999-2003 Clinical Social Work Committee Member
Academic Standards Review Committee Member
Executive Board Committee Member
Social Work Library Committee Member

Faculty Advisor, Common Ground (Student organization addressing race/ethnicity, gender, and sexual orientation issues). Boston College, Graduate School of Social Work

- 1997-2000 Senior Care Community Network Committee Member, Boston, MA
- 1998 Ph.D. Admissions Committee, Heller Graduate School, Brandeis University
- 1997-2000 Community Outreach Committee Member, Harvard Medical School, Department of Social Medicine
- 1997 Council of Elders, Research and Program Development Committee Member, Boston, MA

SCHOLARSHIP AND MENTORING ACTIVITIES

- 2017-Present **Mentor**, *Grad Prep Academy*. Mentoring program preparing undergraduate males of color for doctoral study. The University of Pennsylvania, Center for the Study of Race and Equity in Education
- 2016-2018 **Partner**, *My Brother's Keeper*, White House Initiative that facilitates partnerships between researchers and committed challenge communities to evaluate and improve on evidenced based interventions aimed at decreasing barriers and increasing opportunities for boys and young men of color.
- 2016-2019 **Participant**, *Rise for Boys and Men of Color, Translating Knowledge into Action: Building a Research Community for Boys and Men of Color*. A field building effort designed to transform the practice of evaluation and research of minority boys and men.
- 2015-2019 **Faculty/Mentor**, *Robert Wood Johnson Foundation, New Connections (New Investigators Diversity Program)* New Connections Mentorship program to support underrepresented junior faculty from both research and teaching institutions with career development.
- 2009-2017 **Faculty Mentor**, *National Institute on Drug Abuse, Special Office of Diversity and Health Disparities and Dissemination Efforts, Research Development Seminar Series* Provide mentoring support and grant proposal reviews for underrepresented new investigators.
Member National Institute on Drug Abuse African American Researchers and Scholars Work Group. African American researchers with a focus on behavioral health, support NIDA's effort to increase diversity, equity and inclusion in scientific research. The group provides seminars and training, mock grant reviews, formal presentations and individual mentoring to increase the number of competitive underrepresented researchers.
- 2009-2017 **Faculty/ Mentor**, *Addiction Research Training Institute (ARTI)* Mentoring and coaching for underrepresented new investigators whose research interests are focused in the areas of substance use, abuse and addiction.

PUBLICATIONS

1. Brolin, M., Adams, R.S., **Dunigan, R.**, Hodgkin, D., Lee, M., Miles, J., Panas, L., Prost, C., Ritter, G., Reif, S., and Horgan, C.M. (2018). *Lahey Transformative Research and Innovation Initiative: Evaluation of Lahey CHART Implementation*. A report prepared for Lahey Health Behavioral Services, Danvers, MA.
2. Brolin, M. and **Dunigan, R.** (2017). *A Wiser Approach to Reentry: Three-Year Post-Release Evaluation Findings for Worcester Initiative for Supported Re-entry*. Report submitted to The Health Foundation of Central Massachusetts, Worcester, MA.
3. Brolin, M. and **Dunigan, R.** (2017). *Wiser Men: Final Evaluation Report*. Report submitted to The Worcester County Sheriff's Office, Worcester, MA.
4. Brolin, M., Davis, M., and **Dunigan, R.** (2016). *Massachusetts State Adolescent Treatment Enhancement and Dissemination Grant: Final Report*. Report submitted to the Massachusetts Department of Public Health, Bureau of Substance Abuse Services, Boston, MA.
5. Acevedo A., Garnick D., **Dunigan R.**, et al, (2015) Performance measures and racial/ethnic disparities in the treatment of substance use disorders. *Journal of Studies on Alcohol and Drugs*, 76(2015)
6. Brolin, M., Davis, M., & **Dunigan, R.** (2014). *Massachusetts State Adolescent Treatment Enhancement and Dissemination Grant: Year 1 Evaluation Summary*. Report submitted to the Massachusetts Department of Public Health, Boston, MA.
7. Lee, MT, Horgan, CM, Garnick, DW, Acevedo, A, Panas, L, Ritter, GA, **Dunigan, R**, Babakhanlou-Chase, H, Bidorini, A, Campbell, K, Habelin, K, Huber, A, Lambert-Wacey, D, Leeper, T, Reynolds, M. (2014). A performance measure for continuity of care after detoxification: Relationship with outcomes. *Journal of Substance Abuse Treatment*, 47, 130-139
8. Garnick D, Horgan C, Acevedo A, Lee M, Panas, L, Ritter G, **Dunigan R**, et al. (2014). Criminal Justice outcomes after engagement in outpatient substance abuse treatment. *Journal of Substance Abuse Treatment*, 46 (2014) 295-305.
9. **Dunigan R**, Acevedo A, Campbell K, Garnick D, et al, (2014). Engagement in outpatient substance abuse treatment and employment outcomes. *Journal of Behavioral Health Services Research*, 41(1) 20-36.
10. Brolin M and **Dunigan R** (2014) Annual Worcester Initiative for Supportive Reentry (WISR) Annual Report. Prepared for Advocates, Inc. and The Health Foundation of Central Massachusetts, Inc. July 25, 2013.
11. Daley, M., Shepard, D.S., Reif, S., **Dunigan, R.**, Tompkins, C., Perloff, J., Siembab, L., Horgan, C.M. *Evaluation of Provider Profiling in the Public Sector*. *Alcoholism Treatment Quarterly*, 29(1), 2011.
12. Daley, M., Shepard, D.S., Reif, S., **Dunigan, R.**, Tompkins, C., Perloff, J., Siembab, L., Horgan, C.M. *Randomized Trial of Enhanced Profiling in the Public Sector*. *Administration and Policy In Mental Health and Mental Health Services* 28(4), 2010.
13. Levkoff S., Hinton W. L., Simmons J., Lam M., Guo Z., Hillygus J., **Dunigan R.**, Lui B., Reynoso H., Levy R., Fung S., Kleinman A., *A Qualitative Analysis of Dementia, Explanatory Models*

- Across Four Ethnic Groups*. In Iqbal K, Winbad B., Nishimua T., Wisniewski H.M. (eds.): *Alzheimer's Disease: Biology, Diagnosis and Therapeutics*. John Wiley and Sons Ltd. 1997.
14. Weitzman, P., Dunigan, R., Hawkins, R., Weitzman, E., and Levkoff, S. (2001). *Everyday Conflict and Stress among Older African American Women: Findings from a Focus Group Study and Pilot Training Program*. *Journal of Ethnic and Cultural Diversity in Social Work*, 10(2), 27-44..

PRESENTATIONS

1. Racial disparities in criminal justice, race inequality and social justice program, Brandeis University, July 22, 2020
2. Washington State's hub & spoke model to improve pharmacotherapy use for opioid addiction – implementation findings. American Public Health Association, November 2019.
3. Washington State's hub & spoke model to improve pharmacotherapy use for opioid addiction – implementation findings. Addiction Health Services Research, October 2019.
4. Lahey-TRI initiative: CHART evaluation. Presented at: Transforming Tomorrow: Innovation in Behavioral Healthcare Symposium, November 4-5, 2018
5. Washington State's hub & spoke model to improve pharmacotherapy use for opioid addiction – early implementation. Addiction Health Services Research, Savannah, GA, October 2018.
6. Addressing Disparities within the Criminal Justice System, John Snow Inc., Boston MA. February 26, 2016
7. Disparities in substance abuse treatment and the criminal justice system. Morehouse School of Medicine Atlanta Georgia; July 2014
8. The Association of Alcohol and Other Drugs Treatment Engagement with Employment Outcomes Addiction Health Services Research Conference, New York, October 18, 2012
9. "Diversity Supplements Workshop," National Institute on Drug Abuse (NIDA), Bethesda, Maryland; October 4-5, 2012
10. Disparities in substance abuse treatment and the criminal justice system. Morehouse School of Medicine Atlanta Georgia; July 2012
11. Community Re-Entry and Punishment and Inequality in America (April 12, 2011) *IRETA Pittsburgh, PA*
12. Substance Abuse Treatment Pre and Post Release from Prison: Focus on Men of Color (November 1-2, 2010); *Paper presented at NIDA Health Disparities in Boys and Men: Innovative Research to Reduce Addiction, Trauma and Related Co-Morbidities; Washington, D.C.*
13. State of addiction treatment with diverse populations: (July 20-23, 2010) *Paper presented at Addiction Research Training Institute (ARTI), Morehouse School of Medicine; Atlanta, GA*
14. Factors associated with substance abuse treatment and recidivism for young African American and Latino offenders (June 16-18, 2010) *Poster presented at The Robert Wood Johnson foundation New Connections 4th Annual Symposium; Princeton, NJ*

15. Targeted Substance Abuse Treatment Interventions for African American male offenders (August 12-15, 2010). *Panel presentation for the 118th Annual American Psychological Association, San Diego CA*
16. Addressing Substance Use and Criminal Justice Involvement of Young African American Males (October 13-16, 2009) *Poster Presentation, Think Tank for African American Progress, Brothers of the Academy Institute, Center for African American Research and Policy. Memphis, TN*
17. Morehouse Medical School; NIDA African American Researchers and Scholars Working Group, Addiction Treatment with African-Americans (July 22-23, 2009). *Faculty Presenter, Morehouse Medical School Atlanta, GA*
18. NIDA Special Populations Research Development Seminar Series workshop (April 23-24, 2009). *Reviewer, Faculty Advisor, Bethesda, MD*
19. Substance Abuse Treatment for Diverse Populations (2009) *Treating the Addictions, Harvard Medical School March 6-7, Boston MA*
20. Treatment Engagement and Time to Recidivism for Young African-American and Latino Male Offenders (October 20-22, 2008). *Poster presentation, Addiction Health Services Research (AHSR), Boston, MA*
21. Treatment Participation and Time to Recidivism for Young African-American and Latino Male Offenders (October 1-4, 2008). *Think Tank for African American Progress, Brothers of the Academy Institute, Center for African American Research and Policy. Memphis, TN.*
22. Treatment Engagement and Time to Recidivism for Young African-American and Latino Male Offenders (June 7-8, 2008). *The Robert Wood Johnson Foundation, New Connections Second Annual Symposium at Academy Health, Washington, DC.*
23. The Impact of Race and Gender within the Public Substance Abuse Treatment System (May 20-21, 2008). *Brandeis/Harvard Center on Managed Care and Drug Abuse Treatment External Advisory Board Meeting Waltham, MA*
24. Factors Associated with Drinking, Binge Drinking, and Alcohol Related Problems among African-American College Students (2003). *NIAAA Annual Trainee Conference Indianapolis, IA*
25. Managing Diversity in the Workplace (2002). *Annual Conference on Diversity, Catholic Charities, Boston, MA*
26. Developing Effective Treatment Strategies for Diverse Substance Abusing Client Populations (2002), *Social Work Student and Faculty Development, Elms College, MA*
27. Group and Individual Differences in Aging Presented (1999). *Faculty Presentation, Boston College, Chestnut Hill, MA*
28. The Influence of Race and Gender on Health and Social Policy, The Heterogeneity of Care Giving Experiences and Service Utilization in the African-American Community (1999). *Annual Gerontological Society of America Conference, Philadelphia, PA*
29. National Institute of Health, Division on Aging (1996). *Ethical Dilemmas Encountered When Conducting Clinical Research with Minority Exploratory Centers on Minority Aging Meeting, Bethesda, MD.*

30. National Institute of Health, Division on Aging (1996) *Barriers to Treatment and Health Research for Minority Elder's. Exploratory Centers on Minority Aging Meeting, Bethesda, MD*

DIANA BOWSER, Sc.D., M.P.H.

Associate Professor
Heller School for Social Policy and Management
Brandeis University

April 2022

[REDACTED]

[REDACTED]

Globally recognized health care leader, health economist and policy thought-leader with a unique combination of skills in management, economics and academic publishing and teaching. Widely recognized on understanding trends in health system change, especially related to how health care financing and costs impact the efficiency and effectiveness of programs, with a specific focus on vulnerable populations. Has worked at the state level since 2013, examining issues of behavioral health and substance abuse in specific populations.

Co-led the economic analysis of a NIDA-funded, multi-state initiative that calculated the cost inputs to implementing numerous evidence based programs for young adults with substance use and mental health disorders within five states (Mississippi, Georgia, Kentucky, Texas, and New York). Have worked closely in Mississippi on specific issues including analyzing use of emergency departments for low-income individuals. Most recently, am one of the lead health economist on two NIDA funded Helping to End Addiction Long-term Initiative (HEAL) studies examining the prevention and treatment options for individuals with substance use disorders in the following in Texas and Massachusetts. Have led a number of other economic evaluations (cost effectiveness, cost-benefit, and return on investment analyses) on specific health system interventions including new technology, new infrastructure, and changes in the health work force.

In addition to state-based work, also leads a robust portfolio of research that uses data, econometric techniques, analytics, and innovative research design to measure health system financing and payment changes on patient outcomes and health system performance. Research has focused on analyses of various health interventions and policies across varied health systems, with a recent focus on the impact of COVID-19 policies on the COVID-19 response.

Currently, Director of a robust PhD Program in Social Policy, managing 90+ students focusing their research in areas of health and other social policy issues. Previously, Director of a Master's Program in Global Health Policy and Management at Brandeis University managing 30+ student from countries around the world. Teaches graduate level courses in health systems, financing, health economics, research methods, and econometrics at several universities in the Boston area.

Also, Course Director for six Global Executive Training Programs at the Harvard T.H. Chan School of Public Health. Expert in bringing together top health care leaders from around the globe, in an innovative learning environment, to develop health system solutions for countries around the world. Training programs focus on understanding and finding solutions to health

system problems related to financing, payment, quality, human resources, and management. Leader of a core team of key faculty, course coordinators, and admissions staff.

ACADEMIC & PROFESSIONAL EXPERIENCE

Associate Professor,

The Heller School for Social Policy and Management, Brandeis University, 2016-Present

Director, PhD Program in Social Policy,

The Heller School for Social Policy and Management, Brandeis University, 2020-Present

Course Director, Harvard T.H. Chan School of Public Health, 2017-Present

Director, MS Program in International Health Policy and Management,

The Heller School for Social Policy and Management, Brandeis University, 2013-2018

Research Associate, Harvard T.H. Chan School of Public Health, 2011-Present

Co-Chair, Global Health and Development, PhD Concentration,

The Heller School for Social Policy and Management, Brandeis University, 2013-2015

Lecturer/Research Scientist, Schneider Institutes for Health Policy,

The Heller School for Social Policy and Management, Brandeis University, 2013-2016

Lecturer/Senior Research Associate, Schneider Institutes for Health Policy,

The Heller School for Social Policy and Management, Brandeis University, 2011-2013

Research Specialist, Harvard School of Public Health, 2001-2010

EDUCATION

ScD Harvard School of Public Health, Global Health and Population and Health Economics, 2010

MPH Yale School of Public Health, International Public Health, 1999

BA Harvard University, Major: Social Anthropology, 1995

HONORS & AWARDS

Schneider Institute Endowment Support for Research Award, 2015

Harvard School of Public Health Tuition Reimbursement Program, 2003-2010

Harvard's Global Demography of Aging Research Traveling Fellowship, 2005-2007

Graduate Degree Scholarship, Harvard School of Public Health, Harvard University, 2005-2006

EDITORIAL ROLES

Editorial Board Member: Health Systems & Reform

Ad Hoc Reviewer:

BMJ Global Health

Health Policy

Health Policy and Planning

International Journal of Health Policy and Management

Maternal and Child Health Journal

American Journal of Public Health

Social Science & Medicine

PUBLICATIONS

(*denotes student or trainee)

Peer-Reviewed Publications

Diana Bowser, Anna G Sombrio, Priya Agarwal-Harding, Donald S Shepard, Arturo Harker Roa. 2022. Integrating Venezuelan Migrants into the Colombian Health System during the COVID-19. *Health Systems & Reform (Revise and Resubmit)*.

Donald S Shepard; Adelaida Boada; Douglas Newball Ramirez; Anna G Sombrio; Carlos William Rincon; Priya Agarwal-Harding; Arturo Harker Roa; Jamie S Jason; **Diana M Bowser**. 2022. Differential impact of the COVID-19 pandemic in Colombia on utilization of medical services between Venezuelan migrants and citizens. *World Bank Report (Under Review)*.

Diana Bowser, Jamie Jason, Anna Sombrio, Donald Shepard, Arturo Harker Roa. 2022. Understanding the COVID-19 Response in Colombia using Mobility Data. UNDP COVID-19 Policy Documents Series (In Press).

Diana Bowser, Katharine Rowlands, Raissa Gervasio, Elizabeth Glaser, Lauren Buckley, Christopher B Nelson, Donald S Shepard. 2022. Respiratory Syncytial Virus Episode Costs in US Infants: Review and Nationally Weighted Analysis RSV. *Journal of Infectious Disease*. (under review)

Diana Bowser, Anna Sombrio, Neto Coulibaly, and Noah Mark. 2021. Activity Based Costing for HIV, primary care and nutrition service in low- and middle-income countries: A systematic literature review and synthesis. *Journal of Global Health Economics and Policy*. 1:e2021013. doi:10.52872/001c.29068,

Diana Bowser, Neema Landy*, Reshma Dabideen, and Megan Gianfagna. 2021. Health System Strengthening for Vision Care in The Gambia. *Rural and Remote Health*. Apr;21(2):6245. doi: 10.22605/RRH6245. Epub 2021 Apr 6.

Monette Zard, Ling San Lau, **Diana M. Bowser** et al. 2021. Leave No-one Behind: Ensuring Access to COVID-19 vaccines for Refugee and Displaced Populations: *Nature Medicine* (2021). April 19; <https://doi.org/10.1038/s41591-021-01328-3>

Diana Bowser, Brandy Henry, and Kathryn McCollister. 2021. Cost analysis in implementation studies of evidence-based practice in behavioral health: A Systematic Literature Review. *Implementation Science*. 16, 26 (2021). <https://doi.org/10.1186/s13012-021-01094-3>.

Leulseged Kasa, **Diana Bowser**, Allyala Nandakumar. 2020. Technical efficiency analysis of health facilities in Haiti: a stochastic frontier approach. *Journal of Hospital Management and Health Policy*. November 6, 2020. doi: 10.21037/jhmhp-20-25

Patrick Richard, **Diana Bowser**, Mark R. Bauer, Natalie Moresco, Regine Walker, Demarcio Reed, Mary Jo Larson. 2020. Opioid Prescribing for Surgical Dental Procedures in Dental Clinics of Military Treatment Facilities. *Journal of American Dental Association*. Feb; 152(2):94-104.e18. doi: 10.1016/j.adaj.2020.09.020. Epub 2020 Dec 24

Adeyemi Okunogbe, **Diana Bowser**, Gulin Gedik, Saha Naseri, Ayat Abuagla, and Najibullah Safi. 2020. Global Fund Financing and Human Resources for Health Investments in the Eastern Mediterranean Region. *Journal of Human Resources for Health*. 18(48). <https://doi.org/10.1186/s12960-020-00483-x>

Diana Bowser, Brandy Henry* and Kathryn McCollister. 2019. An Overlapping Systems Conceptual Framework to Evaluate Implementation of a Behavioral Health Intervention for Justice Involved Youth. *Health Services Insights*. Vol 12: 1-12. doi: 10.1177/1178632919855037

Diana Bowser, Laura Krech, David Mbirizi, David Kapaon, Angela Y. Chang* and Thomas Bossert. 2019. Associations between Practices and Behaviors at the Health Facility Level and Supply Chain Management for Antiretrovirals (ARVs): Evidence from Namibia, Cameroon and Swaziland. *Global Health Sciences and Practice*. 7(2):300-316. doi: 10.9745/GHSP-D-19-00063

Diana Bowser, Manjiri Bhawalker, Rajesh Jha, and Peter Berman. 2019. The challenge of additionality: the impact of central grants for primary health care on state-level spending on primary health care in India. *International Journal of Health Policy and Management*. Vol 8(6): 329-336. doi: 10.15171/ijhpm.2019.06

Diana Bowser, Bryan Patenaude, Manjiri Bhawalker, Denizan Duran*, and Peter Berman. 2019. Benefit Incidence Analysis in Public Health Facilities in India: Utilization and Benefits at the National and State Levels. *International Journal for Equity in Health*. Jan 21;18(1):13. doi: 10.1186/s12939-019-0921-6

Yakob, Bereket, Anna Gage, Tsinuel Gima, Sarah Hurlburt, Seifu Hagos, Girmaye Dinsa, **Diana Bowser**, Peter Berman, Margaret Kruk, and Ephrem Tekle. 2019. Low effective coverage of family planning and antenatal care services in Ethiopia. *International Journal for Quality in Health Care*. Jan 4. doi: 10.1093/intqhc/mzy251

Bowser, D.M., Shepard, D.S., Nandakumar, A., Okunogbe, A.*, Morrill*, T., Halasa-Rappell, Y., Jordan, M., Mushi, F.*, Boyce, C., and Erhunmwunse, O. A. 2018. Cost Effectiveness of Mobile Health for Antenatal Care and Facility Births in Nigeria. *Annals of Global Health*. 84(4), pp.592-602. doi: 10.29024/aogh.2364

Bowser, D., Henry, B.*, Wasserman, G., Knight, D., Gardner, S., Krupka, K., Grossi, B., Cawood, M., Wiley, T., & Robertson, A. 2018. Comparison of the Overlap between Juvenile Justice Case Processing and Screening & Referral to Behavioral Health Services. *Journal of Applied Juvenile Justice Services*. 5:1, 96-125.

Jennifer Becan, John P. Bartkowski, Danica K. Knight, Tisha R. A. Wiley, Ralph DiClemente, Lori Ducharme Ducharme, Gregory A. Aarons, Wayne N. Welsh, **Diana Bowser**, Kathryn McCollister, Matthew Hiller, Anne C. Spaulding, Patrick M. Flynn, Andrea Swartzendruber, Megan F. Dickson, and Jacqueline Horan Fisher. 2018. A Model for Rigorously Applying the Exploration, Preparation, Implementation, Sustainment (EPIS) Framework in the Design and Measurement of a Large Scale Collaborative Multi-Site Study. *Health and Justice*. Apr 13:6(1): doi: 10.1186/s40352-018-0068-3

Diana Bowser, Hannah Maruscio*, Maria El Koussa and Rifat Atun. 2017. Health system barriers and enablers to early access to breast cancer screening, detection and diagnosis. *Public Health* 152: 58-74.

Diana Bowser, Yasmin Abbas*, Temitope Odunlcy, Edward Broughton, and Thomas Bossert. 2017. Quality of Care in Medical Schools in Sub-Saharan Africa. *International Journal of Medical Education* 8:276-282. doi: 10.5116/ijme.595b.b38c

Ilhom Akobirshoev*, **Diana Bowser**, Susan Parish, Cindy Thomas, Sara Bachman. 2017. Does parental health mediate the relationship between parental uninsurance and insured children's health outcomes? Evidence from a national survey in the United States. *Health and Social Work*. March 2: 1-9. doi:10.1093/hsw/hlx003

Maria El Koussa, Rifat Atun, **Diana Bowser**, Margaret E. Kruk. 2016. Retaining physicians in the public sector: a systematic review of drivers of attrition and policy interventions. *Journal of Global Health* Dec;6(2):020403. doi: 10.7189/jogh.06.020403

Diana Bowser, Jaya Gupta*, and Allyala Nandakumar. 2016 (April). The impact of demand- and supply side financing on infant, child and maternal mortality in low and middle income countries. *Health Systems & Reform*. doi:10.1080/23288604.2016.1166306.

Diana Bowser, Wu Zeng, Ilhom Akobirshoev*, Tyler Morrill, and Allyala Nandakumar. 2016. The Impact of Health Care Spending and Income Inequality on Stunting Prevalence. *International Journal of Healthcare* 2(2): 23-33.

Ben Walker, John McGown, **Diana Bowser**, Alison Patev, Frances Reade*, Maoven Razavi, David Dzielek, and Linda Southward. 2015 (May). An Assessment of Emergency Department Use Among Mississippi's Medicaid Population. *Journal of Mississippi Medical Association*.

Diana Bowser, Adeyemi Okunogbe*, Elizabeth Oliveras, Laura Subramanian, and Tyler Morrill*. 2015. A cost effectiveness analysis of a community health workers in Mozambique. *Journal of Primary Care and Community Health*. doi: 10.1177/2150131915579653

Rafael Cortez, **Diana Bowser**, Valeria Gemello*, Jini Etolue*, Meaghen Quinlin-Davidson, and Haidara Ousmane Diadie. 2015. Adolescent Sexual and Reproductive Health in Burkina Faso. *Health, Nutrition and Population Global Practice Knowledge Brief*. Washington, DC: World Bank

Bowser, Diana and Mande Limbu. 2015. Human rights principles maternal health. Chapter 12 in *The Roar Behind the Silence: Why kindness, compassion and respect matter in maternity care*. London, UK: Pinter and Martin Publisher.

Bowser, Diana, David Canning, and Adeyemi Okunogbe*. 2014. The impact of tobacco taxes on health outcomes, 1970-2005. *Tobacco Control*, pii: tobaccocontrol-2014-051666. doi: 10.1136/tobaccocontrol-2014-051666. [Epub ahead of print].

Bowser, Diana, Susan Powers Sparkes*, Andrew Mitchell, Thomas Bossert, Till Barnighausen, Gulin Getik and Rifat Atun. 2013. Global Fund Investment in HRH: Innovation and Health System Strengthening. *Health Policy and Planning* 29(8), 986-997. doi: 10.1093/heapol/czt080. Epub 2013 Nov 6.

Bowser, Diana and David Canning. 2013. The effect of health improvements due to tobacco tax on earnings in the United States, 1970-2005. *Applied Economics* 45 (36): 5021-5030 doi: 10.1080/00036846.2013.815310 [Epub ahead of print].

Bowser, Diana, Ramon Figueroa, Adeyemi Okunogbe*, and Laila Natiq*. 2013. A Preliminary Assessment of Pay for Performance, Health Systems, and Health Outcomes in Belize. *Global Public Health* 8 (9): 1063-1064 doi: 10.1080/17441692.2013.829511. Epub 2013 Sep 13

Bowser, Diana and Ajay Mahal. 2011. Guatemala: The economic burden of illness and health system implications. *Health Policy* 100: 159-166. doi: 10.1016/j.healthpol.2010.11.011. Epub 2010 Dec 18

Canning, David and **Diana Bowser**. 2010. Investing in health to improve the wellbeing of the disadvantaged: Reversing The argument of fair society, health lives (The Marmot Review). *Social Science & Medicine* 1/4. doi: 10.1016/j.socscimed.2010.07.009. Epub:2010 Aug 5

Bloom, David E. and **Diana M. Bowser**. 2008. The Population Health and Income Nexus in the Mississippi River Delta Region and Beyond. *Journal of Health and Human Services Administration*. 105-123.

Cosby, Arthur G. and **Diana M. Bowser**. 2008. The Health of the Delta Region: A Story of Increasing Disparities. *Journal of Health and Human Services Administration*. Summer 2008.

Bossert, Thomas, Till Barnighausen, Andrew Mitchell, **Diana Bowser** and Gulin Gedik. 2007. Assessing the financing, education, management and policy context for strategic planning of human resources for health. Geneva: World Health Organization.

Bossert, Thomas J., **Diana M. Bowser**, Johnny K. Amenyah. Is decentralization good for logistics systems? Evidence on essential medicine logistics in Ghana and Guatemala. *Health Policy and Planning*. 2007:1-10 doi:10.1093/heapol/cz1041

Law, MB, Whitman, J., **Diana M. Bowser**, Krech L. Tobacco availability and point of sale marketing in demographically contrasting districts of Massachusetts. *Tobacco Control*. 2002: Jun; 11 Suppl 2: ii71-3. PMID: 12034986.

Law, MB, Wilson IB., **Diana M. Bowser**, Kerr SE. Taking antiretroviral therapy for HIV infection: learning from patients' stories. *Journal of General Internal Medicine*. 2000: Dec; 15(12): 848-58.

Non-Peer Review Publication in Print or Media

Bowser, Diana. Strengthening the Humanitarian Response to COVID-19 in Colombia. Elrha <https://www.clrha.org/project/strengthening-the-humanitarian-response-to-covid-19-in-colombia/>

Allyala Nandakumar, Diana Bowser. The Justice. Views on the News: Vaccine nationalism, Big Pharma and the distribution vacuum in India. <https://www.thejustice.org/article/2021/05/views-on-the-news-vaccine-nationalism-big-pharma-and-the-distribution-vacuum-in-india>

Improving Health Outcomes in Haiti: Diana Bowser identifies key factors in efficiency and productivity by creating first national-level database of health care facility performance. July 2018. <https://heller.brandeis.edu/news/items/releases/2018/fall-2018-impact-report-bowser.html>

Bowser, Diana and Monica Jordan. Why You Should Study Global Health Policy And Management In The Age Of Trump. Feb 09, 2017. https://www.huffingtonpost.com/entry/why-you-should-study-global-health-policy-and-management_us_589b38cdc4b0985224db5c86

At the Heart of the Matter: A Heller Professor and Student Partner with Rwandan Government and Boston-Based non-Profit to Provide Cardiac Care. 2016. Heller School for Social Policy and Management. <http://heller.brandeis.edu/health-equity/index.html#article1>

Working Papers and Reports

Diana Bowser, et al. Research Snapshot: Strengthening the Humanitarian Response to COVID-19 in Colombia. 2021. Elrha. https://www.elrha.org/wp-content/uploads/2021/04/R2HC-Research-snapshot-51487_COVID19-in-Colombia_Brandeis.pdf

Diana Bowser, et al. Policy Brief: COVID-19 and Venezuelan Migrants in Colombia. 2021. Elrha. <https://www.elrha.org/researchdatabase/policy-brief-strengthening-the-humanitarian-response-to-covid-19-in-colombia/>

Diana Bowser, Gary Gaumer, David Kapaon, and Leulseged Kasa Mekonen. 2019. Social Return on Investment in the Health Extension Worker Program in Ethiopia. *USAID 2030 HRH Project*

Bereket Yakob, Théodros Getachew, Anna Gage, **Diana Bowser**, and Margaret Kruk. 2017. Provision of Respectful Care in Ethiopia (Working Paper).

Diana Bowser et al. 2015. Applying the Quality and Maternal Newborn Care Framework to Non-Discrimination Interventions for Maternal and Newborn Health. (Working Paper).

Grepin, Karen and **Diana Bowser.** 2015. What is keeping them away? A quantitative analysis of reported reasons for non-institutional deliveries across low and middle-income countries. (Working Paper).

Bowser, Diana, Adeyemi Okunogbe, and Danielle Fuller. 2013. A Results-Based Financing Situational Analysis for Dominica. Washington, DC: World Bank.

Bowser, Diana and Danielle Fuller. 2013. A Results-Based Financing Situational Analysis for Saint Lucia. Washington, DC: World Bank.

Limbu, Mande, **Diana Bowser, Soo Downe, Kathleen Hill, Rima Jolivet, Mary-Ellen Stanton, Petra-ten Hoope-Bender.** 2012. Midwifery as the basis for fulfillment of human right for mother and infant. Working Paper.

Bowser, Diana. 2012. An Evaluation of Policy Changes to the NHI Contracting Model. Washington, DC: Inter-American Development Bank.

Bowser, Diana and Kathleen Hill. 2010. Disrespect and Abuse in Facility-based Childbirth. Washington, DC: USAID (Harvard School of Public Health and University Research Corporation).

Bowser, Diana. 2010. Analysis of the Global Fund Investment in Human Resources and Training: Ukraine. Global Fund to Fight AID, Tuberculosis and Malaria

Mahal, Ajay and **Diana Bowser.** Health Financing in Guatemala: A Situation Analysis and Lessons from Four Developing Countries. AED/USAID/HSPH. June 2009.

Mahal, Ajay and **Diana Bowser.** Economic Impact of Illness on Guatemalan Households Catastrophic Payments. AED/USAID/HSPH. September 2009.

Mahal, Ajay and **Diana Bowser.** The Economic Impact of Illness on Productivity among Guatemalan Households: Evidence from LSMS data. AED/USAID/HSPH. September 2009.

Bossert T. and Baernighausen T, Mitchell A. and **Bowser D.** *Assessing Financing, Education and Management for Strategic Planning for Human Resources in Health.* Geneva: World Health Organization 2007.

Bossert, Thomas J., **Diana M. Bowser,** Asta M. Kenney, Laurentiu M. Stan, and Anthony A. Hudgins. The Rationale for Family Planning in Ukraine: Evidence from Europe, Eurasia and the US. JSI/USAID August 2007.

Bowser, Diana and Paul Campbell. "Influencing State Policy on the Tobacco Settlement: The Experience in Maine". Maine Center for Public Health and American Cancer Society. March 2005.

Bossert, Thomas, **Diana Bowser,** Johnnie Amenyah, Dana Aronovich, Jim Bates and Kay Quam *Impact of Decentralization and Integration on the Performance of Health Logistics Systems: Concept Paper and Applied Research Protocol,* DELIVER/JSI 2002

Bossert, Thomas , **Diana Bowser** and Leonor Corea "Studies of Decentralization of the Health System in Nicaragua." *Harvard ARCH Project Report,* September 2001.

Bossert, T, Chawla M, **Bowser D,** Giedion U and Arbelaez J. Applied Research on the Decentralization of Health Care Systems in Latin America: Colombia Case Study. Data for Decision Making Project. Boston: Harvard School of Public Health, June 2000.

Bossert, Thomas, Mukosha Bona Chitah, Maryse Simonet, Ladslous Mwansa, Maureen Daura, Musa Mabandhala, **Diana Bowser,** Joseph Sevilla, Joel Beauvais, Gloria Silondwa and Munalinga Simatele. Decentralization of the Health System in Zambia. PHR Major Applied Research 6, Technical Report 2, 2000.

Invited Presentations/Panels

Virtual Panel Discussion: Health Care and Public Health in the Era of COVID-19 (Presented by Heller School for Social Policy and Management) Webinar
Public Health Expert
Heller School, May 26, 2020

Virtual Panel Discussion: Economic Impact of an Outbreak (Presented by Boston College M.S. in Applied Economics) Webinar

Health Economics Expert
Boston College, May 14, 2020

**War on Cancer, Middle East Panel, Economist
Redesigning health systems to improve cancer outcomes**

<https://events.economist.com/events-conferences/cmca/war-on-cancer-middle-east#agenda>
Health Economics Expert
May 1, 2018

Accepted/Submitted Presentations

The economic impact of respiratory syncytial virus (RSV) in infants in the United States: systematic literature review

Diana Bowser, Donald Shepard, Arturo Harker Roa
Abstract Accepted to Health System Research Symposium
Dubai, November 9, 2020

The economic impact of respiratory syncytial virus (RSV) in infants in the United States: systematic literature review

Diana Bowser, Donald Shepard, Katie Rowlands, Elizabeth Glaser, Raissa Gervasio
Abstract Accepted to Infectious Disease Week
Philadelphia, PA, October 21-25, 2020

Clinician Variation in Prescribing of Opioids is Substantial in MHS Emergency Departments

Patrick Richard, Mark R. Bauer, Natalie Moresco, Diana Bowser, Regine Walker, and Mary Jo Larson
Abstract Accepted to Military Health System Research Symposium 2020

Cost analysis in implementation studies of evidence-based practices in behavioral healthcare: a systematic review

Diana Bowser, Brandy Henry, Kathryn McCollister
Abstract Accepted to European Health Economics Association (EuHEA)
Oslo, Norway, July 7-10, 2020

Financing, Workforce, and Clinical Care to Improve Social Support Integration

Tufts CTSI Health Equity Research: Fall 2018 Symposium Plus
Tufts Medical Center, Boston, MA, October 10, 2018

Cost effectiveness of mHealth for antenatal care in 10 Nigerian health facilities

4th Annual International Conference on Family Planning
Nusa Dua, Indonesia, November 9-12, 2015

Pay for Performance in the Belize Health Reform

Association for Public Policy Analysis and Management (APPAM) Fall Research Conference
Baltimore, MD, November 8-10, 2012

Disrespect and Abuse in Facility-Based Childbirth

The Gender-based Violence Task Force of the Interagency Gender Working Group (IGWG)
The National Press Club, Washington, DC, May 10, 2012

Guatemala: The economic burden of illness and health system implications

Bowser, Diana and Ajay Mahal; Paper presented at the International Conference on Behavior Medicine Annual Meeting August 2010

The Effect of Life Expectancy on Economic Growth in the United States

Bowser, Diana; Poster presented at the Population Association of America Annual Meeting April 2010

Cause Specific Mortality and Income in the United States and the Mississippi River Delta Region

Bowser, Diana; Paper presented at the Population Association of America Annual Meeting April 2010

A Preston Analysis of the Income-Health Nexus in the Mississippi River Delta Region

Bowser, Diana; Paper presented at the Southern Demographic Association Annual Meeting November 2008

Tobacco Industry Targeting in the Mississippi River Delta Region

Bowser, Diana, Carrie Carpenter, Geoff Wayne Ferris, and Greg Connolly; Paper presented at the APHA Annual Meeting November 2006

Master's Thesis: Malnutrition and Health Policy in Rural El Salvador

Monthly Latino Health Seminar at Yale University School of Public Health, May 1999

DOCTORAL DISSERTATION COMMITTEES

Chair, Agarwal-Harding Heller School	June 2022 (pending)	<i>Evaluating the impact of US immigration policy contexts on immigrant health</i>
Member, Yiqun Heller School	January 2021	<i>Foreign Aid Effect on Early Childhood Nutrition and Early Learning in Low and Middle Income Countries</i>
Member, Marion Cros Heller School	February 2019	<i>Difference in utilization of services between the public versus private sector in Haiti</i>
Member, Adeyemi Okunogbe Pardee RAND Graduate School	December 2018	<i>Three Essays on Health Financing in Sub Saharan Africa</i>
Member, Naeem Saleem Heller School	May 2018	<i>The impact of Conditional Cash Transfer Program on Maternal Health in Pakistan</i>
Chair, Ihom Akhobirshoev Heller School	May 2015	<i>The Impact of Parental Health Insurance on Health Outcomes and Health Care Utilization for Insured Children</i>

Chair, Yasmin Abbas
Heller School

May 2016

*Access to Medicine between the
Insured and Uninsured Hypertensive
Patients in Egypt*

MASTER'S LEVEL ADVISING

Advisor 10 Masters Level Students Annually

2013-Present *Health System Topics*

TEACHING

The Heller School for Social Policy and Management, Brandeis University

Economics for Managers, MDMBA Course, 2020-Present
International Health Economics, Masters Course, 2019-Present
Introduction to Microeconomics in Global Health, Masters Course, 2019-Present
Research Methods, Masters Course, 2016-Present
International Health Systems, Masters & Undergrad Course, 2012-Present
Frameworks for Development, Masters & Undergrad Course, 2012-2013
Seminar in Global Health and Development, Doctoral Course, 2012-2015

The Harvard T.H. Chan School of Public Health, Executive Training Course Director

Making Decentralization Work: Tools for Health Policy Makers and Managers (2 week course)
Strengthening Human Resources for Health (2 week course)
Improving the Quality of Health Services (2 week course)
Health Care in the 21st Century: Workshop for Latin American Health Care Executives (1 week)
Health Care Management and Digital Transformation: Emerging Health Technology (1 week)
Health Care in the 21st Century: Workshop for Andres Bello University, Chile (1 week)

The Harvard T.H. Chan School of Public Health

Harvard School of Public Health Executive Course on Decentralization, 2000-Present
Harvard School of Public Health Executive Course on Human Resources, 2000-Present

Boston College

Applied Health Economics, Online Course, 2020-Present

SERVICE TO BRANDEIS UNIVERSITY

PhD in Social Policy Committee, 2020-Present
Schneider Institutes, Collaboration Committee, 2019-Present
Schneider Institutes, Administrative Management Committee, 2019- Present
Global Health Faculty Search Committee, 2019- 2020
IBH Strategic Planning Committee Member, 2019-Present
Heller School Faculty Search Committee, 2018-2019

Research Steering Committee, 2018-Present
Schneider Institutes Collaboration Committee, 2015-Present
Master of Science in Global Health Policy and Management Committee, 2013-Present
Heller Re-appointment Panel, 2020
Diversity, Equity, and Inclusion Steering Committee, 2015-2018
Educational Steering Committee, 2013-2018
Sillerman Center Study Committee, 2014-2015
Diversity Committee, Research and Scorecard Sub-Group, 2013-2015
Senior Steering Committee, Schneider Institute, 2014-2015
PhD Program Committee, 2012-2015

CONSULTING EXPERIENCE

Pharos Global Health Advisors, HIV, TB, Malaria Integration and Efficiency, Haiti, 2019-2020
World Health Organization, Health Systems and Finance, Geneva, 2016, 2018
University Research Corporation, TRAction Project, Washington, DC, 2012
Inter American Development Bank, Assessment of Pay for Performance, Belize, 2011-2012
WHO-Ukraine, TB Health System Assessment, Ukraine, 2010
The Global Fund for HIV/AIDS, TB and Malaria, Consultant, Ukraine and Honduras, 2010-2014
Social Science Research Center, Mississippi State University, Consultant, Starkville, MS, 2007-2014
Tobacco Research Group, Harvard School of Public Health, Consultant, Boston, MA, 2005
Commonwealth Fund, Consultant, Boston, MA, 2004-2005
Maine Center for Public Health/American Cancer Society, Consultant, Boston, MA, 2004

EXTERNAL FUNDING

(see Statement of Research for more detail and longer list of External Funding)

Current Research Support

Bowser (PI) 6/1/20 – 5/30/25
NIDA
Preventing Opioid Use among Justice-involved Youth as They Transition to Adulthood: Leveraging Safe Adults (LeSA)
Goal: To estimate the implementation costs and cost-effectiveness of TBRI support options relative to standard reentry practices in achieving lower rates of opioid initiation and reductions in healthcare and criminal justice system costs
Role: PI \$331,816

Bowser (Co-I) 6/1/20 – 7/30/21
World Bank
Forced Migration and Health
Goal: To estimate the impact on the Colombian health care system of Venezuelan migrant populations.
Role: Co-I

Bowser (Co-I) 11/1/19 – 6/30/21
Sanofi Pharmaceuticals
Leading a Systematic Literature Review on the cost and quality of life impact of Respiratory Syncytial Virus.
Goal: To develop a protocol and research methodology for a systematic literature review to understand the cost and quality of life impact of Respiratory Syncytial Virus
Role: Co-I

Completed Research Support

Principal Investigator, *Strengthening the Humanitarian Response to COVID-19 in Colombia*, Elrha. \$364,425; 2020-2021

Principal Investigator, *Organizational and Environmental Factors Influencing the Implementation of Evidence-Based Practices in Juvenile Justice Settings*, NIDA/University of Miami. \$171,000; 2017-2020

Investigator, *Estimating overlap in Centers for Medicare and Medicaid Alternative Payment Models, CMS/MITRE/RTI*, 2019-2020

Principal Investigator, *Access to Eye Care in the Gambia*, OneSight Corporation. \$103,754; 2018-2019

Principal Investigator, *Return on Investment Analysis of Health Extension Workers in Ethiopia*, USAID/URC. \$136,924; 2018-2019

Principal Investigator, *Health Facility Efficiency in Haiti*, World Bank. \$50,000; 2018

Principal Investigator, *Business Plan for Cardiovascular Care in Rwanda*. Team Heart. \$10,000; 2016-2017

Principal Investigator, *Health Financing in India and Ethiopia*. Harvard T.H. Chan School of Public Health. \$48,060; 2016-2017.

Principal Investigator, *Health Data Analysis in Ethiopia*. Harvard T.H. Chan School of Public Health. \$24,030; 2016-2017.

Principal Investigator, *Health System Strengthening for Oncology Care in six MENA countries*. Harvard T.H. Chan School of Public Health. \$90,000; 2016-2017.

Principal Investigator, *Malaysia Health Sector Reform*. Harvard T.H. Chan School of Public Health. \$42,000; 2015-2016.

Principal Investigator, *KIIDS: Knowing about intervention implementation in Detention Sites*. National Institute on Drug Abuse. \$87,000; 2015-2016. Co-Principal Investigator: Kathryn McCollister, University of Miami.

Principal Investigator, *Cost Effectiveness of Mobile Health and Maternal Health Services in Nigeria*. Pathfinder International. \$92,897, 2013-2016

Principal Investigator, *Financing of Cardiovascular Care in Rwanda*. Team Heart. \$10,000; 2015

Principal Investigator, *Maternal and Child Health Sustainable Technical Assistance & Research, Bangladesh.*

United States Aid for International Development. \$197,000, 2012-2017.

Principal Investigator, *Juvenile Justice—Translational Research on Interventions for Adolescents in the Legal System (JJTRIALS).* National Institute on Drug Abuse-Mississippi State University. \$88,823, 2013-2015.

Principal Investigator, *Assessing the Determinants to ED use by Medicaid Beneficiaries.* Mississippi Medicaid-Mississippi State University. \$79,003, 2014-2015.

Principal Investigator, *Adolescent Sexual and Reproductive Health in Burkina Faso.* World Bank. \$21,530, 2012-2014.

Kristen Faughnan, M.P.A., Analysis and Project Manager

EDUCATION

- Cornell University, Ithaca, NY: M.P.A. with Social Policy Concentration
- Hobart and William Smith Colleges, Geneva, NY: B.A. Economics and Public Policy

HIGHLIGHTED EXPERIENCE

Kristen Faughnan is a policy researcher specializing in health equity and delivery system transformation. She is experienced in using quantitative research methodologies to understand health care disparities and evaluate program outcomes. For example, she managed and analyzed a large national data set in support of an analysis of racial disparities in premature delivery across states. This analysis identified risk factors for preterm delivery and created a state-level risk continuum for preterm delivery among Black parents. As another example, she worked with a team to analyze the impact of economic development programs, examining differences between locations in which such programs were implemented and comparable areas where they were not. She has also developed regional profiles using publicly available data sources such as the American Community Survey and supported the development of dashboards, manuscripts, and confidential patient safety reports.

In addition, Ms. Faughnan is an experienced project manager and has coordinated large research studies and evaluation contracts involving over 30 sites. Many of these projects have incorporated a strong focus on equity, examining topics such as care and service coordination for marginalized populations, access to recovery among individuals who visited the emergency department after an opioid overdose, and experiences of homelessness and housing insecurity during the COVID-19 pandemic. She has also drafted and edited a wide range of reports and manuscripts on topics related to health equity, delivery system performance, and quality improvement.

PROFESSIONAL EXPERIENCE

- Research Associate,**
Brandeis University, Schneider Institutes for Health Policy (2016-Present)
- Administrative Assistant**
Jansen Engineering, PLLC (2015-2016)
- Student Consultant**
New Orleans Redevelopment Authority (2015)
- Policy Intern, Workplace Programs**
National Partnership for Women and Families (2014)

PUBLICATIONS

SHIFT-Care external evaluation: final report. Report submitted to the Massachusetts Health Policy Commission. Pending publication.

Summary of qualitative findings: SHIFT-Care external evaluation. Report submitted to the Massachusetts Health Policy Commission. Pending publication.

Santos, P., & Faughnan, K. Innovative partnerships to address housing and homelessness during the COVID-19 pandemic. In development.

Santos, P., Faughnan, K., Prost, C., & Tschampl, C. A. (2021). Systemic barriers to care coordination for marginalized and vulnerable populations. *Journal of Social Distress and Homelessness*. <https://doi.org/10.1080/10530789.2021.2021361>

Massachusetts Health Policy Commission. *Targeted Cost Challenge Investments Program: Care coordination case study*. (2021). <https://www.mass.gov/doc/tcci-care-coordination-case-study/download>

Massachusetts Health Policy Commission. *Targeted Cost Challenge Investments Program: evaluation report*. (2021). <https://www.mass.gov/doc/tcci-evaluation-report-0/download>

Center for Medicare & Medicaid Innovation. (2020). *Increasing hospice enrollment: OCM Sites with the greatest improvement: OCM Learning System case study*. Retrieved from OCM Connect.

Santos, P., Joglekar, G., Faughnan, K., Darden, J., & Hendrich, A. (2020). Disproportionate preterm delivery among black women: a state-level analysis. *Journal of Racial and Ethnic Health Disparities*, 7(2): 290-297. <https://doi.org/10.1007/s40615-019-00657-x>

Center for Medicare & Medicaid Innovation. (2019). *Assessing and addressing health-related social needs: OCM Learning System, case study #11*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *Building and sustaining high-value patient and family advisory councils: Oncology Care Model Learning System, resource guide #2*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *Decreasing ED utilization: OCM-2 high performers: OCM Learning System case study*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2019). *End-of-life care planning: barriers and approaches: Oncology Care Model Learning System, case study #8*. Retrieved from OCM Connect.

Resonance and relevance in care coordination: final report. (2019). Report presented to the Massachusetts Health Policy Commission.

Center for Medicare & Medicaid Innovation. (2018). *Caring for the whole patient: Oncology Care Model Learning System, resource guide #1*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Engaging physicians and care teams in OCM transformation: Oncology Care Model Learning System, case study #5*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Survivorship care planning: Oncology Care Model Learning System, case study #6*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2018). *Integrating palliative care: Oncology Care Model Learning System, case study #7*. Retrieved from OCM Connect.

CPC+ practice spotlight 8: Using Data to Reduce Emergency Department Visits. (2018, January 9). Retrieved from <http://files.constantcontact.com/047f19f3601/38fc1958-7841-4077-a31b-2b95132d8812.pdf>

Santos, P., Joglekar, A., Faughnan, K., Darden, J., Masters, L., Hendrich, A., & McCoy, C. K. (2018). Sustaining and spreading quality improvement: Decreasing intrapartum malpractice risk. *Journal of Healthcare Risk Management*, 38: 42-50. <https://doi.org/10.1002/jhrm.21329>

Center for Medicare & Medicaid Innovation. (2017). *OCM case study #1: Reducing potentially avoidable hospitalizations and emergency department utilization*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2017). *Patient and family engagement & shared decision-making: Learning System case study #2*. Retrieved from OCM Connect.

Center for Medicare & Medicaid Innovation. (2017). *Supporting oral chemotherapy adherence: Learning System case study #3*. Retrieved from OCM Connect.

CPC+ practice spotlight 6: Improving quality through eCQM checklists and patient outreach. (2017, November 7). Retrieved from <http://files.constantcontact.com/047f19f3601/8493d0a5-99cf-4a50-87b6-2034d434f57c.pdf>

CPC+ practice spotlight 7: Implementing behavioral health integration: Care management model. (2017, December 19). Retrieved from <http://files.constantcontact.com/047f19f3601/ede1e435-bec6-4593-a5b2-fb1296068922.pdf>

Brandeis University Personnel

Title: Readiness Study for Certified Community Behavioral Health Clinics

<u>Name</u>	<u>Annual Salary</u>	<u>Salary Paid by Contact</u>
Palmira Santos	125,761	18,864
Diana Boswer	159,004	11,925
Robert Dunigan	103,002	15,450
Kristen Faughnan	65,851	24,694