



**NCU**  
Northcentral University

APR 30 2013

*Band included*

April 26, 2013

Iowa College Student Aid Commission  
Postsecondary Approval and Registration Administrator  
603 East 12<sup>th</sup> Street, FL 5<sup>th</sup>  
Des Moines, IA 50319

Re: Northcentral University

Dear Sir/Madam:

*\* Need e-copy  
of faculty 11 FT*

*\* Need refund policy  
Based on 7/1/12 law  
removing exemption for  
"churbs" 3 mos or less*

*Missing copies of  
\* 261.9(1) e-k policies*

Enclosed, please find an Application for Approval and Registration of Postsecondary School for Northcentral University. Northcentral University educates professionals throughout the world and provides an accessible opportunity to earn a U.S. regionally accredited degree. Northcentral University is physically located in Prescott Valley, Arizona. It is legally authorized to operate by the Arizona State Board for Private Postsecondary Education. Northcentral University is regionally accredited by the Higher Learning Commission of the North Central Association of Colleges and Schools. In addition, Northcentral's business programs in the School of Business and Technology Management are accredited by the Accreditation Council for Business Schools and Programs (ACBSP). The Master of Arts in Marriage and Family Therapy (MAMFT) degree program has received five year accreditation from the Commission on Accreditation for Marriage and Family Therapy Education (COAMFTE).

Northcentral University does not have an instructional or administrative site within the state of Iowa. Instruction is 100% online and will be delivered from Prescott Valley, AZ and online by faculty throughout the world. Northcentral University does not employ recruiters in the state of Iowa. The only potential employee of Northcentral University would be a faculty member who instructs students from his or her home office. The Marriage and Family Therapy programs at Northcentral University do require practicums and internships, however, the supervisors of these programs are not employees of the University. Students themselves are required to secure a local clinical placement as well as a local supervisor who meets state requirements for supervision of post-graduate MFTs seeking state licensure within their state.

Should you have any questions or concerns regarding this application, please do not hesitate to contact me at (480) 253-4604 or via email at [jrandle@ncu.edu](mailto:jrandle@ncu.edu).

Sincerely,

A handwritten signature in black ink, appearing to read 'Johanna Randle', written in a cursive style.

Johanna Randle  
Regulatory Manager  
Northcentral University

# Iowa College Student Aid Commission

Postsecondary Approval and Registration Administrator  
603 East 12th Street, FL 5th  
Des Moines, IA 50319 (515)  
725-3470

## Application for Approval and Registration of Postsecondary School Iowa Code Chapter 261B

Submit a paper document and a complete duplicate in pdf format on a CD or other electronic media. Applications may be submitted electronically by contacting the Postsecondary Approval Administrator at the Iowa College Student Aid Commission.

All items must be completed before the application will be considered as received by the Commission. Attach additional pages as needed to provide the requested information. Other documents or materials may also be attached to support the application. Attachments must be tabbed and clearly marked on both paper and pdf documents.

(Registrations must be renewed every two years or upon any substantive change in program offerings, location, or accreditation.)

Name of school and address of the principal office as defined in Iowa Code Section 490.140 or 510.141: [(261B.4(2))] and [(261B.4(1))]

Name of School: Northcentral University  
Suite: \_\_\_\_\_  
Street: 10000 East University Drive  
City: Prescott Valley  
State: Arizona  
Zip: 86314  
Country: United States  
Telephone Number (including country or area code): 928-541-7777

Type of school:

- For-profit
- Non-profit
- Public

Address of this school in all in other states, and in foreign countries:

Suite	Street	City	State	Zip	Country	Telephone
N/A						

Address of all locations in Iowa where instruction is to be provided

Suite	Street	City	State	Zip	Country	Telephone
N/A						

Total tuition charges, fees and other costs payable to the school by a student. [(261B.4(3))]

Program to be Offered in Iowa	Tuition	Fees	Books and Supplies	Other	Total
Bachelor of Arts in Psychology	\$25,000	Included			\$25,000
Master of Arts in Psychology	\$25,512	Included			\$25,5212
Doctor of Philosophy in Psychology	\$50,700	Included			\$50,700
Post-Baccalaureate Certificate in Psychology	\$8,504	Included			\$8,504
Post-Master's Certificate in Psychology	\$15,210	Included			\$15,210
Master of Arts in Marriage and Family Therapy	\$34,350	Included			\$34,350
Doctor of Philosophy in Marriage and Family Therapy	\$59,110	Included			\$59,110
Post-Baccalaureate Certificate in Marriage and Family Therapy	\$9,156	Included			\$9,156
Post-Master's Certificate in Marriage and Family Therapy	\$15,420	Included			\$15,420
Bachelor of Business Administration	\$25,000	Included			\$25,000
Master of Business Administration	\$20,630	Included			\$20,630

Doctor of Business Administration	\$44,766	Included		\$44,766
Doctor of Philosophy in Business Administration	\$51,400	Included		\$51,400
Post-Baccalaureate Certificate in Business	\$8,256	Included		\$8,256
Post-Master's Certificate in Business	\$15,420	Included		\$15,420
Bachelor of Education	\$12,500	Included		\$12,500
Master of Education (MEd)	\$16,310	Included		\$16,310
Education Specialist (EdS)	\$27,071	Included		\$27,071
Doctor of Education (EdD)	\$44,298	Included		\$44,298
Doctor of Philosophy in Education	\$51,400	Included		\$51,400
Post-Baccalaureate Certificate in Education	\$6,524	Included		\$6,524
Post-Master's Certificate in Education	\$15,420	Included		\$15,420

Refund policy of the school for the return of refundable portions of tuition, fees, or other charges [(261B.4(4))]  
If the refund policy is attached, please summarize the policy below.

*No* The courses at Northcentral University are 3 months or less therefore, the Iowa Code does not apply (714.23(3)).  
In the event of course drop or withdrawal from the University, refunds are based on amounts already paid by the student and on when the drop and/or withdrawal are requested.

Withdrawal or Drop prior to course registration:

Pre-paid tuition for courses in which the student is not yet registered is refunded 100%.

Withdrawal or drop within 7 days from and including course start date:

Students may request withdrawal or course drop and receive a full refund of all monies paid to date if the withdrawal request date is no more than 7 days from and including the start date, and a course is dropped no more than 7 days from and including the course start date.

Full tuition is charged for any courses for which the student has entered the course room and more than 7 days including the course start date have elapsed.

Tuitions refunds are provided within 30 days of the withdrawal request date or date the course is dropped. The student will be notified if a balance is due to the University.

Name, business address and telephone number of the chief executive officer of the school: [(261B.4(7))]

Name: George A. Burnett, President and CEO  
Suite: 100  
Street: 8667 East Hartford Drive  
City: Scottsdale  
State: Arizona  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): 928-541-7777

Provide a copy or description of the means by which the school intends to comply with 261B.9 [(261B.4(8))]. Code section 261B.9 is as follows:

**261B.9 DISCLOSURE TO STUDENTS.**

Prior to the commencement of a course of instruction and prior to the receipt of a tuition charge or fee for a course of instruction, a school shall provide written disclosure to students of the following information accompanied by a statement that the information is being provided in compliance with this section:

1. The name or title of the course.
2. A brief description of the subject matter of the course.
3. The tuition charge or other fees charged for the course. If a student is enrolled in more than one course at the school, the tuition charge or fee for all courses may be stated in one sum.
4. The refund policy of the school for the return of the refundable portion of tuition, fees, or other charges. If refunds are not to be paid, the information shall state that fact.
5. Whether the credential or certificate issued, awarded, or credited to a student upon completion of the course or the fact of completion of the course is applicable toward a degree granted by the school and, if so, under what circumstances the application will be made.
6. The name of the accrediting agency recognized by the United States department of education or its successor agency which has accredited the school.

Response:

The information required above is located in the Northcentral University catalog which is provided to the students at time of enrollment. In addition, the catalog is available on the NCU website as well as in the student portal.

Name, address, and telephone number of a contact person in Iowa. [(9261B.4(10))]. If the school is applying for distance education and has registered with the Iowa Secretary of State as a for-profit corporation transacting business in Iowa, please list the corporation's Iowa registered agent.

Northcentral University has not registered with the Iowa Secretary of State because they do not have a presence in Iowa. However, our registered agent is:

Name: Corporation Service Company  
Suite: 729  
Street: 505 5<sup>th</sup> Avenue  
City: Des Moines  
State: IA  
Zip: 50309  
Country: United States  
Telephone Number (including country or area code): 866-403-5272

Name, address, and title of the other officers and members of the legal governing body of the school: [(261B.4(6))]

Officer Number 1

Name: George A. Burnett, President and CEO  
Suite: 100  
Street: 8667 East Hartford  
City: Scottsdale  
State: AZ  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): (928) 541-7777

Officer Number 2

Name: Scott Burrus, PhD., Provost and CAO  
Suite: 100  
Street: 8667 East Hartford  
City: Scottsdale  
State: AZ  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): (928) 541-7777

Officer Number 3

Name: Chris Lynne, CFO and COO  
Suite: 100  
Street: 8667 East Hartford  
City: Scottsdale  
State: AZ  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): (928) 541-7777

Owner Number 1

Name: Innova Management Group, Inc.  
Suite: 100  
Street: 8667 East Hartford  
City: Scottsdale  
State: AZ  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): (928) 541-7777

Name all agencies accrediting the institution. For each agency, include name, address, telephone number, and whether the agency is recognized by the U.S. Department of Education. [(261B.4(9))] Attached copies of accreditation certificates of status for each agency. If the Iowa location is not accredited, provide accrediting agency certification that the Iowa location will be granted accreditation upon approval by the College Student Aid Commission. Provide documentation that every location of application school is approved by the accrediting agency and in good standing, for all locations throughout the world.

Accrediting Agency 1

Name: Higher Learning Commission  
Suite: 7-500  
Street: 230 South LaSalle Street  
City: Chicago  
State: IL  
Zip: 60604-1411  
Country: United States  
Telephone Number (including country or area code): (312) 263-0456  
Contact Person: Jeff Rosen

Is this agency recognized by the U.S. Department of Education? [X] Yes [ ] No

Accrediting Agency 2

Name: Accrediting Council for Business Schools & Programs  
Suite: \_\_\_\_\_  
Street: 11520 West 119<sup>th</sup> Street  
City: Overland Park  
State: KS  
Zip: 66213  
Country: United States  
Telephone Number (including country or area code): (913) 339-9356  
Contact Person: Steve Parscale

Is this agency recognized by the U.S. Department of Education?  Yes  No

Accrediting Agency 3

Name: Commission on Accreditation for Marriage and Family Therapy Education  
Suite: \_\_\_\_\_  
Street: 112 South Alfred Street  
City: Alexandria  
State: VA  
Zip: 22314-3061  
Country: United States  
Telephone Number (including country or area code): (703) 838-9808  
Contact Person: Tanya Tamarkin

Is this agency recognized by the U.S. Department of Education?  Yes  No

Describe the procedures followed by the school for permanent preservation of student records.  
[(261B.4(12))]

In the event of closure of Northcentral University, the Arizona State Board for Private Postsecondary Education will preserve the University's student records. This is in accordance with R4-39-402 of Arizona rules which states: No more than 15 calendar days after a licensee ceases operation, the licensee shall submit to the Board legible copies of all student records required in R4-39-401.

Provide the contact information to be used by students and graduates who seek to obtain transcript information.

Name: Registrar  
Suite: 100  
Street: 8667 East Hartford  
City: Scottsdale  
State: AZ  
Zip: 85255  
Country: United States  
Telephone Number (including country or area code): (928) 541-7777

List the states and approvals or registration agencies for all states in which the school operates or maintains a presence.

State	Agency Name	Address	Contact Person	Telephone Number
Arizona	AZ State Board for Private Postsecondary Education	1400 W. Washington Room 260 Phoenix, AZ 85007	Teri Stanfill	(602) 542-5709
Wisconsin	Educational Approval Board	201 W. Washington Ave. 3 <sup>rd</sup> Floor, Madison, WI 53708-8696	Pat Sweeney	(608) 266-1996

Describe the academic and instructional methodologies and delivery systems to be used by the school and the extent to which the school anticipates each methodology and delivery system will be used, including, but not limited to, classroom instruction, correspondence, internet, electronic telecommunications, independent study, and portfolio experience evaluation. [(261B.4(13))]

In the Northcentral University distance learning environment, students and faculty interact one on one. Northcentral University uses a personalized teaching model wherein students and faculty interact asynchronously during a course to achieve learning outcomes. Faculty function as instructors, facilitators, guides, consultants, and evaluators. A complete list of salaried faculty and their qualifications can be found at the end of this Catalog.

Course interaction occurs through Compass, a proprietary course management system. The university uses asynchronous computer-mediated communications in primarily text-based courses. Students and faculty communicate using Northcentral University's Message System and the Course Page, thereby avoiding spam and viruses. The messaging system tracks student-faculty interaction.

All degree programs include a set of fundamental courses and a set of related specialization courses allowing the student to select coursework closely associated with his or her educational and career goals. Students complete a degree plan, guided by faculty and supported by traditional texts, technology, and electronic resources and databases.

Provide the name of every other State of Iowa agency required to approve the application school in Iowa, the school's contact person at the agency and the current status of that approval. Attach documentation in the form of a letter or certificate for each agency.

Agency Name	Contact Person	Telephone Number	Approval Status
N/A			

Is the school subject to a limitation, suspension or termination (LST) order issued by the U.S. Department of Education?

[ ] Yes [X] No

If yes, explain below.

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Provide the name and contact information for a U.S. Department of Education official who can verify the LST statement.

Gayle Palumbo, Compliance Manager (415) 486-5614, gayle.palumbo@ed.gov

Do you:

Enroll students in Iowa?  Yes  No

Employ Iowa faculty?  Yes  No

Do you intend to:

Enroll students in Iowa?  Yes  No

Employ Iowa faculty?  Yes  No

Describe current operations or plans to enroll students in Iowa or employ Iowa faculty.

Currently, Northcentral University enrolls students from Iowa if they contact the college first. Northcentral University does not actively solicit Iowa residents. Northcentral University does not employ recruiters in the state of Iowa. Faculty members are hired throughout the world to instruct students from his or her home office.

Name, address, telephone number and resume of employees in Iowa. Please identify which employees are full time.

Name: Brad Colton

Title: Part Time Faculty (instructs from home office)

Suite: \_\_\_\_\_

Street: 4264 Cottage Grove Parkway SE

City: Cedar Rapids

State: IA

Zip: 52403

Country: United States

Telephone Number (including country or area code): (319) 363-2249

Name: Anthony Santiago

Title: Part Time Faculty (instructs from home office)

Suite: \_\_\_\_\_

Street: 2029 McCarthy Road

City: Ames

State: IA

Zip: 50014

Country: United States

Telephone Number (including country or area code): (515) 292-1786

Name: Robin Throne

Title: Full Time Faculty (instructs from home office)

Suite: \_\_\_\_\_

Street: 918 N. Cody Road

City: LeClaire

State: IA

Zip: 52753

Country: United States

Telephone Number (including country or area code): (641) 781-0128

Name: Amy Vaughan  
Title: Part Time Faculty (instructs from home office)  
Suite: 7118  
Street: 225 Prairie View Drive  
City: West Des Moines  
State: IA  
Zip: 50266  
Country: United States  
Telephone Number (including country or area code): (404) 723-0655

Will your school comply with *Iowa Code* section 261B.7 which requires the school to disclose that it is registered by the Commission, including Commission contact information?  
(See the *Iowa Code* for details)

Yes  No

Will your school comply with the requirements of *Iowa Code* section 261.9(1) "e" to "h"?  
(See the *Iowa Code* for details)

Yes  No

Please provide policies that comply with these requirements as attachments.

Does the school agree to file annual reports that the Commission requires from all Iowa colleges and universities?

Yes  No

Attach a copy of the application school's most recent audit prepared by a certified public accounting firm no more than 12 months prior to the application and state below where, in the audit report, there is evidence that the auditor is providing an unqualified opinion.

The financial statements are attached and were prepared on May 17, 2012. The Report of Independent Auditors notice is on page 3.

Describe how students will be provided with access to learning resources, including appropriate library and other support services requisite for the schools' degree programs.

Students are provided access to multiple learning resources including a library, virtual bookstore, writing center, dissertation center, and academic advisors. The library contains full-text articles and abstracts of leading publications in fields relevant to all degree programs. The virtual bookstore gives students access to locate their course number, order books and course materials, and pay conveniently online. The bookstore also has a large inventory of used books, and NCU buys back many textbooks when courses are completed. The textbooks and course materials are shipped directly to the student via Fed Ex, UPS, or the U.S. postal service. The writing center helps students gain knowledge and skills to communicate according to the American Psychological Association (APA) editorial style and standard used for scholarly writing at NCU. The writing centers provide support materials and writing assistance including a five-stage approach that helps students master academic writing through focus, development, organization, style and conventions. The dissertation center helps students develop a dissertation of the highest standard. We provide convenient access to style guides, and a general overview of dissertation structure. A section is available for each of the schools at NCU that provides discipline-specific updates and helpful information describing each dissertation process.

If applicable, please provide evidence that the school has adequate physical facilities appropriate for the program(s) to be offered and are located in the state. Include a copy of a signed agreement for a facility purchase or lease or option to purchase or lease. Please include a photograph of the location.

Not Applicable

Include a statement, signed by the chief executive officer of the application school, on school letterhead, demonstrating the school's commitment to the delivery of programs located in Iowa, and agreeing to provide alternatives for students to complete programs at other institutions if the applicant school closes the program before students have completed their courses of study.

Statement may be in an attached document.

Provide an organizational plan that shows the location and physical address, telephone number, fax number and contact information for all internet-based and site-based educational locations, administrative and service centers operated by the application and any parent organization.

The programs at Northcentral University are delivered out of Prescott Valley, AZ. The administrative offices are located in Scottsdale, AZ. Northcentral University does not have any other offices or administrative locations.

Prescott Valley address, 10000 East University Drive, Prescott Valley, AZ 86314 (928) 541-7777

Scottsdale address, 8667 East Hartford Drive, Suite 100, Scottsdale, AZ 85255 (928) 541-7777

Provide documentation showing the school's policy for the resolution of student and graduate comments and complaints. Provide complete contact information to which complainants may be referred.

Please see the attached policy regarding student concerns and complaints.

If applicable, please provide a copy of a current Certificate of Authority provided by the application's home state and the Iowa Secretary of State.

The Certificate of Authority for the state of Arizona is attached. Northcentral University is not required to register with the Iowa Secretary of State as there is no physical presence in the state.

Provide the U.S. Department of Education cohort default rate for each associated organizational entity for which the U.S. Department of Education reports a cohort default rate.

The cohort default rate for Northcentral University is 1.3%.

Provide the average debt upon graduation of individuals completing programs at each branch location and the entire organization.

The average debt upon graduation is not available for all programs for the last reporting period. However, the average debt upon graduation in the School of Education is \$2,750.

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Provide the U.S. Department of Education cohort graduation rate for each branch location and the total organization, showing rates for graduates of diploma, two-year, and four-year, programs if those rates are reported to the U.S. Department of Education National Center for Education Statistics.

N/A

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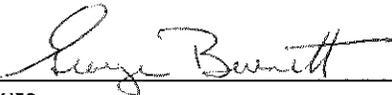
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**SIGNATURE**

**Application School Chief Executive Officer**

George A. Burnett  
Name

President and CEO  
Title

  
Signature

3/7/13  
Date

**If any information in this application changes between the time of application Commission action, the school must inform the Commission by filing an Amended Application clearly indicating the information which is being amended. Amendments must be received before the Commission takes action.**

A registration fee of \$2,000 is due and payable to the State of Iowa upon registration approval.





# Higher Learning Commission

A commission of the North Central Association



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Currently or Previously Affiliated Institutions - 02/13/2013

*Information provided on the Statement of Affiliation Status reflects the most recent actions of the Commission. The Commission has a multi-level decision process. Any institutional changes that are currently under review are not made public until final action has been taken.*

## Northcentral University

10000 E. University Drive  
Prescott Valley, AZ 86314-0000  
(928) 641-7777 (Main Phone)

[www.ncu.edu](http://www.ncu.edu)

### Statement of Affiliation Status [Click here for definitions...](#)

*Chief Executive Officer:* Mr. George Burnett, Chief Executive Officer  
*HLC Institution ID:* 2162  
*Current Accreditation Status:* Accredited  
*Candidacy Date(s):* (2001- .)  
*Accreditation Date(s):* (2003- .)  
*Year of Last PEAQ Comprehensive Evaluation:* 2007 - 2008  
*Year of Next PEAQ Comprehensive Evaluation:* 2012 - 2013

*Last Action:* 07/16/2012

*Control:* Private FP  
*Degrees Awarded (details below):* Bachelor's, Master's, Specialist, Doctoral

#### *Stipulations on Affiliation Status:*

Degree programs are limited to the Bachelor of Arts in Psychology; Bachelor of Business Administration; Bachelor of Education-Completion Program; Master of Arts in Psychology; Master of Arts in Marriage and Family Therapy; Master of Business Administration; Master of Education; Education Specialist; Doctor of Education; Doctor of Business Administration; and Doctor of Philosophy in Business Administration; in Education; in Marriage and Family Therapy, and in Psychology.

#### *Approval of New Degree Locations:*

The Commission's Notification Program is only available for offering existing degree programs at new locations in Wisconsin.

#### *Approval of Distance and Correspondence Courses and Programs:*

The institution has been approved under Commission policy to offer up to 100% of its total degree programs through distance education. The processes for expanding distance education are defined in other Commission documents.

#### *Reports Required:*

None.

#### *Other Visits Scheduled:*

None.

### Organizational Profile [Click here for definitions...](#)

Enrollment Headcount (last updated: 04/27/2012)

	Full-Time	Part-Time
Undergraduate:	156	302

Graduate:	3005	6199
Dual enrollment (high school) programs:	0	

**Degree Programs (last updated: 04/27/2012)**

	Programs Offered	Degrees Awarded in Last Reported Year
Associate Degrees	0	0
Bachelors Degrees	3	104
Masters Degrees	4	318
Specialist Degrees	1	0
Doctoral Degrees	6	160

**Certificate Programs (last updated: 04/27/2012)**

	Programs Offered	Certificates Awarded in Last Reported Year
Certificates	3	40

**Off-Campus Activities (last updated: 04/27/2012)**

In-State:	Campuses:	None
	Additional Locations:	None
Out-of-State:	Campuses:	None
	Additional Locations:	None
Out-of-U.S.:	Campuses:	None
	Additional Locations:	None

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|---|---|---|---|---|---|
| <p><b>About HLC</b></p> <ul style="list-style-type: none"> <li>• <a href="#">History &amp; Background</a></li> <li>• <a href="#">Personnel &amp; Governance</a></li> <li>• <a href="#">Programs &amp; Services</a></li> <li>• <a href="#">External Relations</a></li> <li>• <a href="#">Employment Opportunities</a></li> </ul> | <p><b>Accreditation</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Overview</a></li> <li>• <a href="#">Criteria, Eligibility &amp; Candidacy</a></li> <li>• <a href="#">Pathways</a></li> <li>• <a href="#">PEAQ</a></li> <li>• <a href="#">AQIP</a></li> <li>• <a href="#">Institutional Change</a></li> <li>• <a href="#">Monitoring &amp; Reporting</a></li> </ul> | <p><b>Policies &amp; Statements</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Institutional Policies</a></li> <li>• <a href="#">Policy Updates</a></li> <li>• <a href="#">Federal Compliance</a></li> <li>• <a href="#">Position Statements</a></li> </ul> | <p><b>Document Library</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Alpha Document List</a></li> <li>• <a href="#">Team Visit Guidelines, Templates &amp; Examples</a></li> <li>• <a href="#">Substantive Change Applications</a></li> <li>• <a href="#">Position Statements</a></li> </ul> | <p><b>HLC Institutions</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Directory</a></li> <li>• <a href="#">Accreditation Personnel</a></li> <li>• <a href="#">Institutional Actions</a></li> <li>• <a href="#">Visit List</a></li> <li>• <a href="#">Complaints</a></li> <li>• <a href="#">Public Disclosures</a></li> <li>• <a href="#">Mark of Affiliation</a></li> </ul> | <p><b>Peer Review</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Peer Review Team Resources</a></li> <li>• <a href="#">Peer Reviewer Application</a></li> <li>• <a href="#">Peer Reviewer Data Update System</a></li> </ul> |
|---|---|---|---|---|---|

The Higher Learning Commission • 230 South LaSalle Street, Suite 7-500 • Chicago, IL 60604 • [inquiry@hlcommission.org](mailto:inquiry@hlcommission.org) • 800.621.7440  
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COMMISSION ON ACCREDITATION  
FOR MARRIAGE AND FAMILY  
THERAPY EDUCATION

Assuring Quality in MFT Education  
Through Accreditation

112 South Alfred Street  
Alexandria, VA 22314  
Telephone: (703) 838-9808  
Fax: (703) 838-9805  
Website: [www.aamft.org](http://www.aamft.org)

December 18, 2012

Dr. Branden Henline  
Marriage and Family Therapy Program  
Northcentral University  
10000 E. University Drive  
Prescott Valley, AZ 86314

Dear Dr. Henline:

The Commission on Accreditation for Marriage and Family Therapy Education (COAMFTE), at its November 16-17, 2012 meeting, reviewed the Marriage and Family Therapy (M.A.) program at Northcentral University for Initial Accreditation. This review included consideration of the program's Self-Study, COAMFTE's Self-Study Review Letter, Program's Response to COAMFTE's Self-Study Review Letter, Site Visit Report, Program's Response to Site Visit Report, and any additional materials submitted by the program.

The Commission voted to grant Initial Accreditation for a period of five (5) years with **Stipulations** on the following Key Elements:

Key Element III-B  
Key Element III-C

Key Element III-E  
Key Element IV-B

Key Element IV-C

Consistent with the COAMFTE policy on *Notification to Program of COAMFTE Actions*, the program must agree in writing to any stipulations for accreditation before the status can be conferred (*COAMFTE Accreditation Manual: Policies and Procedures*, p. 18). **The program is required to respond in writing by December 28, 2012 to [coa@aamft.org](mailto:coa@aamft.org).**

The Commission also voted to request **Additional Information** on the following:

Key Element I-E

Key Element I-G

Key Element II-G

The Commission's review of the program materials is below:

**Standard I**

- **Key Element I-A.** *The program will have clearly specified educational outcomes congruent with the institution and program's mission and appropriate to the profession of MFT.*

The program meets the requirements of this Key Element.

- **Key Element I-B.** *Educational outcomes reflect an understanding and respect for cultural diversity.*

The program meets the requirements of this Key Element.

- **Key Element I-C.** *Educational outcomes are reviewed periodically and revised to reflect professional marriage and family therapy principles, educational guidelines, the communities of interest, and the advancement of the program.*

The program meets the requirements of this Key Element.

- **Key Element I-D.** *The program will be clearly identifiable as training students in the profession of marriage and family therapy.*

The program meets the requirements of this Key Element.

- **Key Element I-E.** *Roles of faculty and students in the governance of the program are clearly defined and enable the program to meet stated educational outcomes.*

The program meets the requirements of this Key Element. The program needs to provide Additional Information on the functions and organization of two student groups, the Student Advisory Board and the Marriage and Family Therapy Student Organization, and how they support governance of the program.

- **Key Element I-F.** *Documents and publications accurately reflect the program. Any references to published or promotional materials to the program's offerings, faculty and student learning outcomes, accreditation/approval status, academic calendar, admission policies, grading policies, racial and cultural composition of the faculty, students, and supervisors, degree completion requirements, tuition, and fees are accurate.*

The program meets the requirements of this Key Element.

- **Key Element I-G.** *Policies of the program are fair, equitable, published, and are reviewed and revised as necessary. These policies include but are not limited to those relative to student recruitment, anti-discrimination, admission, retention, and graduation.*

The program meets the requirements of this Key Element. The program needs to provide Additional Information in the form of evidence of publication of statement "students may be requested to pay for supervision" in the program Handbook and other documents referencing program fees and tuition and evidence that implementation of this policy will be in compliance with state licensure laws. (e.g. California Marriage and Family Therapy licensure law prohibits direct payment by pre-graduate trainees and post-graduate interns to supervisors for supervision.)

## Standard II

- **Key Element II-A.** *The program resides in an environment that encourages faculty teaching, scholarship, service, and practice in keeping with the educational outcomes of the program.*

The program meets the requirements of this Key Element.

- **Key Element II-B.** *Fiscal and physical resources are sufficient to enable the program to meet educational outcomes. These resources are reviewed, revised, and improved as needed.*

The program meets the requirements of this Key Element.

- **Key Element II-C.** *Academic support services are sufficient to ensure quality and are evaluated on a regular basis to meet program and student needs.*

The program meets the requirements of this Key Element.

- **Key Element II-D.** *The program director is academically, professionally, and experientially qualified and is vested with the authority necessary to accomplish the educational outcomes of the program. The program director provides effective leadership to the program in achieving its educational outcomes.*

The program meets the requirements of this Key Element.

- **Key Element II-E.** *The program director, or whoever has or shares ultimate program responsibilities, will be an AAMFT Approved Supervisor or a State Approved Supervisor. Supervisory candidacy status or equivalency does not satisfy this element.*

The program meets the requirements of this Key Element.

- **Key Element II-F.** *Program director responsibilities include oversight of the curriculum, clinical training program, facilities, services, and the maintenance and enhancement of the program's quality.*

The program meets the requirements of this Key Element.

- **Key Element II-G.** *Faculty members are academically, professionally, and experientially qualified and sufficient in number to achieve educational outcomes of the program.*

The program meets the requirements of this Key Element. The program needs to provide Additional Information clarifying the supervisor qualifications and selection process; supervisor performance evaluation process; and the use of student feedback to improve the supervision component of the program and the ability its ability to support the attainment of the Educational Outcomes. identified in Key Element I-A.

- **Key Element II-H.** *The faculty roles in teaching, scholarship, service, and practice are identified clearly and are congruent with the educational outcomes of the program.*

The program meets the requirements of this Key Element.

### Standard III

- **Key Element III-A.** *The curriculum is based on and developed, implemented, and revised to reflect clear statements of expected student learning outcomes that are consistent with Professional Marriage and Family Therapy Principles and congruent with the program's educational outcomes.*

The program meets the requirements of this Key Element.

- **Key Element III-B.** *The curriculum is based upon a comprehensive and substantive understanding and foundation of human development, family dynamics, systemic thinking, interactional theories, traditional and contemporary marriage and family therapy theories, research, and the cultural context in which they are embedded.*

The program does not meet the requirements of this Key Element. The program didactic curriculum addresses all the themes and topics required of this Key Element. The program needs to provide evidence of how clinical training components of less than 12 months provide a comprehensive clinical training. Additionally provide clarification of the requirements for the substance of the clinical training activities (e.g. on going therapy relationships vs short term consultation) to demonstrate that the actual training activities support the attainment of Student Learning Outcomes. The program also needs to provide clarification indicating how students are able to attain relevant Student Learning Outcomes by joining an online course at varying times during its 12 week cycle.

- **Key Element III-C.** *The curriculum is logically structured to meet expected program outcomes.*
  1. *The master's curriculum is clinically and empirically focused consistent with the educational outcomes of the program.*
  2. *The doctoral curriculum is based upon a foundation of research and teaching principles as well as advanced clinical and supervision training consistent with the educational outcomes of the program. The doctoral curriculum builds upon the foundation of the masters curriculum.*

The program does not meet the requirements of this Key Element. The program needs to provide evidence of how clinical training components of less than 12 months provide a comprehensive clinical training and provide clarification of the requirements for the substance of the clinical training activities (e.g. on going therapy relationships vs short term consultation) to demonstrate that the actual training activities support the attainment of Student Learning Outcomes. The program also needs to provide clarification and evidence of the ability for students to attain relevant Student Learning Outcomes by joining an online course at varying times during its twelve (12) week cycle. The program needs to clarify how it ensure and monitor that student's timeline for clinical experience aligns with their particular state license requirements.

- **Key Element III-D.** *Curriculum and teaching/ learning practices are evaluated at regularly scheduled intervals to foster ongoing improvement.*

The program meets the requirements of this Key Element.

- **Key Element III-E.** *The didactic and clinical teaching/ learning practices and learning environments support the achievement of expected and actual student learning outcomes.*

The program does not meet the requirements of this Key Element. The program provides data on teaching/learning practices and learning environments to support attainment of relevant Student Learning Outcomes and responsive to needs for improvement; however, the Commission finds discrepancies between data and submitted materials and other information sources. The Commission also notes that clinical evaluation forms only have one item that directly assesses Marriage and Family Therapy activity. The program needs to provide evidence of assessment measures that directly address the clinical teaching/learning practices and learning environments that support attainment of Marriage and Family Therapy Student Learning Outcomes and evidence that the supervision assessment measures and process provide reliable Marriage and Family Therapy clinical skill development data.

- **Key Element III-F.** *The curriculum and teaching/ learning practices consider the needs and expectations of the identified communities of interest.*

The program meets the requirements of this Key Element.

#### **Standard IV**

- **Key Element IV-A.** *Student performance in both coursework and clinical practice is evaluated by faculty and supervisors and reflects achievement of expected outcomes. Evaluation policies and procedures are defined, published, and consistently applied.*

The program meets the requirements of this Key Element.

- **Key Element IV-B.** *Programs will have policies and procedures specifying how to collect information about students, demonstrated achievements of graduates, and employer satisfaction. Student outcome data include, but are not limited to, graduation rates, national (or state) licensing exam pass rates, and job placement rates as appropriate.*

The program does not meet the requirements of this Key Element. The program needs to provide evidence of a policy for collecting employer satisfaction information.

- **Key Element IV-C.** *Program outcome data are analyzed to provide evidence of program effectiveness and are used to foster ongoing program improvement.*

The program does not meet the requirements of this Key Element. The program has not provided a direct response to IV-C by reporting aggregated data, conclusions, and use of data to inform program improvement for the Program Outcomes identified in the clarification document forwarded to COAMFTE in November 2011. Data from the 'MAMFT APR Self Assessment Report' in the Additional Information document provided in March 2012, reflects that graduation targeted outcomes are not met and the retention rate ranges from 23.5% to 77.5% with 4 of 6 cohorts below 50%. The Commission is unable to determine if the program meets its targeted Program Outcome of 75%. The program needs to provide evidence of assessment of Program Outcomes 9-12; clarification of the aggregated data and findings in relation to these Program Outcomes; and use of the data to inform program improvement.

- **Key Element IV-D.** *Faculty outcomes demonstrate achievement of the program's educational outcomes, and enhance program quality and effectiveness.*

The program meets the requirements of this Key Element.

- **Key Element IV-E.** *The program has established policies and procedures by which it defines and reviews formal student complaints.*

The program meets the requirements of this Key Element.

**NOTE: Pursuant to the US Department of Education (USDE) Criteria for Recognition, the COAMFTE has revised its Probation Policy with the Adverse Action Policy (available in the COAMFTE Accreditation Manual: Policies and Procedures, pp. 17-18). Consistent with this policy, COAMFTE-accredited programs**

*carrying stipulations will have a maximum of two years from the date of stipulation to come into compliance with the standard. Year One will include Imposing of Stipulation and Remediation; Year Two will include Probation Warning and Probation. Programs that fail to rectify such compliance issues will be subject to revocation of accreditation status at the beginning of Year Three.*

*Please note that the program is now in its Year 1 – Impose Stipulation stage. Consistent with the Adverse Action Policy, COAMFTE has attached the probation policy and requires the program to respond by the next immediate reporting cycle, January 31, 2013.*

Program's Response Stipulations Instructions

1. Program's response should address all Key Elements that have Stipulations and include definition of all referenced Key Elements.
2. Program's response should not reference the original Self-Study, additional materials, or previous Response to Stipulations.
3. Programs may provide additional information as supporting evidence of the program's response.
4. Program's Response to Stipulations and any supporting documentation must be in one document, in a PDF format with bookmarks linked to the individual components. The bookmarks MUST follow the order of the individual components.
5. Program's Response to Stipulations must be submitted on or before the due date to [coa@aamft.org](mailto:coa@aamft.org).

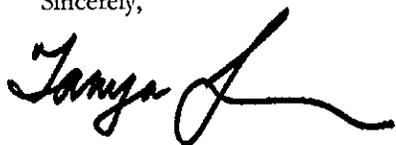
The following documents must be submitted in the required format by the noted deadlines:

Document	Submission Deadline
Response to Stipulations	January 31, 2013
Additional Information	
2013 Annual Report and Fee	July 31, 2013

In accordance with COAMFTE policy, you will need to submit an Annual Report for every year of your Accreditation term on **July 31<sup>st</sup>**, except in the year that you submit your next Self-Study for Renewal of Accreditation. Your next Self-Study is due **November 1, 2016**.

Please feel free to contact me by e mail at [ttamarkin@aamft.org](mailto:ttamarkin@aamft.org) or by phone at 703/253-0457 if you have further questions or if you would like any additional information.

Sincerely,



Tanya A. Tamarkin  
Director, Educational Affairs

Cc: Dr. Jennifer Hodgson, Ph.D., COAMFTE Chair  
Dr. Clinton D. Gardner, Ph.D, President, Northcentral University

May 7, 2007

Dr. Claudia Santin  
President  
Northcentral University  
505 W. Whipple Street  
Prescott, Arizona 86301

Dear President Santin:

Congratulations! The Board of Commissioners of the Baccalaureate/Graduate Degree Commission met on April 26-28, 2007, and granted Initial Accreditation with one condition and two notes for your business programs.

Conditions and notes should be viewed as opportunities for improvement that would move your program to a higher level of excellence. It would be extremely rare that a school receive accreditation without these conditions or notes given ACBSP's Core Value of Continuous Improvement and Organizational Learning, that "Business schools and programs should pursue regular cycles of planning, execution and evaluation of every process and system. Ongoing improvement of these processes and systems leads to ever higher quality and student/stakeholder satisfaction." The condition and notes placed on your programs are:

**Note on Standard 1: Leadership**

Evidence of the established Human Resources department should be submitted, along with the policies and procedures for oversight and evaluation of administrators and staff.

**Place condition on 5.2, 5.3, 5.4, 5.8: Faculty and Staff Focus**

Much of the data were provided; however, a number of tables were used and the data were not all represented (in the ACBSP suggested table formats or something similar) so it is very difficult to determine if the standard is met. It appears that some faculty teach outside their disciplines. There is some concern with quality control if growth was so rapid that only 30% of the mentors' scholarly and professional activities could be documented.

The requested information must be resubmitted and compiled in a more complete and organized format, similar to the suggested ACBSP tables, in order for the reviewer to discern if in fact, compliance with Standard 5 has been met.

**Place note Standard 6.1, 6.2: Educational and Business Process Management**

NCU is to be commended on the design and delivery of its program, largely a result of

effective documentation and communication of its policies and procedures and effective execution of its objectives. However, evidence must be provided that the leveling course to be required of graduate students entering without an undergraduate business degree does in fact prepare the students in the core professional components essential to a quality graduate business program. Results of program assessments, trends over time, and actions taken toward program improvement, if improvement is indicated, must be shown.

More documentation is needed for support processes. There must be an indication of success rates and student and stakeholder feedback.

Academic sanctions have not been tracked but this process is planned for Spring 2007. Evidence of deployment of the new process must be provided.

You are encouraged to work with Commissioner, Dr. Pat Rucker on the removal of the notes and condition. Dr. Rucker may be contacted by phone at 215-670-9282 or through her email address at: [parucker@peirce.edu](mailto:parucker@peirce.edu).

You will be required to submit a periodic report starting on **2/15/2009**. The conditions must be removed by **2/15/2011**. Your ten-year reaffirmation will be due in 2017.

ACBSP encourages you to publicly announce that your business programs are accredited. Next week, we will be sending you, via e-mail, a sample ACBSP Press Release and ACBSP Logo files for publicizing your accreditation. As you prepare these materials, the following is your official ACBSP statement:

**Northcentral University is accredited by the Association of Collegiate Business Schools and Programs to offer the following business degrees:**

**Bachelor of Business Administration (BBA)  
Master's of Business Administration (MBA)  
Doctor of Philosophy in Business Administration (Ph.D.)  
Doctor of Business Administration (DBA)**

Please take this opportunity to review the institution name as it will appear on your Certificate of Accreditation. If this is not correct, please notify Diana Hallerud via email at [dianahallerud@acbsp.org](mailto:dianahallerud@acbsp.org) and provide the correction by May 18, 2007.

**Name of institution as it will appear on the certificate:  
Northcentral University  
Prescott, Arizona**

I hope that you will plan to attend the accreditation ceremonies to receive recognition on Sunday evening, July 1, 2007 at our Accreditation Banquet. This year the Annual Conference is being held in Orlando, Florida, at the Buena Vista Palace Hotel located near Downtown Disney.

Northcentral University  
May 7, 2007  
Page 3

You are encouraged to attend along with your Chief Academic Officer and Dean of the College of Business. Many institutions even invite many of the faculty to this prestigious celebration.

Your institution will also be announced during the Baccalaureate/Graduate Institution meeting held on Friday, June 29, 2007 at 2:30 p.m.

There is a breakfast on Sunday morning July 1, 2007, at 8:00 a.m. for those institutions that are receiving accreditation. The purpose of the breakfast is to more personally congratulate the institutional representatives and to outline the procedures that will be followed at the accreditation banquet. At least one institutional representative should attend the breakfast.

In addition to the breakfast, a professional photographer will be available at 5:30 p.m. on Sunday, July 1 to photograph all institutional representatives along with the ACBSP Director of Accreditation, Associate Director, and the Chair of the Baccalaureate/Graduate Degree Board of Commissioners. Appropriate dress for the photo session and banquet is business professional.

Additional information regarding the conference is available on our website at www.acbsp.org. Additional registration forms are available online. Please make your hotel reservations by May 15, 2007.

Congratulations on maintaining such a high quality business program.

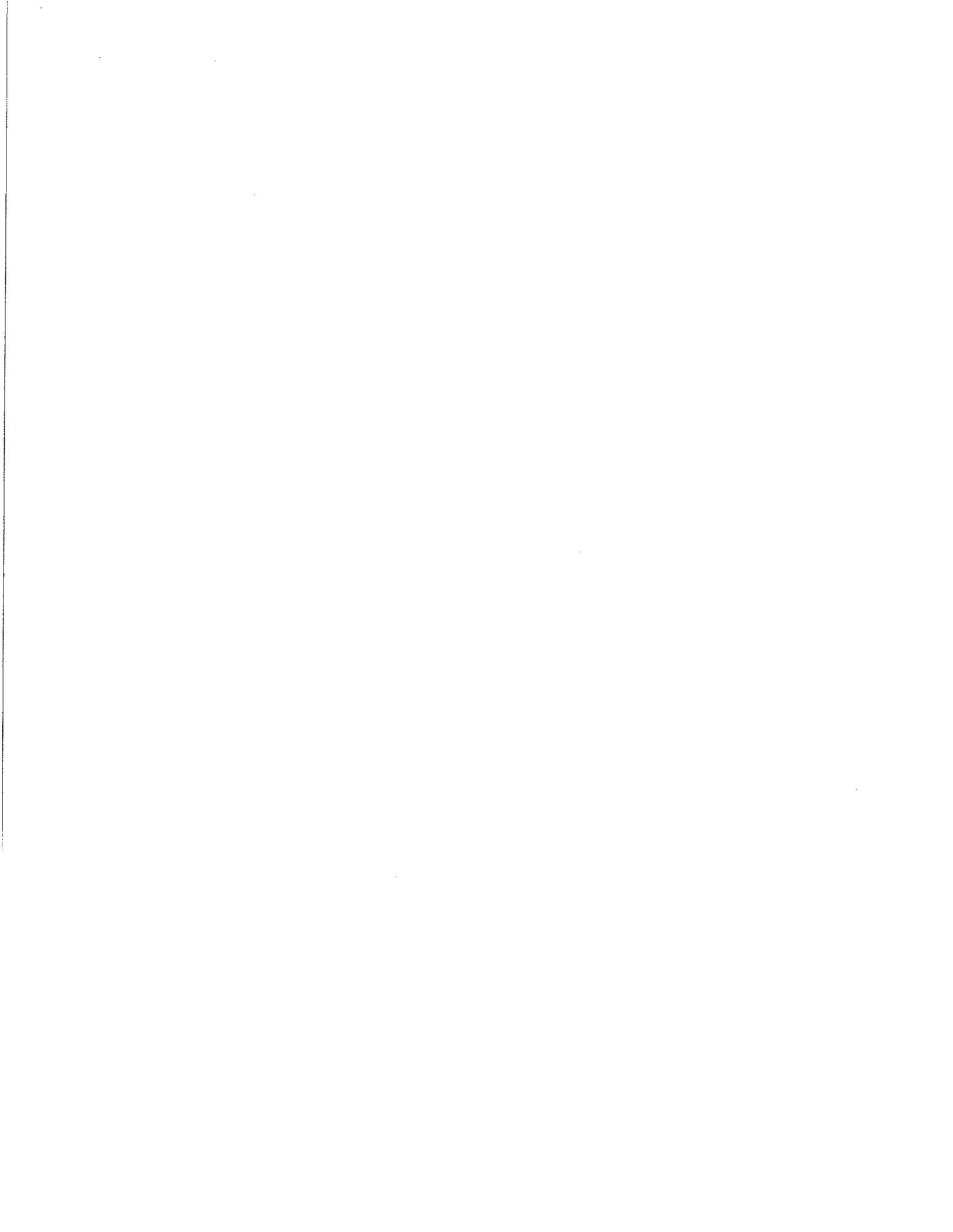
Sincerely,



Steve Parscale  
Director of Accreditation

Enclosures

C: Dr. Pat Rucker



Vitae 2012

*Required Standardized Format*

For purposes of maintaining accreditation standards and performing regular audits of our independent contractors (to ensure proper alignment between documented competency and teaching assignments), Northcentral University requires that all Faculty Mentors submit a standardized Curriculum Vitae, and ensure that copies of all relevant documents (transcripts, licenses, certifications) are on file with the University.

Please submit your CV in the format indicated below. Because this information will be used to determine your workload, please be thorough and specific. However, experience that is not relevant to your qualifications to teach the courses you wish may be omitted, and sections not relevant to your career may also be marked "N/A."

<b>LAST NAME:</b> Colton	
<b>FIRST NAME and MIDDLE INITIAL:</b> Brad J.	
<b>Date this CV was completed:</b> 8/20/12	
<b>Total number of student you would like to teach at any one time in content courses:</b>	30
<b>Total number of dissertation committees you would like to sit on at any one time (note that you must complete specialized training prior to committee work):</b>	10

<b><i>Professional Development Tally</i></b>	<b>Number (please list numbers only)</b>
<b>Peer-Reviewed, Professional/Scientific Articles (count <i>only</i> those included in #1 and #2 below)</b>	0
<b>Professional Presentations/Workshops/Seminars—Refereed Only (count <i>only</i> those included in #3 below)</b>	0
<b><i>Other</i> Professional/Scholarly Activities (please total the number of activities in #4 - #11 below)</b>	Over 30
<b>FMD courses completed with a grade of "S" at NCU (#12 below)</b>	5



Northcentral University  
Northcentral University Curriculum

Vitae 2012

**ADDRESS:** Home: 4264 Coitage Grove Parkway SE Cedar Rapids, IA 52403

**EMAIL:** brcolton@msn.com

**EDUCATION:** Ph.D. in Educational Administration from the University of Iowa, 1991  
Masters degree in Educational Administration from Western Illinois Univ. 1980  
Bachelors degree is secondary English education from UNI in 1976

**ACADEMIC RANK:** NA

**LICENSES:** Permanent Professional Educator license in the state of Iowa

**CERTIFICATIONS:** K-12 Administration; 7-12 English and speech education

**CLINICAL EXPERIENCE:** NA

**TEACHING EXPERIENCE:** Graceland University; masters degree program in education (courses are combination of face-to-face and online)  
Morningside College (online masters degree courses only)  
Drake University; face-to-face masters degree courses

**ADMINISTRATIVE EXPERIENCE:** 7-12 principal, Monticello, WI 1980-1981  
7-12 principal, Bennett, IA 1981-1984  
7-12 principal, HLV, IA 1984-1985  
7-12 principal, Dodgeville, WI 1985-1986  
K-6 principal, West Branch, IA 1996-1997 (interim position)

**OTHER PROFESSIONAL EXPERIENCE:** School Improvement Consultant, Grant Wood Area Education Agency in Cedar Rapids, IA 1986-present  
High school English teacher in Eldridge, IA 1976-1980

**TEACHING SCOPE AS RELATED TO NCU:**

CT5006 & CT5007  
CT7000, CT7001, CT7002, CT7007  
EDU5004, EDU7000, EDU7007  
IL5000, IL5001, IL5002  
IL7000, IL7001, IL7002  
RSH9102E

Vitae 2012

PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD  
LIKE AT THIS TIME: 35

PEER-REVIEWED PROFESSIONAL/SCIENTIFIC ARTICLES: NA

PROFESSIONAL/SCIENTIFIC ARTICLES, BOOKS, BOOK CHAPTERS,  
EDITED BOOKS, AND INSTRUCTIONAL MANUALS, ETC --- NOT  
PEER-REVIEWED: NA

PROFESSIONAL PRESENTATIONS/WORKSHOPS --- REFEREED  
ONLY: NA

Vitae 2012

Label	Type	Year	Title of Scholarly & Professional Activity	
Professional Memberships		2008	Iowa Association for Supervision & Curriculum Development	X
Professional Memberships		2008	National Association of Secondary School Principals	X
Professional Memberships		2008	National Middle School Association	X
Professional Conferences/Workshops		2008	Instructional Practices Inventory	X
Professional Conferences/Workshops		2008	Co-teaching Network	X
Professional Conferences/Workshops		2008	Improving Secondary Reading Using Vocabulary Strategies	X
Professional Conferences/Workshops		2008	Excel: That's the Way We Talk Around Here	X
Professional Conferences/Workshops		2008	Data Coaches	X
Professional Certification		2008	Developing Teacher Leaders in Literacy	X
Professional Conferences/Workshops		2008	Highly Qualified Teacher and Co-teaching	X
Professional Conferences/Workshops		2008	Making Presentations That Teach and Transform	X
Professional Conferences/Workshops		2008	Strategies for Teaching and Assessing Math for Understanding	X
Professional Conferences/Workshops		2008	Question Answer Relationship	X
Professional Conferences/Workshops		2008	Rethinking Learning Support Systems: Schools and Communities Working Together	X
Professional Conferences/Workshops		2008	Curriculum Based Measurement Training	X
Professional Conferences/Workshops		2008	Differentiated Instruction	X
Professional Certification		2009	Foundations of the Iowa Core Curriculum and Leadership	X
Professional Certification		2009	Moving High Schools to the 21st Century	X
Professional Certification		2009	Making it Work for Secondary Schools	X
Professional Certification		2009	Iowa State SINA Support Team training	X
Professional Certification		2009	Capacity Building for Schools in Need of Assistance	X
Prof. Conf/Workshop		2010	Evaluator Approval Level II	
Prof. Conf/Workshop		2010	21 <sup>st</sup> Century Learning Inst.	
Prof. Conf/Workshop		2010	Iowa Core Leadership	
Prof. Conf/Workshop		2010	Alignment Tools	
Prof. Conf/Workshop		2010	General Education Intervention Plan	
Prof. Conf/Workshop		2010	Iowa Core Implementation Plan	
Prof. Conf/Workshop		2010	Curriculum Mapper Training	
Prof. Conf/Workshop		2010	Coaching for Improvement	
Prof. Conf/Workshop		2010	Preparing Secondary Students	
Prof. Conf/Workshop		2010	Iowa Curriculum Alignment Toolkit	
Prof. Conf/Workshop		2011	Sustaining System Changes	
Prof. Conf/Workshop		2011	Child Find Overview	
Prof. Conf/Workshop		2011	Edinsight Training	
Prof. Conf/Workshop		2011	Iowa Core Leadership Academy	
Prof. Conf/Workshop		2011	Collaborative Peer Review	
Prof. Conf/Workshop		2011	Creating Online Courses	
Prof. Conf/Workshop		2012	Decision-Making for Results	
Prof. Conf/Workshop		2012	Interpreting the Iowa Assessment Data	
Prof. Conf/Workshop		2012	Using Iowa AEA Online Resources	
Prof. Conf/Workshop		2012	Response to Intervention Overview	
Prof. Conf/Workshop		2012	Career and Technical Education	
Prof. Conf/Workshop		2012	Iowa Core Leadership and Learning	

Vitae 2012

**SERVICE:** List committees/service related work, volunteer work, panels, etc. Include type of service, where and years as displayed in the examples below

Family Promise Coordinator, SPUMC; 2011-present  
Stephen Ministry Team, SPUMC; 2010-present  
Board president of Matthew 25 Ministry Hub 2008-2011  
Board member of Boys and Girls Club, 2004 - 2007  
Cedar Rapids Daybreak Rotary, 2002 - 2003  
Board member for Big Brothers/Big Sisters, 1999 - 2002  
Board member for the Ecumenical Centers, 1996 - 1998

**MEMBERSHIP IN PROFESSIONAL ORGANIZATIONS:** Include membership affiliations, including years as displayed in sample below (indicate if honored in some way, e.g., elected as a Fellow)

Association for Supervision and Curriculum Development  
Iowa Association for Supervision and Curriculum Development  
Iowa Association for Middle Level Education  
National Council for Social Studies

**PROFESSIONAL RECOGNITION:** List any relevant professional recognition here as displayed in samples.

Chosen as one of 66 persons in Iowa to be an official Olympic Torch Bearer for the  
1996 Summer Olympics  
President of Iowa Association of Supervision and Curriculum  
Development, 1993-1994  
Recognized by State Academic Decathlon for outstanding  
contributions, 1992  
Advocate of the Year, Association of retarded Citizens, Cedar  
Rapids, Iowa, 1991  
Special Recognition, Staff Development Instructor, 1989, Grant  
Wood AEA

Vitae 2012

The next section should be completed only by those interested in participating in doctoral research (whether as chair, committee member, or teaching related courses). If you are not interested in doctoral research teaching, you may leave this section blank.

**RESEARCH INTERESTS (UP TO 300 WORDS):** In this section include research interest you have pursued or are currently pursuing that are consistent with your publication/presentation/grant writing record. An example appears below. *Please note that this listing will be included in our forthcoming Faculty Mentor Directory, to enable Learners to identify Mentors who share their research interests:*

Leadership and organizational development; instructional effectiveness; differentiated instruction; classroom management; school improvement processes; supervisory practices

**THESIS SERVICE -**

*Master's Thesis Chair: Approximately 90; Graceland University (2002-2012)*

**DISSERTATION SERVICE** - list approximate total number of dissertations for which you have served as Chair or Committee Member and the University.

*Dissertation Chair: 4 (NC - 2007-2011)*

*Dissertation Committee Member: Approximately 30 (NCU - 2007-2012)*

Vitae 2012

PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD LIKE TO CHAIR AT THIS TIME: 0

PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS FOR WHOM YOU WOULD LIKE TO SERVE AS A COMMITTEE MEMBER AT THIS TIME: 10-15

**QUANTITATIVE EXPERIENCE:** For Learners proposing quantitative research designs, we need to ensure their committee will include people able to assist them in producing a high quality product. Listed below are some common research designs, statistical methods, and software. In the columns to the left of the method, **please indicate: Yes, Maybe, or No** to indicate your ability to mentor a Learner proposing to use one of the methods below. *Please note: if you are indicating "Yes" then the method should be one in which you have completed a graduate level course and/or have presented or published in a peer-reviewed conference/publication using the method. Please use the blank rows to include additional information, if needed.*

Expertise?	Method
M	Single-subject research design
M	Quasi-experimental designs
M	Experimental designs
M	Basic parametric statistics (for example: ANOVA, correlation, simple regression, t-test)
M	Basic nonparametric statistics (for example: chi-square)
M	Multivariate parametric statistics (for example: ANCOVA, MANOVA, MANCOVA, multiple regression)
M	Multivariate nonparametric statistics (for example: logistic regression)
M	Structural equation modeling
M	Cluster analysis
M	Discriminate function analysis
M	Data analysis with dyads
M	Factor Analysis
M	Survival analysis
M	Archival data analysis



Vitae 2012

M	Power analysis
M	SPSS software
M	Excel software
M	SAS software
M	AMOS/LISREL software
M	
M	
M	
M	
M	

Vitae 2012

**QUALITATIVE EXPERIENCE** For Learners proposing qualitative research designs, we need to ensure their committee will include people able to assist them in producing a high quality product. Listed below are some common types of qualitative data, traditions, and software. In the columns to the left of the method, **please indicate: Yes, Maybe, or No** to indicate your ability to mentor a Learner proposing to use this method. *Please note: if you are indicating "Yes" then the method should be one in which you have completed a graduate level course and/or have presented or published in a peer-reviewed conference/publication using the method. Please use the blank rows to additional information, if needed.*

Expertise?	Method
M	Observations
M	Structured interviews
M	Semi-structured interviews
M	Documents
M	Audio-visual materials
M	Focus groups
M	Basic Qualitative analysis strategies
M	Phenomenology
M	Heuristic inquiry
M	Ethnomethodology / Enthnology
M	Grounded theory
M	Hermeneutics
M	Feminist inquiry
M	Narratology / Narrative analysis
M	Ethnography
M	Autoethnography
M	Ecological psychology
M	Systems perspectives/system theories
M	Atlas/ti software
M	Nudist © software
M	Case Study
M	Action Research
M	
M	
M	
M	

**MIXED METHODS RESEARCH**

No	If you have conducted mixed methods research that has been presented at a peer-reviewed conference or published in a peer-reviewed journal, please indicate your comfort with serving as a committee member with a "No, Maybe, or Yes"
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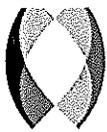
**OTHER RELEVANT ACADEMIC OR RESEARCH EXPERIENCE YOU WOULD LIKE TO SHARE:**

*Thank you for the services you perform for Northcentral University!*



Northcentral University  
Northcentral University Curriculum

Vitae 2012



**NORTHCENTRAL UNIVERSITY CURRICULUM VITAE 2010**

***Required Standardized Format***

For purposes of maintaining accreditation standards and performing regular audits of our independent contractors (to ensure proper alignment between documented competency and teaching assignments), Northcentral University requires that all Faculty Mentors submit a standardized Curriculum Vitae, and ensure that copies of all relevant documents (transcripts, licenses, certifications) are on file with the University.

Please submit your CV in the format indicated below. Because this information will be used to determine your workload, please be thorough and specific. However, experience that is not relevant to your qualifications to teach the courses you wish may be omitted, and sections not relevant to your career may also be marked "N/A."

**LAST NAME:** Santiago

**FIRST NAME AND MIDDLE INITIAL:** Anthony D

**ADDRESS:** 2029 McCarthy Rd, Ames, IA 50014

**EMAIL:** adsgreat@gmail.com

**EDUCATION:** **Ph.D. Iowa State University, Ames, Iowa**  
Human Development and Family Studies (Specialization in Marriage and Family Therapy), August, 2005  
COAMFT accredited program  
Dissertation: Asian international students' ethnic identity, spirituality, acculturation, and experience of racism: Relationship with attitude toward seeking professional therapeutic help  
Defended: May, 2005

**M.S. Abilene Christian University, Abilene, Texas**  
Psychology, May 1997  
APA accredited program  
Thesis: Effects of ethnicity, gender, and acculturation on willingness to use mental health services among Asian international students  
Defended: May, 1997

**M.MFT. Abilene Christian University, Abilene, Texas**  
Marriage and Family Therapy, August 1996  
COAMFT Accredited program  
A 60 hour clinical training and academic research Masters Degree program. Students are required to complete a clinical internship sequence involving a minimum of 500 hours of direct clinical experience and 100 hours of supervision.



**B.A. Austin Graduate School of Theology, Austin, Texas**  
Ministry and Christian Studies, May, 1994

**DIPLOMA South Pacific Bible College, Tauranga, New Zealand**  
Advanced Biblical Studies, December, 1990. A 2 Year Level 5 accredited program by the New Zealand Qualifications Authority

**CERTIFICATE University of Auckland, Auckland, New Zealand**  
Preparatory Commerce, December 1988

**ACADEMIC RANK:** NA

**LICENSES:** LMFT

**CERTIFICATIONS:** If applicable, include a scanned copy of all relevant professional certificates.  
(e.g., Principal/Superintendent/Certificate in Cognitive Behavioral Therapy, etc.)

**CLINICAL EXPERIENCE:**

**2002- Present Central Iowa Psychological Services Ames, Iowa**

Position: Therapist  
Supervisor: Warren Phillips

Providing individual and family counseling for children, adolescent, and adults with a variety of issues: adjustment issues, identity issues, mood disturbances, anxiety, grief, past physical and emotional abuse, marital, divorce and other family issues.

**2002-2005**

**Mary Greeley Medical Center Behavioral Health Unit, Ames, Iowa**

Position: Mental Health Therapist  
Supervisors: Jodi Kaputaska and Judy Rabinowitz

Conducted triaging, psychosocial evaluation, staffing, and interdisciplinary team consultations for inpatient adult and adolescent patients. Assisted with treatment planning and discharge processes. When appropriate attended court hearings for committal and discharge processes. Provided individual and group psychotherapy using brief and eclectic models for patients with varied diagnoses: substance abuse issues, bipolar disorder, depression, anxiety, suicidal ideation, and psychosis, scoring and interpreting MMPI reports. Collaborating with local agencies for funding and referral.



**2002- 2004    Press On Counseling L.L.C, Ames, Iowa**  
Position: Owner/Managing Therapist

Sole private practice. Contracted with Iowa Department of Human Services for Rehabilitative Treatment Services and Permanency Planning. Provided counseling and skill development services for children, adolescents, and families in homes and schools for a variety of issues: parenting skills, ADHD, Conduct Disorder, Oppositional Defiant Disorder, Depression, Anxiety, Grief, and other family problems. Participated and collaborated with principals and school teachers in creating Individualized Education Programs (IEP). Also provided family therapy supervision to interns, consulting services and staff development workshops to agencies.

**1999- 2002**  
**Iowa State University Marriage and Family Therapy Clinic, & Lutheran Social Service of Iowa, Ames, Iowa**  
Position: On-Site Supervisor  
Supervisor: Dr. Harvey Joanning  
Supervised other MFT therapists.

**1998- 2002**  
**Lutheran Services of Iowa/Beloit Residential Treatment Center, Ames, Iowa**  
Position: Therapist  
Supervisor: Anne McCrea

Provided in home and school based counseling. Participated and collaborated with principals and school teachers in creating Individualized Education Programs (IEP) for students. Assisted with interviews, hiring, training, or supervising Resident Counselors. Developing, implementing, and evaluating treatment programs. Worked with Leadership Team to oversee milieu programming. Kept required statistics, case reports, progress reports, and correspondence, written or dictated, regarding services. Provided consultation and supervision to residential staff Leadership Team regarding behavioral management and treatment planning for assigned residents. Worked with leadership team in preparing budgets and evaluating operating costs.

**1997- 2000**  
**Iowa State University Marriage and Family Therapy Clinic, Ames, Iowa**  
Position: Therapist  
Supervisor: Dr. Harvey Joanning



Provided marriage and family therapy for individuals, couples, and families. Among the clients were Iowa State University students. Attend weekly supervision and consultation meetings.

**1995-1996**

**Abilene Christian University Marriage and Family Therapy Clinic, Abilene, Texas**

Position: Student Therapist

Supervisor: Dr. Waymon Hinson

Provided marriage and family therapy for individuals, couples, and families as part of Master's degree practicum requirements. Accrued more than 500 face to face client contact hours and 100 hundred hours of supervision during this period.

**TEACHING EXPERIENCE :**

**2009-Current**

**Department of Human Development and Family Studies**

Position: Adjunct Graduate Faculty Member

Supervisor: Dr. Gong-Soog Hong

Teach graduate Couples and Family Therapy (CFT) courses in the department.

**2002-Current**

**Iowa State University Extension-Institute for Partnering with Parents, Ames, Iowa**

Position: Co-Instructor

Supervisor: Dr. Kim Greder

Program development for parenting educators. Co-facilitating face-to-face and online course content presentation. Providing direct feedback and assessment of students' assignments

**1998-2008**

**Iowa State University Extension-Family Development Certification Training, Program**

Position: Co-Instructor/Co-Facilitator

Supervisor: Jeanne Warning

**2003**

**Family Forms and Family Systems, Iowa State University, Ames, Iowa** (2 hour teaching to Iowa State University Family Life Specialists, Ames, Iowa.

**1999**

**Iowa State University, Ames, Iowa**

Position: Graduate Teaching Assistant - HD FS 102. Individual and Family Life Development.

Supervisor: Dr. Bill Rice

Took lecture notes. Designed and wrote test questionnaire. Proctored examinations. Dealt with student grievances and concerns.



**1999**

**Iowa State University, Ames, Iowa**

Position: Teaching Internship- Human Sexuality HDFS 276

Supervisor: Dr. Corly Brooks

Taught five classes of the HDFS 276-Human Sexuality course under the supervision of a professor. Prepared class lecture notes. Used audiovisual materials such as video projections, power point, and overhead transparencies. Facilitated in-class activities such as group discussions and responding to anecdotes.

**1999**

**Iowa State University, Ames, Iowa**

Position: Co-Instructor/Co-Facilitator of an Honors Class

Supervisor: Dr. Corly Brooks

Designed and prepared a curriculum for an honors class on human sexuality. Facilitated group discussions. Lectured class materials.

**ADMINISTRATIVE EXPERIENCE:**

**2002-2004**

**Press On Counseling L.L.C, Ames, Iowa**

Position: Owner/Managing Therapist

Managed all aspects of sole private practice such as advertising, bookkeeping, managing intakes and scheduling of clients, securing counseling and rehabilitative services contracts with Department of Human Services, networking with potential referral sources, collaborating with other agencies through referrals and staffing cases, and providing services and maintaining timely and accurate reports.

**1998**

**Iowa State University, Ames, Iowa**

Position: Clinic Administrator

Supervisor: Dr. Harvey Joanning

Managed Iowa State University Family Therapy Clinic. Handled client intakes. Kept accounts. Assigned clients to resident therapists.

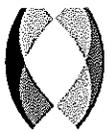
**1993-1997**

**Disability Resources, Inc, Abilene, Texas**

Position: Relief House Manager

Supervisor: Buzzy Andreas

Managed a residential care for eight mentally and physically challenged individuals. Planned social activities, prepared meals, monitored medication, negotiated disputes, and monitored overall emotional and behavioral well-being in home. Maintained appropriate progress, activities, and incidents reports.



1992-1993

**Austin Graduate School of Theology, Austin, Texas**

Position: Book Store Manager

Supervisor: Dr. Gary Holloway

Purchased orders, sales, and shipping, pricing, accounts keeping, keeping inventory, updating database, accounts payable, general ledger and customer relations.

**OTHER PROFESSIONAL EXPERIENCE:** List all professional positions held that are not covered by the above three categories, indicating place of employment and years (again please start with the most recent and use reverse chronological order).

**TEACHING SCOPE AS RELATED TO NCU:** List the courses you have an interest in and believe you are qualified to teach at NCU, regardless of if you are currently teaching the course. Please refer to the course listings on the public website for a comprehensive list of current course offerings:

### July 2011 Catalog

If you are using Continuing Education (CEs) credits in the "Qualifications" box, please attach a scanned copy of the certificate to verify these credits. If you have other reasons to believe you are qualified to teach the course you list, please document appropriately.

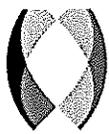
Examples are given on the next page:



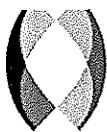
Course name and number	Qualifications (Graduate Credits completed, research experience, professional experience, publications, presentations, certificates, or licensure)
<u>MFT5101-Foundations for Graduate Study in MFT</u>	Graduate MFT Courses, taught a graduate level course on Methods and model of Family therapy, Experience working as a therapist since 1996
MFT5103 <u>Systemic Evaluation and Case Management</u>	See Above Also worked for 4 years at a residential treatment setting which involved systematic evaluation and case management
MFT5104 <u>Treatment Planning and Traditional Family Therapy</u>	See Above Plus over 14 years of work experience
MFT6101 <u>Lifespan Individual and Family Development</u>	Graduate MFT Courses, taught a graduate level course on Methods and model of Family therapy
MFT6102 <u>Psychopathology, Diagnosis, and Systemic Treatment</u>	Graduate MFT Courses, taught a graduate level course on Methods and model of Family therapy
MFT6103 <u>Cultural Diversity, Gender, and Family Therapy</u>	See Above, In addition I have taught multiple family development and parenting classes which includes segments of cultural perspectives  <b>HDFS 493/593 (Online) Cultural Perspectives and Competence in Family Development and Parent Education</b>



MFT6104 <u>Family Therapy with Children</u>	For the past 14 years I have worked at a residential treatment setting for children, inpatient unit for children, and in private practice providing therapy
MFT6105 <u>Couple and Sex Therapy</u>	Graduate MFT Courses, taught a graduate level course on Methods and model of Family therapy
MFT6106 <u>Families in Crisis</u>	Graduate MFT Courses, taught a graduate level course on Methods and model of Family therapy  Plus 14 years of experience working with various families in crisis
MFT6951 <u>MFT Practicum I</u>	Took graduate level courses in MFT, participated in practicum, and worked with students in practicum setting.
MFT6952 <u>MFT Practicum II</u>	Took graduate level courses in MFT, participated in practicum, and worked with students in practicum setting.
MFT6991 <u>MFT Internship I</u>	Took graduate level courses in MFT, and worked with students internship setting.



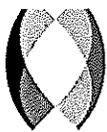
MFT6992 <u>MFT Internship II*</u>	Took graduate level courses in MFT, and worked with students internship setting.
MFT6995 <u>MFT Internship and Capstone Presentation*</u>	Took graduate level courses in MFT, and worked with students internship setting.
MFT7101 <u>Foundations for Doctoral Study in MFT</u>	Took doctoral foundation courses at graduate school
MFT8101 <u>Advanced Theories in MFT</u>	Took doctoral courses in advance theories in MFT
MFT7103 <u>Research Methods in MFT</u>	Took master's and doctoral level courses in research methods
MFT8102 <u>Dynamics of Family Interaction</u>	Graduate level courses in MFT and personal work experience



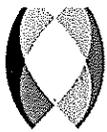
MFT8301 <u>Advanced Couple Therapy</u>	Graduate level courses in MFT
MFT7106 <u>Quantitative Research Design in MFT</u>	Graduate level courses in MFT
MFT8303 <u>Systemic Sex Therapy</u>	Graduate level courses in MFT
MFT8304 <u>Treating Infidelity and Sex Addiction</u>	Graduate level courses in MFT and personal work experience
MFT8951 <u>MFT Doctoral Practicum I</u>	Familiarity working with master's degree students in a practicum setting
MFT8961 <u>MFT Doctoral Internship I (1- credit course)</u>	Familiarity working with master's degree students in a practicum setting



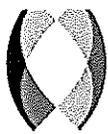
<p>MFT8962</p> <p><u>MFT Doctoral Internship II</u> (1-credit course)</p>	<p>Familiarity working with master's degree students in a practicum setting</p>
<p>MFT8965</p> <p><u>MFT Doctoral Internship and Portfolio</u> (1-credit course)</p>	<p>Familiarity working with master's degree students in a practicum setting</p>
<p>MFT8970</p> <p><u>MFT Supervision Methods</u></p>	<p>Graduate courses in MFT plus Approved Supervisor refresher course</p> <p>2004 Approved Supervisor (AAMFT)</p>
<p>MFT8971</p> <p><u>MFT Supervision Practicum I</u> (1-credit course)</p>	<p>Graduate courses in MFT plus Approved Supervisor refresher course</p> <p>2004 Approved Supervisor (AAMFT) 2009 Approved Supervisor (AAMFT)</p>
<p>MFT8972</p> <p><u>MFT Supervision Practicum II</u> (1-credit course)</p>	<p>Graduate courses in MFT plus Approved Supervisor refresher course</p> <p>2004 Approved Supervisor (AAMFT) 2009 Approved Supervisor (AAMFT)</p>
<p>MFT8975</p> <p><u>MFT Supervision Practicum Completion</u> (1-credit course)</p>	<p>Graduate courses in MFT plus Approved Supervisor refresher course</p> <p>2004 Approved Supervisor (AAMFT) 2009 Approved Supervisor (AAMFT)</p>



MFT7109 <u>Planning Dissertation Research in MFT</u>	Experience in completing dissertation plus advising master's and doctoral students in their thesis and dissertation work respectively
CMP9500MFT <u>MFT Doctoral Comprehensive Examination</u>	Experience in completing comprehensive examination plus advising master's and doctoral students in their comprehensive examinations
DIS9501MFT <u>Doctoral Dissertation Research I</u>	Experience in completing dissertation research plus advising master's and doctoral students in their thesis and dissertation work respectively
DIS9502MFT <u>Doctoral Dissertation Research II</u>	Experience in completing dissertation research plus advising master's and doctoral students in their thesis and dissertation work respectively
DIS9503MFT <u>Doctoral Dissertation Research III</u>	Experience in completing dissertation research plus advising master's and doctoral students in their thesis and dissertation work respectively
DIS9504MFT <u>Doctoral Dissertation Research IV*</u>	Experience in completing dissertation research plus advising master's and doctoral students in their thesis and dissertation work respectively



MFT8202 <u>Family Therapy with Adolescents</u>	Over 14 years of working experience with various adolescents
MFT8203 <u>Parenting Strategies</u>	Over 14 years of working experience with various parents and teaching parenting courses and workshops
MFT8115 <u>Family Systems Approaches to Addiction*</u>	Graduate level courses
MFT8150 <u>Family Life Education*</u>	See above Certified Family Life Educator (CFLE)-2007
MFT8501 Dynamics of Military Families	Personal working experience
MFT8502 Family Therapy in the Military	Personal working experience



PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD LIKE AT THIS TIME: 5-10

PEER-REVIEWED PROFESSIONAL/SCIENTIFIC ARTICLES:

Higginbotham, B. & Santiago, A. (2010). Choose: The central importance of intentionality. In T. Futris and F. Adler-Baeder (Eds.), *National extension relationship and marriage education model*.

Santiago, A. & Marshal, J. (2010). Manage: Strategies of engagement and interaction around differences, stressors, and issues of safety. In T. Futris and F. Adler- Baeder (Eds.), *National extension relationship and marriage education model*.

Goddard, W., Santiago, A. & Benhke, A. (2010). Implementing the model. In T. Futris and F. Adler- Baeder (Eds.), *National extension relationship and marriage education model*.

Schramm, D, Anderson, K. & Santiago, A. (2010). Module 2-Risk and protective factors: economic stress, education and work, family and community support, ambiguous commitment, gender distrust, multiple partner fertility, history of neglect and abuse, mental health issues, domestic violence , lack of role models. A face to face graduate level curriculum designed to be taught to graduate students in Human Development and Family Studies in University of Missouri and University of North Carolina as part of the Healthy Relationship and Marriage Education Training project.

Anderson, K., Schramm, D., & Santiago, A. (2010). Module 3- Cultural Diversity and Competency. A face to face graduate level curriculum designed to be taught to graduate students in Human Development and Family Studies in University of Missouri and University of North Carolina as part of the Healthy Relationship and Marriage Education Training project.

Santiago, A., Allen, K., & Futris, T. (2010). Module 9- Importance of Intentionality. A face to face graduate level curriculum designed to be taught to graduate students in Human Development and Family Studies in University of Missouri and University of North Carolina as part of the Healthy Relationship and Marriage Education Training project.

Santiago, A., Brown, D., Donald, D., & Cooper, K. (2009).Module I- Premarital and Cohabitation. Journeys: Steps to healthy couples, healthy marriages, and healthy couples. An Iowa State University Extension for Families online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.

Donald, D., Cooper, K., Santiago, A., & Brown, D. (2009). Module II-The Journey Begins: The Early Years. Journey: Steps to healthy couples, healthy marriages, and healthy couples. An online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.



Cooper, K., Donald, D., **Santiago, A.**, & Brown, D. (2009). Module III-The Journey Continues: Mid to later Life together. Journey: Steps to healthy couples, healthy marriages, and healthy couples. An online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.

Donald, D., Cooper, K., **Santiago, A.**, & Brown, D. (2009). Module IV- Healthy relationships in Complex Families. Journey: Steps to healthy couples, healthy marriages, and healthy couples. An online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.

**Santiago, A.** Brown, D., Cooper, K., & Donald, D. (2009). Module V: Low Resource and Cultural Issues Journey: Steps to healthy couples, healthy marriages, and healthy couples. An online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.

Brown, D., **Santiago, A.**, Donald, D., & Cooper, K. (2009). Program Development and Evaluation. Journey: Steps to healthy couples, healthy marriages, and healthy couples. An online training curriculum designed to provide professional development to professionals and non-professionals who provide relationship education for couples.

Mincemoyer, C. C, Perkins, D. F, & **Santiago. A.** (2008). **Exploring the effectiveness of learning communities as a source of technical assistance and professional development among Extension educators.** *The Forum for Family and Consumer Issues*, 13 (3).

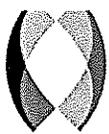
Greder, K., Oesterreich, L., Anderson, P., Kaufman, M. B., **Santiago, A.**, Hegland, S., & McDonnell, S. Partnering with Parents: Walking the Journey Together. (July 2002). Iowa State University Extension Publication SP 175. A training curriculum designed to strengthen the core competencies of parenting educators.

**Santiago, A.** & Greder, K. (2002). Guiding, Nurturing, and Motivating. Partnering with parents. A training curriculum designed to strengthen the core competencies of parenting educators.

**PROFESSIONAL/SCIENTIFIC ARTICLES, BOOKS, BOOK CHAPTERS, EDITED BOOKS, AND INSTRUCTIONAL MANUALS, ETC --- NOT PEER-REVIEWED:**

**Santiago, A.** (2006). Cultural Competence. Family Development Certification Training. A training curriculum designed on behalf of Iowa State University Extension for Families for professional working with families.

**Santiago, A.** (2005). Cultural Competence for Iowa State University Extension for Families. A training curriculum designed on behalf of Iowa State University Extension for Extension Professional.



**Santiago, A.** (2003). Family Forms and Family Systems. Iowa State University Family Life Specialists Training. A training curriculum designed on behalf of Iowa State University Extension for Extension Professional.

**PROFESSIONAL PRESENTATIONS/WORKSHOPS --- REFEREED ONLY:**

Santiago, A., Hanlon, E., & Todey, J., Meek, J. (2011). PROSPERing Positive Youth and Family Functioning in Rural Communities: A Community Partnership Model That Actually Works. National Rural Mental Health Conference, Dubuque, Iowa

Santiago, A. (2011). Strengthening Families Program 10-14. National Rural Mental Health Conference, Dubuque, Iowa

Cooper, K., **Santiago, A.**, Schmitt, B., & Franz, N. (2011). Connecting Families and the Environment: Master Family Ecology Program. National Urban Extension Conference, Des Moines, Iowa

**Santiago, A.** & Brown, D. (2009). Steps to Healthy Couples, Healthy Marriages, Healthy Families. Prevent Child Abuse Conference, Des Moines, Iowa.

Claudia, M., **Santiago, A.** & Anderson, K. (2008). PROSPER Learning Communities: Strengthening University-Community Partnerships. National Outreach Scholarship Conference, State College, Pennsylvania.

**Santiago, A.**, Hanlon, E., & Meek, J. (2008). Addressing Youth Risk and Protective Factors: Success of an Evidenced Based Program in Rural Iowa. National Rural Mental Health Conference, Burlington, Vermont.

Greder, K. & **Santiago, A.** (2008). ) "Identifying Research-based Resources that Promote Critical Parenting Practices." Iowa Community Action Agencies Annual Conference, Des Moines, IA.

Bode, M., Hanlon, E., & **Santiago, A.** (2008). *Addressing Risk and Protective Factors in the Strengthening Families Program for Parents and Youth 10-14*. CYFAR Conference, San Antonio, Texas.

**Santiago, A.**, Hanlon, E., & Clair, S. (2007). Longevity of Community Teams and Their Intervention Implementation Quality: An Examination of a Partnership Model. National Association of Rural Mental Health Conference, Kansas City, Missouri.

Greder, K., **Santiago, A.**, & Sarour, E. (2005). Parenting Across Cultures. Annual Professional Day Development for Iowa State University Extension and Professional and Scientific Staff,



Ames, Iowa.

Allen, B., Greder, K., & **Santiago, A.** (2004). Engaging Families of Color in Parenting and Family Education Programs. National Council on Family Relations Annual Conference, Orlando, Florida.

Beran, J., **Santiago, A.**, Xiong, C., Hoang, V., & Dempsey, N. (2004). Asian Diversity – Who cares and does it matter? Enrichment and Understanding of Asians through Dialogue. Youth and Shelter Services, Ames, Iowa.

Greder, K. & **Santiago, A.** (2004). Parenting across cultures: Implications for working with families. Parent-Educator Connection Conference XX, Ames, Iowa.

**Santiago, A.** & Warning, J. (2003). Valuing Diversity: A Path to Cultural Competence. Iowa State University Extension Office Professionals Annual Conference, Ames, Iowa.

Greder, K. & **Santiago, A.** (2002). Developing Advocacy Skills: A Path to Strengthening Families. National Extension Association of Family and Consumer Scientist Annual Conference, Kansas City, Missouri.

Greder, K. & **Santiago, A.** (2002). Cultural Perspectives on Parenting. 22<sup>nd</sup> Annual Conference on Child Abuse. Coordinated by Prevent Child Abuse of Iowa, Des Moines, Iowa.

**PROFESSIONAL PRESENTATIONS/WORKSHOPS --- NON-REFEREED:**

**Santiago, A.** & Shinker, L. (April, 2010). Marketing ideas and Strategies. Annual Statewide Prosper Conference, Storm Lake, Iowa

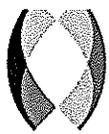
**Santiago, A.** (April, 2010). An Overview of All Stars as implemented in local schools. Annual Statewide Prosper Conference, Storm Lake, Iowa

**Santiago, A.** (2010). Healthy Self Reliance and Interdependence: Family Development Certification Training Program. Altoona, Iowa

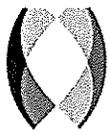
**Santiago, A.** (April 2009). Learning Today Leading Tomorrow. The Leader in You. Annual Statewide Prosper Conference, Lake Rathbun, Ottumwa, Iowa

**Santiago, A.** (Feb, 2009). Cultural Perspectives on Parenting. Partnering with Parents and Family Development Certification Training Program, Fort Dodge, Iowa.

**Santiago, A.** (Feb, 2009). Cultural Perspectives on Parenting. Partnering with Parents and Family Development Certification Training Program, Council Bluffs, Iowa.



- Flemming, B. & **Santiago, A.** (2009). Strengthening Families Program 10-14, Ames, Iowa
- Flemming, B. & **Santiago, A.** (2009). Strengthening Families Program 10-14, Storm Lake, Iowa
- Santiago, A.** (2007) Impact of Prosper programming in Hampton. Kiwanis Monthly Meeting. Hampton, Iowa
- Greder, K., Ortiz, L., and **Santiago, A.** (2006) "Parenting with Special Challenges." Two-day summer workshop, Ames, IA.
- Greder, K. and **Santiago, A.** (June, 2005) "Potential Roles for ISU Extension in Couples and Marriage Relationship Education." Presentation. ISU Extension to Families In-service, Ames, IA.
- Santiago, A.** (April, 2005.) Multi-Cultural Competence. Take Care of Yourself Retreat. Coordinated by Hawkeye Area Community Action Program Child Care and Referral, Inc, Cedar Rapids, Iowa.
- Santiago, A.** (March, 2005). Cultural Perspective on Parenting. Partnering with Parents, Iowa State University Woodbury County Extension, Souix City, Iowa.
- Greder, K., Rodriguez, R., **Santiago, A.** & Kostatka, K. (July 2004) "Exploring the History of Parenting Education and the Influence of Culture." Two-day summer workshop, Ames, IA.
- Santiago, A.** & Banther, K. (2004). Cultural Perspectives on Parenting. Iowa State University Extension for Families, Creston, Iowa.
- Santiago, A.** & Cooper, K. (2004). Working with Families with Special Challenges. Iowa State University Extension for Families, Marion, Iowa.
- Santiago, A.** & Crooks, M (2004). Cultural Perspectives on Parenting, Iowa State University Extension for Families, Marion, Iowa.
- Santiago, A.** (2003). Parenting from a strength based perspective. (Mothers with young children support group), Ames, Iowa.
- Santiago, A.** (2003). Parenting Practices and Strategies: Integrating Faith Perspectives. Gilbert Lutheran Church, Gilbert, Iowa.
- Santiago, A.** & Warning, J. (2003). Valuing Diversity: A Path to Cultural Competence. Iowa State University Extension Office Professionals Annual Conference, Ames, Iowa.
- Santiago, A.** (2002). Focusing on Family Resiliency. Staff Development Workshop. Coordinated by Youth and Shelter Services, Inc., Ames, Iowa.



**Santiago, A. (2001).** Empowering Families. Coordinated by Iowa State University and Lutheran Social Service of Iowa. Ames, Iowa.

**Santiago, A., Winslow, A. & Meek, J. (2001).** Strength Based Training for Mental Health Volunteers and Paraprofessionals. Coordinated by Sharing Help Awareness United Network (SHAUN), Newton, Iowa.

**Santiago, A. (2000).** Enriching Relationships: A Focus on Solutions, Communication, and Strengths. Kuala Lumpur, Malaysia.

**Santiago, A. (2000).** Relationships in Balance: Balancing Problem versus Solution Focus, Independence versus Dependence, and Deficit versus Strength based approach. Petaling Jaya, Malaysia.

**Santiago, A. (1999)** Integration of Systemic and Biblical Perspectives on Family Functioning and Well Being: An Emerging Framework for Theory and Practice of Christian Counseling. Ames Area wide Pastoral Forum, Ames, Iowa.

**Santiago, A. (1999)** Understanding Marriage and Family Therapy Issues From a 'Non-Majority' perspective: A Personal Journey. Iowa State University, Ames, Iowa.

#### **SERVICE:**

##### **Iowa State University**

- International Experiences Program Committee (ISU, 2007-present)
- Extension Relationships and Marriage Education Network (NERMEN). Executive Team Member (ISU, 2007-present)
- Department of Human Development and Family Studies Strategic Planning Work Group for Family Policy and Practice (ISU, 2009-present)
- Extension for Families Priorities Work Group (ISU, 2009)
- Association of Malaysian Student at Iowa State University (AMSISU)-Advisor (ISU, 2010-present)

##### **Ames**

- Ames Critical Incident Stress Management and Emergency Response -Team Member (Ames, 2002-present)
- Youth and Shelter Services- Diversity Taskforce Committee member (2002-present)



- Ames High School- Emergency response (2004)
- Lutheran Services of Iowa -Member of the Utilization Review Committee (2001-2002)and Member of the Operations Committee (2001-2002)

**MEMBERSHIP IN PROFESSIONAL ORGANIZATIONS:** Include membership affiliations, including years as displayed in sample below (indicate if honored in some way, e.g., elected as a Fellow)

- Member, National Association for Rural Mental Health (2007-present)
- Member, National Council on Family Relations (2007-present)
- Member, Phi Kappa Phi (2003-present)
- Member, American Association of Marriage and Family Therapy(2001 to present)
- Member, Iowa Association of Marriage and Family Therapy (2001-present)

**PROFESSIONAL RECOGNITION:** List any relevant professional recognition here as displayed in samples.

- Junior Researcher Scholarship recipient by National Association for Rural Mental Health, 2008.
- National Internet Technology Team Award by the National Extension Association of Family and Consumer Sciences (NEAFCS), 2005.
- Mary W. Wells Diversity Award, Central Region Finalist by the National Extension Association of Family and Consumer Sciences (NEAFCS), 2004.
- Academic Excellence Award by Iowa State University, 2000
- Academic Excellence Award by Iowa State University, 1999.
- Outstanding Scholastic Achievements Award by College of Family and Consumer Sciences, Iowa State University, 1998

The next section should be completed only by those interested in participating in doctoral research (whether as chair, committee member, or teaching related courses). If you are not interested in doctoral research teaching, you may leave this section blank.



**RESEARCH INTERESTS (UP TO 300 WORDS):** In this section include research interest you have pursued or are currently pursuing that are consistent with your publication/presentation/grant writing record. An example appears below. *Please note that this listing will be included in our forthcoming Faculty Mentor Directory, to enable Learners to identify Mentors who share their research interests:*

Community-based interventions, chronic pain, social support, control beliefs, exercise behavior, ethnic disparities in health, successful aging, and online learning (particularly factors associated with degree completion.

**THESIS SERVICE** – list approximate total number of theses for which you have served as Chair or Committee Member and the University.

**Master's Thesis Chair:**

**Master's Thesis Committee Member: 2**

**DISSERTATION SERVICE** - list approximate total number of dissertations for which you have served as Chair or Committee Member and the University.

**Dissertation Chair:**

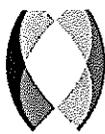
**Dissertation Committee Member: 3**

**PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD LIKE TO CHAIR AT THIS TIME: 0**

**PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS FOR WHOM YOU WOULD LIKE TO SERVE AS A COMMITTEE MEMBER AT THIS TIME: 5**

**QUANTITATIVE EXPERIENCE:** For Learners proposing quantitative research designs, we need to ensure their committee will include people able to assist them in producing a high quality product. Listed below are some common research designs, statistical methods, and software. In the columns to the left of the method, **please indicate: Yes, Maybe, or No** to indicate your ability to mentor a Learner proposing to use one of the methods below. *Please note: if you are indicating "Yes" then the method should be one in which you have completed a graduate level course and/or have presented or published in a peer-reviewed conference/publication using the method. Please use the blank rows to include additional information, if needed.*

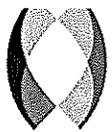
Expertise?	Method
yes	Single-subject research design
yes	Quasi-experimental designs
yes	Experimental designs
yes	Basic parametric statistics (for example: ANOVA, correlation, simple regression, t-test)
yes	Basic nonparametric statistics (for example: chi-square)
yes	Multivariate parametric statistics (for example: ANCOVA, MANOVA, MANCOVA, multiple regression)
	Multivariate nonparametric statistics (for example: logistic regression)
	Structural equation modeling
	Cluster analysis
	Discriminate function analysis
	Data analysis with dyads



	Factor Analysis
	Survival analysis
	Archival data analysis
	Power analysis
yes	SPSS software
	Excel software
	SAS software
	AMOS/LISREL software

**QUALITATIVE EXPERIENCE** For Learners proposing qualitative research designs, we need to ensure their committee will include people able to assist them in producing a high quality product. Listed below are some common types of qualitative data, traditions, and software. In the columns to the left of the method, **please indicate: Yes, Maybe, or No** to indicate your ability to mentor a Learner proposing to use this method. *Please note: if you are indicating "Yes" then the method should be one in which you have completed a graduate level course and/or have presented or published in a peer-reviewed conference/publication using the method. Please use the blank rows to additional information, if needed.*

Expertise?	Method
yes	Observations
yes	Structured interviews
yes	Semi-structured interviews
	Documents
	Audio-visual materials
yes	Focus groups
yes	Basic Qualitative analysis strategies
yes	Phenomenology
	Heuristic inquiry
	Ethnomethodology / Ethnology
yes	Grounded theory
	Hermeneutics
	Feminist inquiry
yes	Narratology / Narrative analysis
yes	Ethnography
	Autoethnography
yes	Ecological psychology
yes	Systems perspectives/system theories
	Atlas/ti software
yes	Nudist @ software
yes	Case Study
	Action Research



**MIXED METHODS RESEARCH**

Maybe	If you have conducted mixed methods research that has been presented at a peer-reviewed conference or published in a peer-reviewed journal, please indicate your comfort with serving as a committee member with a "No, Maybe, or Yes"
-------	--

**OTHER RELEVANT ACADEMIC OR RESEARCH EXPERIENCE YOU WOULD LIKE TO SHARE:**

*Thank you for the services you perform for Northcentral University!*

## CURRICULUM VITAE

Dr. Robin Throne  
918 N Cody Rd  
Le Claire, IA 52753  
(641) 781-0128  
[rthrone@windstream.net](mailto:rthrone@windstream.net)

### AREAS OF EXPERTISE

Distance education, educational evaluation, accreditation and compliance, legislative affairs, assessment and institutional effectiveness, institutional research and planning, curriculum design and development, technology-mediated instructional delivery, learner-centered education, critical pedagogy, and creative writing

### SIGNIFICANT ACHIEVEMENTS IN HIGHER EDUCATION

- Textbook author: *Practitioner Research in Doctoral Education*. Release date January 1, 2012
- Key leader in attaining NCA-HLC approval for all undergraduate and graduate online degree programs for University system
- Key leader in attaining SACS Reaffirmation for University system (10-year grant of reaccreditation)
- Key leader in attaining approval from U.S. Department of Education as first college in U.S. to utilize SFA Pin for financial aid e-signatures
- Co-founder of American InterContinental University Online
- Key leader and primary author in American InterContinental University's selection to participate in U.S. Department of Education Distance Education Demonstration Program (2001)
- Key leader and primary author in Quest Education Corporation's (now Kaplan Higher Education) selection to participate in U.S. Department of Education Distance Education Demonstration Program (1999)
- Co-developer of 4<sup>th</sup> Dimension Learning™, Singularity Learning Model™, *InteLearn* Model and Theory
- Key leader in gaining regional and national accreditation approvals for graduate, undergraduate and diploma/certificate programs via online delivery
- Key leader in guiding two nationally-accredited, for-profit institutions of higher education to achieve initial regional accreditation and baccalaureate-level approval
- Designed and deployed programs for the assessment of student learning and institutional effectiveness that received national and regional accreditation approval
- Designed curriculum structure and delivery methodology for distance federal corrections program
- Key leader in the design, development and deployment of technology certification training programs in a multi-campus system

### EDUCATION

*Ph.D. in Educational Research and Evaluation* from Union Institute & University, Cincinnati, OH, 2000; Dissertation: *Distance Learning: A Spatiotemporal Leap into the Potentiality of Higher Education Online*.

*Master of Arts degree in English/Creative Writing* from Minnesota State University, Mankato, MN, 1995. Thesis: *The Caul, a novella*.

*Bachelor of Science degree in Human Services* from Clayton University, Clayton, MO, 1989. Certified chemical dependency practitioner.

### COLLEGE-LEVEL COURSES TAUGHT

Dissertation Advisor (Graduate)	Creative Writing (Undergraduate)
Action Research (Graduate)	Literary Theory/Criticism (Undergraduate)
Educational Research and Statistics (Graduate)	College Composition I & II (Undergraduate)
Adult Learning Theory (Graduate)	Film Studies (Undergraduate)
Education Foundations (Graduate)	Research Methods & Statistics (Undergraduate)
Interactive Learning (Graduate)	Technical Writing (Undergraduate)
Teaching and Learning with Technology (Graduate)	Interpersonal Communications (Undergraduate)
Creative Nonfiction Writing (Graduate and Undergraduate)	Public Speaking (Undergraduate)
Knowledge Management & Workplace Learning (Graduate)	Business Presentations/Communications (Undergraduate)
Assessment and Evaluation (Graduate)	Introduction to Business (Undergraduate)
Education Capstone (Graduate)	Introduction to Sociology (Undergraduate)
American Literature (Undergraduate)	Computer Applications (Undergraduate)
English Literature (Undergraduate)	Freshman Seminar/University Success (Undergraduate)
	Developmental Reading/Writing (Undergraduate)

**PROFESSIONAL EXPERIENCE**

- 2004-Present. Dissertation Advisor, Associate & Visiting Faculty, Program Development, and Publishing. Various organizations/institutions.  
*Research study In progress:* The online doctorate for executive leadership: A meta-analysis  
*Visiting Instructor:* University of South Carolina, Beaufort, August-December, 2011  
*Literary publisher (small press):* 918studio at [www.918studio.net](http://www.918studio.net)
- 2000-2006. Career Education Corporation. Various positions of progressive responsibility.  
*Interim Provost* American InterContinental University. 2006.  
*Graduate Faculty* American InterContinental University. 2004-2006.  
*Executive Advisor* to the CEO of Career Education Corporation. 2005.  
*Senior Advisor & National Affairs* Career Education Corporation University Group. 2004-2005.  
*Vice President Regulatory Policy & Governmental Affairs* Career Education Corporation University Group. 2003-2004.  
*Provost* American InterContinental University and AIU Online. 2000-2003.
- 1995-2000. Quest Education Corporation (now Kaplan Higher Education). Various positions of progressive responsibility.  
*Chief Academic Officer* Hamilton College and Quest College (now Kaplan University) and *District Director of Education* for Quest Education Corporation (now Kaplan Higher Education). 1998-2000.  
*Interim Campus Director*, AIC (formerly Quest College now Kaplan University). 1999.  
*Director of Research and Evaluation* Hamilton and AIC (now Kaplan University) Colleges of Iowa. 1996-1998.  
*Interim Campus Director*, Hamilton College. 1997.  
*General Education Coordinator* Hamilton College, Mason City, IA, 1995-1996.
- 1993-1996. English/Communications Faculty.  
*English/Communications Faculty* Hamilton College, Mason City, IA, 1995-1996.  
*English Faculty* Minnesota State University, Mankato, MN, 1994-1995.  
*English Faculty* Waldorf College, Forest City, IA, 1993-1994.  
*English Graduate Assistant* Minnesota State University, 1993-1994.
- 1986-1996. Writer/Journalist.  
*Managing Editor*, *Freeborn County Register* and *Publisher/Editor*, *The Weekly Review*, MN, 1991-1993.  
*Staff Writer and Section Editor* for the *Albert Lea Tribune*, Albert Lea, MN, 1989-1991.  
*Freelance Journalist*. 1986-1996.

**PRESENTATIONS/FACILITATION**

- Facilitator* *Creative Writing Basics I (online)*. Writing Workshop, Midwest Writing Center, February 2011.  
*Mentor/Facilitator* *Collins Poetry Residency*. Midwest Writing Center, October 2010. <http://communitybasedpoetry.blogspot.com>  
*Facilitator* *Creative Writing Basics I (online)*. Writing Workshop, Midwest Writing Center, January 2010.  
*Facilitator* *Pen-in-Hand: Basics for Beginners*. Writing Workshop, Midwest Writing Center, October 2008.  
*Facilitator* *Pen-in-Hand: Creative Nonfiction*. Writing Workshop, Midwest Writing Center, March 2008.  
*Panelist* *HEA Reauthorization and For-Profit Distance Education*. U.S. Senate HELP Committee Staff, Washington, DC, August 2005.
- Presenter* *Sign on the Electronic Line: Using Electronic Signatures in Postsecondary Education*. Presentation to the Career College Association Annual Conference, Orlando, FL, June 2004.  
*Presenter* *State of Online Higher Education*. Presentation sponsored by the U.S. Senate Rural Education Caucus to House and Senate Education Committee Staff, Dirksen Office Building, Washington, DC, November 2003.  
*Presenter* *Using Electronic Signatures in Postsecondary Education*. Presentation to the National Association of Student Financial Aid Administrators (NASFAA) National Conference, Salt Lake City, UT, July 2003.  
*Presenter* *Financial Aid Online: Lessons Learned from the Paper Cuts*. Presentation to U.S. Department of Education Distance Education Demonstration Program, Scottsdale, AZ, April 2002.  
*Presenter* *The Assessment of Student Academic Achievement*. Cooking & Hospitality Institute of Chicago, June 2002.  
*Presenter* *The Implications of Distance Education*. Career College Association Annual Convention, Chicago, IL, June 2001.
- Panelist* *Distance Education Expert's Panel: The Implications of Distance Education*. Career College Association Annual Convention, Las Vegas, NV, October 2000.  
*Presenter* *Developing a Distance Learning Environment*. ACICS Academic Deans Conference. Las Vegas, NV, October 2000.  
*Presenter* *Career College Association's Distance Education Seminar*. Arlington, VA, June 2000.  
*Presenter* *Distance Learning: A Spatial-Temporal Leap into the Potentiality of Online Higher Education*. Presentation at the 105th Annual Meeting of the North Central Association, CIHE, Chicago, April 2000.

- Presenter Initiative Q: Distance Learning for Quest Education Corporation.* QEC National Management Conference. Nashville, TN, July 1999.
- Presenter Developing a Distance Learning Environment.* ACICS Academic Deans Conference. Phoenix, AZ, June 1999.
- Reader U.S. Favorite Poem Project.* Bettendorf; MÜNCC Channel 13, November 1998.
- Presenter Teaching in a Distance Learning Environment.* Alternative Learning Partnerships Annual Conference, Illinois State Board of Education. Peoria, IL, October 1998.
- Presenter The Holy Grail of Outcomes Assessment.* IntelLearn Symposium, August 1998.
- Presenter Teaching in a Distance Learning Environment.* Cedar Rapids Chamber of Commerce, June 1998.
- Presenter Teaching in a Distance Learning Environment.* Midwest Career College Association Annual Conference, April 1998.
- Presenter From Assessment Plan to Active Assessment: Documenting the Process.* Presentation at the 102nd Annual Meeting of the North Central Association, Commission on Institutions of Higher Education, Chicago, April 1997.
- Presenter Voice as a Literary and Liberatory Element in Education.* Paper presentation at the University of Nebraska's Pedagogy of the Oppressed Conference, Omaha, April 1997.
- Presenter Classroom Assessment Techniques.* Faculty In-Service for Hamilton College campuses, September 1996.
- Facilitator Poetry Writing Workshop.* MacNider Museum., Mason City, IA, April-May 1996.
- First-Place Minnesota River Review's Spring Poetry Slam,* Minnesota State University, Mankato, March 1995.
- Guest writer The Weekly Reader.* KMSU FM-Radio. Excerpts from *The Caul*, a novella, February 1995.
- Guest writer Thesis reading at Centennial Student Union,* Minnesota State University, Mankato Campus. Excerpts from *The Caul*, a novella, February 1995.
- Presenter Young Writer's Conference,* Minnesota State University, Mankato campus, 1994 & 1995.
- Presenter Journaling: A Tool for Recovery,* Fountain Centers, Albert Lea, MN, 1993-1994.
- Presenter The Media and Public Relations,* Minnesota Women of Today state convention, May 1992.
- Presenter Starting a Weekly Newspaper When No One Else Will,* Minnesota Newspaper Association Annual Convention, January 1992.

## PUBLICATIONS

*Practitioner Research in Doctoral Education.*  
Kendall/Hunt (2012).

*I was there once: a chapbook to redemption.* Prose and poetry. ISBN 0-615428878, 918studio (2011).

*Sparrow to Homeland and other prose & poetry by the LeClaire Writers.* ISBN 0-615427812, 918studio (2011).

"Hunter's Moon." *Visible Quad Cities* (2009).

"Meandering." *Sylvan Echo* (2007).

"Finding Redemption in Vinje, Iowa." *University of Iowa Daily Palette* (2007).

"Distance Learning in Einstein's Fourth Dimension." *Nonpartisan Education Review* (2007).

"The Wisdom of the Desert." *Unity Newsletter* (2005).

"A Broke Down Warrior Says a Prayer." *Connections* (2005).

"Signing on to BSIGN." *University Business* (2005).

"GAO Releases Study Focused on Limits to Distance Education." *The Link* (2004).

"For the Mind that's Departed, for Those Who Still Have Theirs," *Slip Shot: A Journal of Literary Art* (2003).

"The Use of the U.S. Department of Education, Office of Student Financial Assistance's E-Sign to Expedite AIU Online's Financial Aid Packaging Processes." (2001).

*Higher Education in a Web Year.* ISBN 075930274-X. Thomson (2000).

"Online Higher Education 'trains Knowledge Workers for 21st Century.'" *A Collection of Papers on Self-Study and Institutional Improvement 2000.* North Central Association, Commission on Institutions of Higher Education, Chicago (2000).

"Integrating Lecture/Laboratory Contact Time." *The Link* (1999).

"Online DL through Cyberclass." *Syllabus* (1999).

"A Study to Determine a Definition of 'Quality Graduate' at Hamilton College." *Assessment Update* (1998).

"From Assessment Plan to Active Assessment: Documenting the Process." *A Collection of Papers on Self-Study and Institutional Improvement 1997.* North Central Association, Commission on Institutions of Higher Education, Chicago (1997).

"Report from Our Users: How AIC Uses CPAT." *ACT's Career Programs Assessment* (1996).

"Stateline Lake." *Poetry Motel* (1996).

"Lot's Woman." *Gypsy Cab* (1996).

"The Emmons Depot Case." *Freeborn County Historical Society Archival Library* (1996).

"A Grecian Tragedy in South Carolina." *Iowa Woman* (1995).

"The Fire." *Minnesota River Review* (1995).

*The Corresponder.* Book Review of *Seventeen Grams of Soul* (1995).

"The Ring Finger." *Minnesota Women's Press* (1995).

"Rising Above the Muck." *Minnesota Literature* (1994).

"Locks." *North Coast Review* (1994).

"Heartland." *The Muse* (1994).

"Flange." *Mankato Poetry Review* (1993).

Newspaper and print journalism (1986-1996): *The Land Magazine, Faribault County Register, Freeborn County Register, Albert Lea Tribune, Austin Daily Herald, Mason City Globe Gazette, The Daily Iowan, Alden Advance, Lake Mills Graphic, Courier-Sentinel, Leader-Press, Rochester Post-Bulletin, Rochester Freepress, the Weekly Review, and the Minnesota and Iowa Associated Press.*

**PROFESSIONAL MEMBERSHIPS, AFFILIATIONS AND AWARDS**

<i>Reviewer</i>	<i>International Journal of Doctoral Studies</i> , 2011-Present.
<i>Member</i>	American Educational Research Association, Washington DC, 1997-Present.
<i>Lifetime Honorary Board Member</i>	Midwest Writing Center, Davenport, IA, 2006-Present.
<i>Member</i>	Friends of the Le Claire Community Library, LeClaire, IA, 2006-Present.
<i>Reviewer</i>	Editorial Review Board, <i>AACE Journal</i> , 2008-Present.
<i>Member</i>	LeClaire Chamber of Commerce, LeClaire, IA, 2010-Present.
<i>Member</i>	Associated Writing Programs, Fairfax, VA, 2011-Present.
<i>Finalist</i>	University of Phoenix Institute, Research Grant Recipient Finalist, 2011.
<i>Award</i>	The Writers' Wolf <i>2010 Literary Award: Fiction</i> , Sharpsburg, GA, 2010.
<i>Award</i>	The National Institute for Staff and Organizational Development (NISOD) <i>Teaching Excellence</i> , 2009.
<i>Award</i>	<i>Faculty Service Award</i> , American InterContinental University, 2004, 2005, & 2006.
<i>Award</i>	<i>Strategic Leadership Award</i> , American InterContinental University, September 2004.
<i>Award</i>	<i>Work with Others Award</i> , Career Education Corporation, May 2004.
<i>Award</i>	<i>Chairman's Trophy</i> , Career Education Corporation, November 2003.
<i>Award</i>	<i>AIU Online A-Team Member</i> , Career Education Corporation, November 2003.
<i>Award</i>	<i>CEO Personal Recognition Award</i> , Career Education Corporation, December 2002.
<i>Award</i>	<i>Most Valuable Person Award</i> , American InterContinental University, November 2002.
<i>Award</i>	<i>Strategic Achievement Award</i> , American InterContinental University, February 2002.
<i>Award</i>	<i>Eagle Overachievement Award</i> , American InterContinental University Online, September 2001.
<i>Award</i>	<i>President's Award</i> , AIC/Hamilton College, January 1998.
<i>Award</i>	<i>Outstanding Young Women in America</i> , December 1997.
<i>Past Member</i>	Council on Law in Higher Education, 2004-2007.
<i>Past Member</i>	Career College Association (CCA), Washington, DC, 1995-2005.
<i>Past Member</i>	American Association of Collegiate Registrars and Admissions Officers (AACRAO), 2002-2005.
<i>Past Member</i>	National Association of Student Financial Aid Administrators (NASFAA), 2001-2005.
<i>Past Member</i>	Council for Adult and Experiential Learning (CAEL), 2001-2005.
<i>Past Evaluator</i>	Accrediting Council for Independent Colleges and Schools (ACICS), 1998-2000.
<i>Past Member</i>	American Evaluation Association, Point Reyes, CA, 1997-2000.
<i>Past Member</i>	American Association for Institutional Research, Tallahassee, FL, 1997-2000.
<i>Past Member</i>	American Association of University Women, 1996-1998.
<i>Past Delegate</i>	Waldorf College, Forest City, IA, 1996-1998.
<i>Past Member</i>	National Council of Teachers of English, Urbana, IL, 1993-1997.
<i>Past Member</i>	Minnesota Newspaper Association, 1989-1993.

**REFERENCES**

**Dr. Ellen Tsagaris**  
Legal Studies/General Education Program Chair  
Kaplan University  
1801 E Kimberly Rd, Ste 1  
Davenport, IA 52807  
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ETsag1998@aol.com

**Susan Collins**  
Board President  
Midwest Writing Center  
225 E 2<sup>nd</sup> Street, Suite 303  
Davenport, IA 52801  
(563) 324-1410  
ponysue@sbeglobal.net

**Dr. George Miller**  
Chancellor for External Affairs  
American InterContinental University  
6600 Peachtree-Dunwoody Road  
500 Embassy Row  
Atlanta, GA 30328  
(404) 965-6822  
george.miller@aiuniv.edu

**Dr. Susan Willis**  
Higher Education Consultant  
13110 Kuykendahl Road # 1007  
Houston, TX 77090  
(832) 286-1130  
svillis13@houston.rr.com

**Dr. Stanford J. Searl**  
Doctoral Advisor  
Union Institute & University  
440 B. McMillan Street  
Cincinnati, OH 45206-1925  
(800) 486-3116  
stan.searl@tul.edu



Northcentral University  
Northcentral University Curriculum

Vitae 2012

**Required Standardized Format**

For purposes of maintaining accreditation standards and performing regular audits of our independent contractors (to ensure proper alignment between documented competency and teaching assignments), Northcentral University requires that all Faculty Mentors submit a standardized Curriculum Vitae, and ensure that copies of all relevant documents (transcripts, licenses, certifications) are on file with the University.

Please submit your CV in the format indicated below. Because this information will be used to determine your workload, please be thorough and specific. However, experience that is not relevant to your qualifications to teach the courses you wish may be omitted, and sections not relevant to your career may also be marked "N/A."

**LAST NAME:** Vaughan

**FIRST NAME AND MIDDLE INITIAL:** Amy G

**ADDRESS:** 225 Prairie View Dr. Apt. 7118  
West Des Moines, IA 50266

**EMAIL:** amygracev@hotmail.com

**EDUCATION:** PhD, Statistics, University of Georgia, 2009  
Masters, Statistics, University of Georgia, 2006  
Masters, Business Administration, Georgia Southern University, 2001  
Honors Bachelor of Arts, Murray State University, 1999

**ACADEMIC RANK:** Assistant Professor of Statistics, 2009

**LICENSES:** N/A

**CERTIFICATIONS:** N/A

**CLINICAL EXPERIENCE:** N/A

**TEACHING EXPERIENCE:** Drake University, from 2009-2012, I have taught Stat 71, Stat 72, Stat 60, MFM 212, and Stat 142. Stat 71, Stat 60, and Stat 142 have also been taught online. MFM 212 is a graduate class, all others are for undergraduates. Stat 71 and 72 are for business majors, Stat 60 is for pre-pharmacy majors, and Stat 142 is for actuarial science majors.



Northcentral University  
Northcentral University Curriculum

Vitae 2012

University of Georgia, from 2004-2009, I taught Stat 2000, for nonmajors and Stat 4210, for Statistics majors. These were undergraduate courses.

**ADMINISTRATIVE EXPERIENCE:** At Drake University, I have a grader and I supervise the tutor for the Business school's Statistics tutoring lab.

At the University of Georgia, I had a graduate assistant.

**OTHER PROFESSIONAL EXPERIENCE:** N/A

**TEACHING SCOPE AS RELATED TO NCU:** BUS4025  
MGT5028  
BTM7104  
BTM8104  
BTM8107

JANUARY 2012 Catalog link

[http://www.ncu.edu/public\\_images/Northcentral%20University%20Catalog/Northcentral University Catalog.htm](http://www.ncu.edu/public_images/Northcentral%20University%20Catalog/Northcentral%20University%20Catalog.htm)

If you are using Continuing Education (CEs) credits in the "Qualifications" box, please attach a scanned copy of the certificate to verify these credits. If you have other reasons to believe you are qualified to teach the course you list, please document appropriately.

Examples are given on the next page:

**PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD LIKE AT THIS TIME:**

As many as could be given.

**PEER-REVIEWED PROFESSIONAL/SCIENTIFIC ARTICLES:**

Vaughan, A., Mikyoung, J., and Park, C. (2012). Statistical Inference and Visualization in Scale-Space for Spatially Dependent Images. *Journal of the Korean Statistical Society*, 41, 115-135.

Litten, J., Vaughan, A., and Wildermuth, C. (2011). The Engagement and Personality of Managers and Professionals in Human and Developmental Disability Services. *Journal of*

Vitae 2012

*Social Work in Disability & Rehabilitation, 10, 189-210.*

Park, C., Vaughan, A., Hannig, J., and Kang, K. (2009). SiZer for the Comparison of Time Series. *Journal of Statistical Planning and Inference, 139, 3974-3988.*

**PROFESSIONAL/SCIENTIFIC ARTICLES, BOOKS, BOOK CHAPTERS, EDITED BOOKS, AND INSTRUCTIONAL MANUALS, ETC --- NOT PEER-REVIEWED: N/A**

**PROFESSIONAL PRESENTATIONS/WORKSHOPS --- REFEREED ONLY: N/A**

**PROFESSIONAL PRESENTATIONS/WORKSHOPS --- NON-REFEREED:**

October 2010. SiZer Analysis for Time Series and Spatially Dependent Data. College of Business and Public Administration Research Colloquium. Drake University, Des Moines, IA.

October 2008. SiZer Analysis in Imaging Data. Network of Greater Georgia Institutions of Neuroimaging and Statistics (NOGGINS) Workshop. University of Georgia, Athens, GA.

**SERVICE:** List committees/service related work, volunteer work, panels, etc. Include type of service, where and years as displayed in the examples below.

**School**

- Undergraduate Assessment Coordinator
- College of Business and Public Administration (Drake University, Summer 2011 – present)
- 
- Member of Information Security Advisory Committee (Drake, December 2010 – present)
- 
- Member of Undergraduate Curriculum Committee
- College of Business and Public Administration (Drake, September 2010 – present)
- 
- Advisor for Actuarial Science majors
- College of Business and Public Administration (Drake, September 2010 – present)
-

Vitae 2012

- Supervisor of Statistics Tutoring Lab
- College of Business and Public Administration (Drake, September 2010 – present)
- 
- Alpha Kappa Psi Honorary Faculty Member
- College of Business and Public Administration (Drake, February 2010 – present)
- 
- Coordinator of Departmental Research Colloquiums
- College of Business and Public Administration (Drake, October 2009 – May 2011)

**MEMBERSHIP IN PROFESSIONAL ORGANIZATIONS:** Include membership affiliations, including years as displayed in sample below (indicate if honored in some way, e.g., elected as a Fellow)

- Member, American Statistical Association (2005-2011)
- Member, Institute of Mathematical Statistics (2005-2011)

**PROFESSIONAL RECOGNITION:** List any relevant professional recognition here as displayed in samples.

The next section should be completed only by those interested in participating in doctoral research (whether as chair, committee member, or teaching related courses). If you are not interested in doctoral research teaching, you may leave this section blank.

**RESEARCH INTERESTS (UP TO 300 WORDS) :**

**THESIS SERVICE**

**DISSERTATION SERVICE –**

**PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS YOU WOULD LIKE TO CHAIR AT THIS TIME:**

**PLEASE INDICATE THE TOTAL NUMBER OF LEARNERS FOR WHOM YOU WOULD LIKE TO SERVE AS A COMMITTEE MEMBER AT THIS TIME:**

Vitae 2012

**QUANTITATIVE EXPERIENCE:**

Expertise?	Method
	Single-subject research design
	Quasi-experimental designs
	Experimental designs
	Basic parametric statistics (for example: ANOVA, correlation, simple regression, t-test)
	Basic nonparametric statistics (for example: chi-square)
	Multivariate parametric statistics (for example: ANCOVA, MANOVA, MANCOVA, multiple regression)
	Multivariate nonparametric statistics (for example: logistic regression)
	Structural equation modeling
	Cluster analysis
	Discriminate function analysis
	Data analysis with dyads
	Factor Analysis
	Survival analysis
	Archival data analysis
	Power analysis
	SPSS software
	Excel software
	SAS software
	AMOS/LISREL software

**QUALITATIVE EXPERIENCE** For Learners proposing qualitative research designs, we need to ensure their committee will include people able to assist them in producing a high quality product. Listed below are some common types of qualitative data, traditions, and software. In the columns to the left of the method, please indicate: **Yes, Maybe, or No** to indicate your ability to mentor a Learner proposing to use this method. *Please note: if you are indicating "Yes" then the method should be one in which you have completed a graduate level course and/or have presented or published in a peer-reviewed conference/publication using the method. Please use the blank rows to additional information, if needed.*

Expertise?	Method
	Observations
	Structured interviews
	Semi-structured interviews
	Documents
	Audio-visual materials
	Focus groups
	Basic Qualitative analysis strategies
	Phenomenology
	Heuristic inquiry
	Ethnomethodology / Ethnology
	Grounded theory
	Hermeneutics
	Feminist inquiry
	Narratology / Narrative analysis

Vitae 2012

	Ethnography
	Autoethnography
	Ecological psychology
	Systems perspectives/system theories
	Atlas/ti software
	Nudist @ software
	Case Study
	Action Research

**MIXED METHODS RESEARCH**

	If you have conducted mixed methods research that has been presented at a peer-reviewed conference or published in a peer-reviewed journal, please indicate your comfort with serving as a committee member with a "No, Maybe, or Yes"
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**OTHER RELEVANT ACADEMIC OR RESEARCH EXPERIENCE YOU WOULD LIKE TO SHARE:**

*Thank you for the services you perform for Northcentral University!*



# 7 - ETHICAL CONDUCT

## CODE OF CONDUCT

Northcentral University has established the following Code of Conduct for students. Each student is expected to understand the terms and conditions set forth in this Policy. (See the Team Handbook and Faculty Handbook for the Code of Conduct applicable to team members and faculty.)

Northcentral is committed to maintaining a community with exceptional ethical standards of professional and academic conduct. Substantiated violations may result in disciplinary sanctions, up to and including expulsion from the University.

Community members of the University are expected to conduct themselves professionally, and refrain from acts of misconduct including but not limited to the following five categories:

- Dishonesty, cheating, plagiarism, misrepresentation or furnishing false information, forgery, or misuse of academic or administrative materials.
- Harassment, stalking, humiliation, name-calling, the use of insulting or offensive language, cyber-bullying, threatening communications, abuse and intimidation.
- Conduct, in speech, written communication or behavior, that is disrespectful or unprofessional or racist, sexist, ageist, or that is otherwise prejudicial against a particular community or social group.
- Disruption or obstruction of the normal operations of the University; including unauthorized use of any of the University's facilities, informational or material properties, and resources
- Conduct that is disorderly, lewd, lascivious, indecent or otherwise inappropriate, or that constitutes a breach of the peace; including violation of the University's policy that prohibits bringing alcohol, recreational drugs, or firearms onto University property or any location during a University-sponsored event.
- Failure to cooperate during a University investigation.

Faculty and team members involved in the purported Code of Conduct violation(s) have a responsibility to report such incidents to the Office of Compliance Management by submitting a completed Suspected Code of Conduct Violation form.

The Office of Compliance Management will investigate the incident and complete an investigative report. The Suspected Code of Conduct Violation Form and the investigative report will be forwarded to appropriate leadership. If it is determined, that an individual will be charged with a violation, the individual will have the ability to respond to the charge in writing and address a committee as part of the due diligence.

### *PROCEDURE: Responding to Alleged Violations of Code of Conduct*

<b>Responsibility</b>	<b>Action</b>
<b>Faculty and/or Team Members</b>	1. When a violation is alleged, complete the Suspected Code of Conduct form and forward it to Office of Compliance Management.
<b>Office of Compliance Management Investigator</b>	2. Initiate investigation of alleged violation.
	3. Completed investigative report and forward it and the Suspected Code of Conduct Violation Form to the appropriate Dean.

<b>Dean</b>	4. Review the Investigative Report and supporting documentation. Within 5 days of receiving Investigation Report and materials, authorize one of the following subsequent courses of actions as appropriate.	
	<i><b>IF:</b></i>	<i><b>THEN:</b></i>
	<ul style="list-style-type: none"> <li>• The investigation of the allegation is not substantiated</li> </ul>	<ul style="list-style-type: none"> <li>• Take no action.</li> </ul>
	<ul style="list-style-type: none"> <li>• The investigation of the allegation proved substantiated but does not warrant a formal charge (NCU has an official Warning Letter)</li> </ul>	<ul style="list-style-type: none"> <li>• Send a Warning Letter to alert the offender that continued or similar behavior in the future may result in a formal charge of violation of the Code.</li> <li>• Send communication in hard copy, by Compass Message, and by personal email if available.</li> <li>• Place the Warning</li> </ul>
<ul style="list-style-type: none"> <li>• The investigation of the allegation proved substantiated and warrants a formal charge due to the seriousness and/or repeat violations (NCU has an official Charging Letter)</li> </ul>	<ul style="list-style-type: none"> <li>• Send a Charging Letter to inform the offender of the charge.</li> <li>• Send communication in hard copy, by Compass Message, and by personal email if available.</li> <li>• Provide the policy, details of the offense, and rebuttal directions.</li> </ul>	

<p><b>Student</b></p>	<p>5. If you choose to respond to the Charging Letter, you must do so within 10 days of the date of the Charging Letter:</p> <ul style="list-style-type: none"> <li>• Response must be in writing to the Dean.</li> <li>• Response should include details regarding your position on the charge(s) as specified in the letter</li> <li>• If the individual would like to address the Student Code of Conduct Committee, that desire must be stated in writing along with a contact telephone number.</li> <li>• The individual will have the first 10 minutes of the meeting to state their position verbally. (The time is not intended for open discussion but the individual should be prepared to answer questions posed by the Committee in clarifying the events.</li> <li>• Once completed, the call will be terminated and the Committee will discuss.</li> </ul>	
<p><b>Code of Conduct Committee</b></p>	<p>6. Evaluate relevant documentation and render a final decision in writing, including the appropriate sanction(s).</p>	
<p><b>Dean</b></p>	<p>7. Write a letter to the individual informing him/her of the outcome and have it delivered in hard copy, by Compass Message, and by personal email if available.</p>	
	<p>8. Place a copy of the notification letter in the student record and send copies to the Registrar and Office of Compliance Management.</p>	
	<p>9. Notify the appropriate area(s) to ensure the Committee's decision is enforced. <b>DECISION IS FINAL:</b> All Committee decisions are final and there are no additional appeal provisions.</p>	
	<p><i>IF Committee determines:</i></p> <ul style="list-style-type: none"> <li>• Expulsion is the appropriate sanction for the behavior</li> </ul>	<p><i>THEN:</i></p> <ul style="list-style-type: none"> <li>• Automatically escalate the recommendation for a second review to Executive</li> </ul>



**NCU HOLDINGS, LLC  
AND SUBSIDIARY**

**CONSOLIDATED FINANCIAL STATEMENTS**  
December 31, 2011

NCU HOLDINGS, LLC  
AND SUBSIDIARY  
Scottsdale, Arizona

CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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## REPORT OF INDEPENDENT AUDITORS

Board of Directors  
NCU Holdings, LLC and Subsidiary  
Prescott Valley, Arizona

We have audited the accompanying consolidated balance sheet of NCU Holdings, LLC and Subsidiary as of December 31, 2011 and the related consolidated statements of income, members' equity, and cash flows for the year then ended. These financial statements are the responsibility of the Companies' management. Our responsibility is to express an opinion on these financial statements based on our audit.

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

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of NCU Holdings, LLC and Subsidiary as of December 31, 2011 and the results of their operations and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

*Crowe Horwath LLP*

Crowe Horwath LLP

Brentwood, Tennessee  
May 17, 2012

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED BALANCE SHEET  
December 31, 2011

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**ASSETS**

Current assets

Cash and cash equivalents, including restricted cash of \$5,000,000	\$ 9,364,927
Accounts receivable, net of allowance for uncollectible accounts of \$3,754,581	4,683,534
Miscellaneous receivables	36,811
Inventory	2,745
Prepaid expenses	821,659
Deferred tax asset (Note 6)	1,726,174
Deposits	<u>157,152</u>
Total current assets	16,793,002
Property and equipment, at cost	
Computer equipment	1,539,889
Software	3,072,410
Furniture and fixtures	884,845
Leasehold improvements	<u>320,603</u>
	5,817,747
Less: accumulated depreciation	<u>2,280,839</u>
Property and equipment, net	3,536,908
Deferred financing fees, net (Note 1)	818,877
Intangible assets, net (Note 1)	12,942,847
Goodwill (Note 1)	<u>48,145,915</u>
Total assets	<u>\$ 82,237,549</u>

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(Continued)

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED BALANCE SHEET  
December 31, 2011

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**LIABILITIES AND MEMBERS' EQUITY**

**Current liabilities**

Accounts payable	\$ 199,714
Accrued expenses	3,668,942
Income taxes payable (Note 6)	500,063
Students' credit balances	1,379,626
Title IV Students' credit balances	431,547
Unearned tuition	5,515,393
Accrued vacation and sick	402,026
Capital lease obligations, current portion (Note 3)	26,253
Long-term debt, current portion (Note 2)	<u>1,800,000</u>
Total current liabilities	13,923,564

**Long-term debt**

Long-term debt (Note 2)	21,982,297
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**Other Liabilities**

Deferred income taxes (Note 6)	5,688,129
Derivatives contract (Note 10 and Note 14)	55,242
Deferred rent	<u>349,167</u>
	<u>6,092,538</u>

Total liabilities	41,998,399
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**Members' equity (Note 7, Note 11 and Note 14)**

Preferred units (aggregate redemption value of \$16,468,011)	13,000,000
Common units	16,515,406
Additional paid-in capital	336,254
Warrants	651,635
Retained earnings	<u>9,735,855</u>
Total members' equity	<u>40,239,150</u>

<b>Total liabilities and members' equity</b>	<b><u>\$ 82,237,549</u></b>
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See accompanying notes to consolidated financial statements.

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED STATEMENT OF INCOME  
Year ended December 31, 2011

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<b>Revenues</b>	
Tuition, fees and books	\$ 58,545,929
Interest	30,769
Miscellaneous income	<u>16,863</u>
Total revenues	58,593,561
<b>Expenses</b>	
Payroll, instruction, stock compensation and related costs	24,346,008
Advertising	7,748,899
Administrative	5,500,055
Rent	1,904,202
Insurance and benefits	1,605,551
Bad debt expense	2,736,079
Credit card processing	609,527
Management fees	426,251
Title IV related expenses	<u>45,000</u>
Total expenses	<u>44,921,572</u>
<b>Income before other expenses and income tax expense</b>	<b>13,671,989</b>
<b>Other expenses</b>	
Interest expense	4,022,179
Depreciation and amortization	<u>2,278,593</u>
Total other expenses	6,300,772
<b>Income before income tax expense</b>	<b>7,371,217</b>
Income tax expense (Note 6)	<u>2,965,752</u>
<b>Net income</b>	<b><u>\$ 4,405,465</u></b>

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See accompanying notes to consolidated financial statements.

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED STATEMENT OF CHANGES IN MEMBERS' EQUITY  
Year ended December 31, 2011

	Preferred Units	Common Units	Additional Paid-In Capital	Warrants	Retained Earnings	Total
	Number	Number	Amount	Number	Amount	Amount
Balance at January 1, 2011 as previously reported	74,608	236,130	\$ 16,515,406	6,517	\$ 651,635	\$ 5,455,052
Prior period adjustment, net of taxes (Note 11)	-	-	-	-	-	(124,662)
Balance at January 1, 2011 as restated	74,608	236,130	16,515,406	6,517	651,635	5,330,390
Unit-based compensation expense - Note 11	-	-	-	-	-	131,999
Net income	-	-	-	-	-	4,045,465
Balance at December 31, 2011	74,608	236,130	\$ 16,515,406	6,517	\$ 651,635	\$ 9,735,855
						\$ 40,239,150

See accompanying notes to consolidated financial statements.

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED STATEMENT OF CASH FLOWS  
Year ended December 31, 2011

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<b>Cash flows from operating activities</b>	
Cash collected from students	\$ 56,629,422
Interest income	30,769
Cash paid to employees and suppliers	(44,215,076)
Interest paid	(3,360,598)
Income taxes paid	<u>(3,865,467)</u>
Net cash from operating activities	5,219,050
 <b>Cash flows used by investing activities</b>	
Purchase of property and equipment	(2,011,293)
Deposits	<u>227,463</u>
Net cash from investing activities	(1,783,830)
 <b>Cash flows used by financing activities</b>	
Repayment of long-term debt	<u>(1,577,312)</u>
Net cash used by financing activities	<u>(1,577,312)</u>
 Net increase in cash and cash equivalents	1,857,908
 Cash and cash equivalents, beginning of year	<u>7,507,019</u>
 Cash and cash equivalents, end of year	<u>\$ 9,364,927</u>

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See accompanying notes to consolidated financial statements.

NCU HOLDINGS, LLC AND SUBSIDIARY  
CONSOLIDATED STATEMENT OF CASH FLOWS  
Year ended December 31, 2011

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<b>Reconciliation of net income to cash flows from operating activities</b>	
Net income	\$ 4,405,465
Adjustments to reconcile net income to net cash provided by operating activities:	
Depreciation and amortization	2,278,593
Payment of interest in kind	581,896
Provision for bad debts	2,736,079
Change in debt discount	108,600
Deferred income taxes	(973,414)
Gain on change in fair value of interest rate swap	(41,801)
Unit-based compensation expense	131,999
Changes in assets and liabilities:	
Increase in accounts receivable	(3,793,997)
Decrease in miscellaneous receivables	11,516
Increase in prepaid expenses	(417,203)
Increase in income taxes payable	86,583
Increase in deferred rent	70,093
Decrease in accounts payable	(7,493)
Decrease in students' credit balances	(3,099,973)
Increase in unearned tuition	2,213,005
Increase in accrued expenses	<u>929,102</u>
Net cash provided by operating activities	<u>\$ 5,219,050</u>

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See accompanying notes to consolidated financial statements.

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

Consolidation: The consolidated statements include the accounts of NCU Holdings, LLC and its wholly-owned subsidiary, Innova Management Group, Inc. ("Innova") and Innova's wholly owned subsidiary, Northcentral University, Inc. (the "Company" or "Northcentral University"). All significant intercompany transactions and balances have been eliminated in consolidation.

The Company began operations on December 30, 2008 when NCU Holdings, LLC acquired 100% of the outstanding common stock of Innova Management Group, Inc.

Business Activity: The Company offers private distance learning and operates a private distance learning institution with locations in Scottsdale and Prescott Valley, Arizona. Northcentral University offers bachelor, master and doctoral degree programs in Psychology, Education, and Business through distance learning methodologies, providing adult students throughout the world with educational opportunities to acquire a body of knowledge in a recognized academic discipline. Northcentral University is licensed by the Arizona State Board for Private Postsecondary Education. The Higher Learning Commission, a Commission of the North Central Association of Colleges and Schools located in Chicago, Illinois, accredits it.

Accounting Basis: The Company prepares its financial statements using the accrual method of accounting which recognizes revenues when earned and expenses when incurred.

Accounts Receivable: The Company provides an allowance for doubtful accounts for estimated uncollectible accounts, which approximates 100% of the account balances considered delinquent. Delinquent accounts are balances owed from students who have withdrawn. No interest is charged on accounts receivable. Accounts are written off after collection efforts have failed. Outside collection agencies are used to recover delinquent accounts.

Advertising Costs: Costs of advertising are expensed as incurred as it is not direct response advertising. Total advertising costs incurred during the period ending December 31, 2011 amounted to \$7,748,899.

Cash and Cash Equivalents: Cash and cash equivalents are defined as cash on hand, cash in banks, and highly liquid debt instruments purchased with an original maturity of three months or less.

As of December 31, 2011, the balances of cash and cash equivalents are as follows:

Wells Fargo Bank, checking and savings accounts	\$ 211,721
Charter One Bank, checking accounts	4,152,339
Restricted cash which serves as collateral for the Term Loan and Letter of Credit (see Note 4 and 14)	5,000,000
Petty cash	<u>867</u>
	<u>\$ 9,364,927</u>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

Cash and cash equivalents consist primarily of bank deposits in accounts that are federally insured up to unlimited amounts for non-interest bearing accounts per financial institution.

Credit Risk: Financial instruments, which potentially subject the Company to concentrations of credit risk, consist principally of cash and cash equivalents and accounts receivable. Northcentral University places its cash and cash equivalents with creditworthy, high-quality financial institutions. Northcentral University has not experienced any losses of its cash and cash equivalents. Credit risk with respect to accounts receivable is limited because the Company deals with a large number of students throughout the world with no one student owing the Company more than 5% of Northcentral University's total accounts receivable balance.

Use of Estimates and Assumptions: The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affects the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting periods, and disclosure of contingent assets and liabilities at the date of the balance sheet. Significant items subject to such estimates and assumptions include the carrying amount of intangibles and goodwill and allowance for doubtful accounts. Actual results could differ from those estimates.

Inventory: Inventory consists of miscellaneous gift shop items for resale. The inventory is stated at the lower of cost (first in, first out) or market value.

Income Taxes: The Company's members have elected to have the Company's consolidated income taxed as a corporation under the provisions of the Internal Revenue Code and a similar section of state income tax law.

The Company accounts for income taxes following the provisions of ASC 740, *Accounting for Income Taxes*. ASC 740 requires deferred tax assets or liabilities to be recognized for the estimated future tax effects of temporary differences between the financial reporting and tax bases of assets and liabilities based on the enacted tax law and statutory tax rates applicable to the periods in which the temporary differences are expected to affect taxable income. Deferred tax assets are reduced by a valuation allowance if it is more likely than not that some portion or the entire deferred tax asset will not be realized.

The Company has adopted guidance issued by the FASB with respect to accounting for uncertainty in income taxes. The Company will recognize a tax benefit or liability only if it is more likely than not the tax position would be sustained in a tax examination, with a tax examination being presumed to occur. The amount recognized will be the largest amount of tax benefit or liability that is greater than 50% likely of being realized on examination. For tax positions not meeting the more-likely-than-not test, no tax benefit or liability will be recorded.

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NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

No tax benefit or liability from uncertain tax positions was recognized for the year ending December 31, 2011. The Company does not expect the total amount of unrecognized tax benefits to significantly change in the next 12 months.

The Company and its subsidiary are subject to U.S. federal income tax as well as income tax of the state of Arizona, as well as other state income taxes. The Company's tax years 2008-2011 are open under applicable U.S. Federal and Arizona statutes of limitations. The Company also has open tax years for other U.S. states for various periods.

The Company recognizes interest and penalties related to income tax matters in income tax expense. The Company has no amounts accrued for interest or penalties as of December 31, 2011.

Property and Equipment: Property and equipment are recorded at cost less accumulated depreciation. Major additions and betterments are capitalized; maintenance and repairs are expensed as incurred. When property and equipment is disposed of, the cost and related accumulated depreciation or amortization are removed from the respective accounts and resulting gains or losses are reflected in earnings. Depreciation and amortization is computed on the straight-line method over the estimated useful lives of the assets for financial statement purposes and accelerated methods for income tax purposes. Leasehold improvements are depreciated over the lesser of the life of the lease or the estimated useful life of the asset.

Capitalized Curriculum Development Costs: The Company internally develops curriculum, which is primarily provided as web content and accessed via the Internet. The Company capitalizes curriculum development costs incurred during the application development stage in accordance with ASC 350-40, *Internal - Use Software*. Costs that qualify for capitalization are external direct costs, payroll and payroll-related costs. Costs related to general and administrative functions are not capitalized and are expensed as incurred. Capitalized curriculum development costs of \$367,529 were incurred during the year ended December 31, 2011. Total capitalized curriculum development costs were \$624,396 at December 31, 2011 and are classified in property and equipment. Curriculum costs capitalized as part of the purchase by NCU Holdings, LLC are included in intangible assets by the Company at December 31, 2011 and are being amortized over their estimated useful life as determined at time of purchase.

Deferred Financing Fees: Deferred financing fees were paid in conjunction with obtaining bank financing with the stock purchase of the Company. The deferred financing fees are being amortized using the interest method over the contractual term of the debt. Deferred financing cost amortization expense amounted to \$356,520 for the year ended December 31, 2011.

	<u>Amount</u>
Deferred Financing Fees	\$ 1,935,571
Accumulated Amortization	<u>(1,116,694)</u>
Deferred Financing Fees, net	<u>\$ 818,877</u>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

Goodwill: Goodwill represents the excess of costs over the fair value of the tangible assets and liabilities and identifiable intangible assets of the business acquired. The Company adopted the provisions of FASB ASC 350. Goodwill and certain separately identifiable intangible assets acquired in a purchase or business combination and determined to have an indefinite useful life are not amortized, but instead are tested for impairment annually or more frequently if events and circumstances indicate that the assets might be impaired, in accordance with the provisions of FASB ASC 350. An impairment charge is recognized to the extent that the carrying amount exceeds the asset's fair value. No impairment charges resulted from the required impairment test.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to December 31, 2011 to determine the need for any adjustments to and/or disclosure within the financial statements for the year ended December 31, 2011. Management has performed their analysis through May 17, 2012, the date the financial statements were available to be issued. (See Note 14.)

Fair Value of Financial Instruments: The Company follows FASB ASC 820, Fair Value Measurements and Disclosures. FASB ASC 820 establishes a common definition for fair value to be applied to U.S. GAAP requiring use of fair value, establishes a framework for measuring fair value, and expands disclosure about such fair value measurements. FASB ASC 820 defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date (exit price). FASB ASC 820 classifies the inputs used to measure fair value into the following hierarchy:

Level 1: Quoted prices (unadjusted) for identical assets or liabilities in active markets that the entity has the ability to access as of the measurement date.

Level 2: Significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.

Level 3: Significant unobservable inputs that reflect a reporting entity's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

Fair values for cash and cash equivalents, receivables, and accounts payable approximate carrying values for these financial instruments since they are relatively short-term in nature. The carrying amount of debt approximates fair value due to either length of maturity or existence of interest rates that approximate prevailing rates. Interest rate swaps and caps are used to hedge the Company's exposure to fluctuations in interest on certain variable rate debt, and are recorded at fair value. The differentials to be received or paid are recognized as adjustments to interest expense.

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

The fair value of derivative contracts is determined using quoted market prices and significant other observable inputs. Such financial instruments consist of an interest rate swap. Interest rate swaps do not have observable market quotes. For these financial instruments the Company's swap counterparty provides an annual valuation using the difference between the fixed rate paid by the Company and the counterparty's interest rate forecast discounted at the swap yield curve. The models are based on observable inputs for forward interest rates and discount rates. As such, these derivative instruments are classified within Level 2 of the fair value hierarchy.

Intangible Assets: As a part of the Company's acquisitions, management determined that certain amortizing identifiable intangible assets existed at the acquisition dates. These assets were recorded at fair value as of the acquisition date and are being amortized using the straight-line method over the estimated useful lives of the respective assets. The intangibles are identified as follows:

	<u>Estimated Lives (Years)</u>	<u>Amount</u>
Trade name	50	\$ 6,859,930
Student relationships	15	2,600,975
Compass software	5	1,827,100
Accreditations	50	3,192,140
Developed curriculum	10	<u>974,705</u>
		15,454,850
Accumulated Amortization		<u>(2,512,003)</u>
Total		<u>\$ 12,942,847</u>

Future amortization expense is as follows:

<u>Years ending December 31:</u>	<u>Amount</u>
2012	\$ 837,331
2013	837,331
2014	471,911
2015	471,911
2016	471,911
Thereafter	<u>9,852,452</u>
Total	<u>\$ 12,942,847</u>

Amortization expense for these intangible assets amounted to \$837,336 for the year ended December 31, 2011.

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)**

Impairment of Long-Lived Assets: The Company periodically evaluates potential impairments of its long-lived assets, under the provisions of ASC 360, whenever events or changes in circumstances indicate that the carrying values may not be recoverable. The Company evaluates the projected undiscounted cash flows related to the assets. If these cash flows are less than the carrying value of the assets, the Company measures the impairment using discounted cash flows or other methods of determining fair value. Long-lived assets to be disposed of are carried at the lower of cost or fair value less estimated costs of disposal. No impairment was recorded during the period ended December 31, 2011.

Revenue Recognition: Tuition is recognized by the proportional performance method where revenue is recognized on a straight line basis as instruction is provided (over the course length). Unearned tuition represents tuition billed to the student for courses not yet completed at the balance sheet date.

Students' Credit Balances: Students' credit balances represents the prepaid tuition amounts paid by students for courses not yet taken.

Derivatives: The Company enters interest rate swap agreements as part of its interest rate risk management strategy, not for speculation. Although the Company believes the derivatives would qualify as a hedge, it has elected for simplicity to report the instruments as freestanding derivatives. As a result, gains and losses are recognized in current earnings. (See Note 14.)

The Company discontinues hedge accounting when it determines that the derivative is no longer highly effective in offsetting changes in the cash flows of the hedged item, the derivative is settled or terminates, the hedged item no longer exists, a hedged forecasted transaction is no longer probable, or treatment of the derivative as a hedge is no longer appropriate or intended.

Cash flows on these derivatives are classified in the cash flow statement as investing, unless there is an other-than-insignificant financing element at inception, in which case, cash flows are classified as financing.

**NOTE 2 - LONG-TERM DEBT**

Long-term debt at December 31, 2011, consists of the following:

Term loan		\$ 2,660,000
Amortization of debt discount	\$ 325,818	
Subordinated note	<u>20,796,479</u>	
		<u>21,122,297</u>
		23,782,297
Less: Current portion of debt		<u>1,800,000</u>
Long-term debt		<u>\$ 21,982,297</u>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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NOTE 2 - LONG-TERM DEBT (Continued)

The Company obtained a Term Loan for \$7,500,000 dated December 31, 2008. The Term Loan required accelerated principal payments beginning at \$300,000 due quarterly beginning on March 31, 2009. Interest is charged at variable rates using a base rate plus an applicable margin. The effective rate at December 31, 2011 was 3.76% (prime rate plus 2.00%). The credit agreement underlying the term loan contains covenants that require the maintenance of certain defined financial ratios and limits capital expenditures. The Company was in compliance with all of these covenants at December 31, 2011 and at the subsequent testing period. The term loan is secured by substantially all assets of the Company including restricted cash of \$5,000,000 at December 31, 2011. This note was repaid subsequent to year-end. (See Note 14.)

On December 31, 2008, the Company also issued \$20,000,000 of subordinated debt through Falcon Strategic Partners III, LP. Principal is due in full upon the maturity date of September 30, 2014. This loan accrues interest at a fixed rate of 14.76%. A portion of the interest is paid in cash quarterly at (12.0%), with the remaining (2.76%) paid-in-kind portion (interest accrued but unpaid) being paid at the end of the term. There was no unpaid cash interest at December 31, 2011. This loan can be prepaid with a premium ranging from 0% to 2% depending on the timing, in accordance with the agreement.

Pursuant to the credit agreement, on December 30, 2008, the Company issued to Falcon Strategic Partners III, LP warrants to purchase 6,517 shares of its common stock, which was 1.90% of the fully diluted outstanding shares of the Company on the acquisition date. The proceeds from the credit agreement were allocated between the term notes and the warrants, with the initial value attributed to the warrants accounted for as members' equity. The fair value of the warrants is recorded as a discount to the subordinated debt. The discount is being amortized over the life of the debt and the related current year amortization is included in interest expense.

Maturities of principal on the Term Loan and subordinated note as of December 31, 2011 are as follows:

Years ending December 31,	
2012	\$ 1,800,000
2013	860,000
2014	<u>21,122,297</u>
Total	<u>\$ 23,782,297</u>

NCU HOLDINGS, LLC AND SUBSIDIARY  
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**NOTE 3 - CAPITAL LEASE OBLIGATIONS**

The Company leases furniture and equipment under leases classified as capital leases. These leases expire in 2012. Aggregate annual payments on capital lease obligations at December 31, 2011 are:

Year ending December 31, 2012	\$ 27,615
Less: amount representing interest	<u>(1,362)</u>
	<u>\$ 26,253</u>

Furniture and equipment under capital leases are as follows:

Cost of furniture and equipment	\$ 583,895
Accumulated depreciation	<u>(562,390)</u>
Net book value of capital leases	<u>\$ 21,505</u>

**NOTE 4 - LETTER OF CREDIT**

The Company amended its letter of credit arrangement with Charter One effective October 1, 2011 to a total of \$10,400,000. This Letter of Credit will expire September 30, 2012 and is for the U.S. Department of Education in connection with the Title IV Programs. A rate of 2.75% per annum on the maximum undrawn amount will be charged. The Letter of Credit fees are paid quarterly and no amount is due at December 31, 2011. Letter of Credit fees paid in the fiscal year ended December 31, 2011 were \$609,002 and are included in interest expense. No amount has been drawn on the Letter of Credit.

**NOTE 5 - RELATED PARTY TRANSACTIONS**

During 2011, the Company has lease payments and management fees to shareholders of the Company. The amount of rent paid for the period ended December 31, 2011 was \$1,428,396.

During 2011, the Company paid management fees to the shareholders of the Company in the amount of \$426,250.

Note payable in the amount of \$21,122,297 was owed to a related party. (See Note 2.)

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 6 - INCOME TAXES**

The provision for income taxes consists of the following:

Current - federal, including penalties	\$ 3,184,451
Current - state	754,715
Deferred- federal and state	(876,073)
Deferred- federal and state, prior period	<u>(97,341)</u>
	<u>\$ 2,965,752</u>

As of December 31, 2011, the Company has paid federal and state 2011 estimated income tax payments of \$3,484,763. The estimated balance owed at December 31, 2011 is \$500,063 for federal and state taxes, which are recorded as income taxes payable on the balance sheet.

Deferred income taxes on the balance sheet at December 31, 2011 include deferred tax assets, (no valuation considered necessary) and deferred tax liabilities as follows:

Deferred tax assets:	
Accrued vacation	\$ 90,214
Accrued bonus	(3,019)
Derivative instruments	21,495
VDA state tax benefit	25,606
Unit-based compensation expense	130,955
Allowance for doubtful accounts	<u>1,460,923</u>
Total deferred tax asset	1,726,174
Deferred tax liabilities:	
Depreciation	(652,014)
Amortization	<u>(5,036,115)</u>
Total deferred tax liability	<u>(5,688,129)</u>
Deferred income taxes, net	<u>\$ (3,961,955)</u>

Deferred tax assets and liabilities consist of the following:

Current deferred tax asset	\$ 1,726,174
Long-term deferred tax liability	<u>(5,688,129)</u>
Deferred tax liability	<u>\$ (3,961,955)</u>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
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December 31, 2011

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**NOTE 7 - MEMBERS' EQUITY**

**Preferred units:** The Company has issued 74,608 of preferred units in the amount of \$13,000,000. The units yield a preferred return of 12% and increases to 15% at July 1, 2015. The units contain preferred redemption features, as defined, based upon various future events of the Company or mandatory redemption based upon a default of the subordinated debt. These units can be converted to common units based on the preferred unit conversion rate as defined by the operating agreement. The cumulative preferred return at December 31, 2011 amounted to \$5,534,892.

**Series A & B Contingent Value Units:** The Company has issued 25 Series A and 75 Series B Contingent Value units to the former sole stockholder of Innova Management Group, Inc. from the acquisition discussed in Note 1. The units are no longer subject to cancellation if the Company achieves certain earnings targets for years ending 2009-2011. No value was placed on these units when the units were granted at December 30, 2008 as the former stockholder's carryover basis from Innova Management Group, Inc. has been adjusted in accordance with applicable accounting guidance.

The Series A Contingent Value Units have become non-cancellable pursuant to the terms in the Company's LLC Agreement as the earnings target for 2009 was achieved. The Series B Contingent Value Units became non-cancellable as earnings target pursuant to the LLC agreement was achieved in 2010. These units have been cancelled as a result of the transaction described in Note 14.

**Common units:** The Company has issued 236,130 common units in the amount of \$16,515,406. The units consist of capital contributed of \$16,000,000 and carryover basis of the stockholder in the predecessor company of \$515,406. Total authorized common units are 342,978 of which 236,130 are issued and outstanding. Of the total amount, 40,000 are reserved for issuance pursuant to the terms of the unit stock option plan, 74,608 are reserved for conversion of the preferred units, and 6,517 are reserved for exercise of warrants. (See Note 14.)

**Warrants:** Pursuant to the subordinated debt agreement with Falcon Strategic Partners III, LP, the company has issued warrants to purchase 6,517 shares of its common stock. The initial value of the warrants was \$651,635 based upon an estimate of the Company's fair value at the time the warrants were issued.

**Unit Options:** The Company has a Unit Option Plan for executives and key employees. The number of units with respect to which options may be granted under the Plan is 39,211. At December 31, 2011, 35,587 units have been granted, and none have been exercised. (See Note 11.)

**Voting rights:** Each of the units carry voting rights based on common unit equivalents in accordance with redemption features as defined in the members' operating agreement.

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NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
December 31, 2011

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**NOTE 8 - RETIREMENT PLAN**

The Company has a 401(k) plan which covers all eligible employees who are at least 21 years old and have completed three months of service. Eligible employees may elect to defer a portion of their salaries and contribute to the plan, subject to federal limitations. Northcentral University is a member of a controlled group for this plan.

Employees are 100% vested in their deferred contribution. Employees are vested in the Company's matching contribution and nonelective contributions as follows:

<u>Years of Service</u>	<u>Vested %</u>
Less than 1 year	0%
At least 1 year, but less than 2	20%
At least 2 years, but less than 3	40%
At least 3 years, but less than 4	60%
At least 4 years, but less than 5	80%
5 years or more	100%

The Company may make matching contributions to the plan but is not required to do so. During the year ended December 31, 2011, Northcentral University did not make matching contributions.

**NOTE 9 - COMMITMENTS**

The Company has a non-cancellable lease for administrative offices in Prescott Valley, Arizona. The Company subleases additional offices in Scottsdale, Arizona. On February 4, 2011, the Company signed a new sublease for a new facility located in Scottsdale, Arizona and occupied it in April, 2011. This lease is for 12 months. Under most leasing arrangements, Northcentral University pays the property taxes, insurance, maintenance and expenses related to the leased property. Rental expense recognized for the year ended December 31, 2011 was \$1,904,202, of which \$1,428,396 was paid to a related party. (See Note 5.)

Minimum future obligations on operating leases in effect at December 31, 2011 are:

Year ending December 31,	
2012	\$ 1,647,336
2013	1,515,385
2014	1,560,845
2015	1,607,663
2016	1,655,901
All other years	<u>557,380</u>
Total	<u>\$ 8,544,510</u>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
 NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
 December 31, 2011

**NOTE 9 - COMMITMENTS (Continued)**

In addition, with the cancellation of the Scottsdale, Arizona sub-lease effective May 1, 2011, the Company is obligated to reimburse the tenant a pro-rata amount representing leasehold improvements the tenant provided. The estimated pro-rata reimbursement as of May 1, 2011 is \$46,707 and has been accrued at December 31, 2011.

The Company is currently negotiating to expand its Scottsdale headquarters location. Expansion of an additional 25,000 square feet would either occur in the existing building, or the Company would relocate to other office space to occupy 50,000 total square feet in the Scottsdale area. Rent is expected to increase approximately \$625,000 annually as a result of acquiring the additional space in Scottsdale.

**NOTE 10 - DERIVATIVE INSTRUMENTS**

The Company entered into an interest rate swap agreement on a variable rate borrowing in order to manage changes in market conditions related to its debt obligation. The interest rate swap is used to mitigate risk to changes in the prime rate during the life of the swap and is a component of the Company's asset liability management strategy to reduce the risk that changes in interest rate will change net interest expense. The notional amount of the interest rate swap does not represent amounts exchanged by the parties. The amount exchanged is determined by reference to the notional amount and the other terms of the interest rate swap. (See Note 14.)

Assets and Liabilities Measured on a Recurring Basis: Liabilities measured at fair value on a recurring basis are summarized below:

	Fair Value Measurements at December 31, 2011 using Significant Other Observable Inputs (Level Two)
Derivative liability	\$ <u>55,242</u>

Interest Rate Swaps Not Designated as Hedges: Summary information about the interest-rate swaps not designated as hedges as of year-end is as follows:

	As of <u>December 31, 2011</u>
Notional amounts	\$ 2,928,000
Weighted average pay rates (fixed)	5.93%
Weighted average receive rates (x Mo. LIBOR + 2.17%)	2.47%
Weighted average maturity	4.75 years

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
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**NOTE 10 - DERIVATIVE INSTRUMENTS (Continued)**

Derivative Fair Value: The following table presents the net gains (losses) recorded in income relating to instruments not designated as hedges:

	As of <u>December 31, 2011</u>
Interest rate swaps	<u>\$ 41,801</u>

**NOTE 11 - UNIT OPTIONS**

The Unit Option Plan (the "Plan") was adopted by the Board of Managers of the Company on December 31, 2008 for executive and other key members of the Company. The availability and offering of unit options under the Plan increases the Company's ability to attract and retain individuals of exceptional managerial talent upon whom, in large measure, the sustained progress, growth and profitability of the Company depends. The number of units with respect to which Options may be granted under the Plan and which may be issued upon the exercise thereof shall not exceed, in the aggregate, 39,211 units at December 31, 2011 or such other amount as may be approved by the Board from time to time.

At December 31, 2011, 35,587 units have been granted with 3,624 available for future awards.

The options are considered equity awards under ASC 718.

The fair value of each unit option grant was estimated on the date of grant using the Black-Scholes option pricing model with the following weighted-average assumptions for the years ended:

	<u>2011</u>	<u>2010</u>	<u>2009</u>	<u>2008</u>
Expected dividend yield	0%	0%	0%	0%
Expected volatility	55.0%	60.6%	61.5%	61.0%
Risk-free interest rate	0.27%	1.3%	1.9%	1.5%
Expected term	2.1yrs	3.5yrs	4.7yrs	5.0yrs
Contractual term	10yrs	10yrs	10yrs	10yrs

The expected dividend yield was based on the fact that we have never issued a dividend and have no near term intentions to do so.

Expected volatility for private companies may be estimated based on the average volatilities of otherwise similar public entities that have sufficient historical data to allow comparable and useful information to determine volatility and then applied to the option at grant date.

NCU HOLDINGS, LLC AND SUBSIDIARY  
NOTES TO CONSOLIDATED FINANCIAL STATEMENTS  
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**NOTE 11 - UNIT OPTIONS (Continued)**

Since the company has limited empirical evidence of weighted average historical data related to expected term, the expected term (estimated period of time outstanding) of the unit options granted was estimated based on the SEC's Statement of Accounting Bulletin No. 107 ("SAB 107" updated by "SAB 110") which provides guidance for a simplified method of determining expected term until more empirical data becomes available. This method calculates the average of the weighted vesting period and the contractual term of the options.

The risk-free interest rate assumption was based on the interest rate of U.S. Treasuries on the dates the options were granted.

Unit option activity is as follows:

	<u>Unit Options</u>		
	<u>Options (b)</u>	<u>Weighted</u>	<u>Cumulative</u>
	<u>Outstanding</u>	<u>Average</u>	<u>Unit-Based</u>
		<u>Exercise Price</u>	<u>Comp Expense</u>
Balance, December 31, 2007	0	\$ 0.00	
Granted	<u>12,004</u>	<u>\$ 100.00</u>	
Balance, December 31, 2008	12,004	\$ 100.00	\$0
Granted	<u>1,715</u>	<u>\$ 100.00</u>	
Balance, December 31, 2009	13,719	\$ 100.00	\$91,481
Granted	<u>7,610</u>	<u>\$ 300.00</u>	
Balance, December 31, 2010	21,329	\$ 171.36	\$204,255 (a)
Granted	<u>14,258</u>	<u>\$ 300.00</u>	
Balance, December 31, 2011	35,587	\$ 222.90	\$ 336,254

The total unit-based compensation expense from unit options recognized in the financial statements was \$131,999 for the year ended December 31, 2011, which reduced net operating income accordingly and was included in payroll, instruction, stock compensation and related costs in the consolidated statement of income. As of December 31, 2011 the total unrecognized costs related to non-vested unit options granted was \$420,396. This expected compensation expense does not reflect any new awards, or modifications to existing awards, that could occur in the future. It is management's current intention to issue new units upon the exercise of unit options, as opposed to reissuing treasury shares.

- (a) Unit-based compensation expense of \$204,255 for options granted and vested in prior years has been recorded as a restatement to retained earnings as of January 1, 2011. This cumulative amount represents prior year unit-based compensation expense that was not properly recorded as an operating expense.
- (b) Certain of the unit-based option grants include both service-based and performance-based criteria. Unit-based compensation expense, included in these financial statements, represents the time-vested portion of the options. Performance-based options are not recorded as expense until the occurrence of the criteria attached to those options is attained.

NCU HOLDINGS, LLC AND SUBSIDIARY  
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**NOTE 12 - CONTINGENT LIABILITIES**

The Company is party to various legal actions arising in the ordinary course of business, none of which management deems significant. While it is not feasible to determine the final outcome of these actions, management believes that sufficient amounts have been accrued for unfavorable outcomes and that these matters will not have a material adverse effect upon the Company's financial condition, operations or cash flows.

**NOTE 13 - COMPLIANCE WITH "90 PERCENT RULE"**

The Company derives a substantial portion of its revenues from Student Financial Aid (SFA) received by its students under the Title IV programs administered by the U. S. Department of Education pursuant to the Higher Education Act of 1965, as amended (HEA). To continue to participate in the SFA programs, the Company must comply with the regulations promulgated under the HEA. The regulations restrict the proportion of cash receipts for tuitions and fees from eligible programs to not more than 90 percent from the Title IV programs. The failure of the Company to meet the 90 percent limitation would result in the loss of the ability to participate in SFA programs. For the year ended December 31, 2011, the Company received \$27,311,169 of Title IV funds and total eligible cash receipts of \$59,018,239, resulting in a percentage of 46.28%.

**NOTE 14 - SUBSEQUENT EVENTS**

Purchase of former shareholder shares

On March 22, 2012 the Company entered into an agreement to purchase the outstanding shares of the former sole stockholder of Innova Management Group, Inc. The purchase was structured with a combination of cash and debt to acquire the shares. The details of the purchase are summarized below:

<b>Sources</b>	
Term Loan dated March 22, 2012	\$ 20,000,000
Cash on hand	<u>8,007,986</u>
<b>Total</b>	<b><u>\$ 28,007,986</u></b>
 <b>Uses</b>	
Share redemption price	\$ 25,000,000
Payoff term loan dated December 31, 2008 (interest included)	2,666,090
Fees	<u>341,896</u>
<b>Total</b>	<b><u>\$ 28,007,986</u></b>

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NCU HOLDINGS, LLC AND SUBSIDIARY  
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**NOTE 14 - SUBSEQUENT EVENTS (Continued)**

The Term Loan requires monthly principal payments in varying amounts beginning April 30, 2012. The 2012 principal payments are \$500,000 per quarter. Interest is charged at variable rates using a base rate plus an applicable margin. The effective rate is calculated at March 22, 2012 at 3.76% (prime rate plus 2.00%). The credit agreement underlying the term loan contains covenants that require the maintenance of certain defined financial ratios and limits capital expenditures. The Company meets those covenants at the time of the transaction. The term loan is secured by substantially all assets of the Company. Restricted cash is no longer a requirement. In addition to the new term loan, an undrawn Line of Credit in the amount of \$2,000,000 was extended to the Company for use as necessary.

As a result of the purchase of the former shareholder's shares, referred to above, the subsequent event transaction will reduce Members' Equity by approximately \$25,000,000 in the future.

Derivative Instruments

On April 4, 2012, the Company terminated its interest rate swap agreement in effect at December 31, 2011. The termination of the swap agreement was executed in conjunction with the acquisition of the shares of the former sole shareholder. A fee of \$46,702 was incurred to terminate the agreement. The fee will be classified as interest expense in April, 2012.

Effective April 4, 2012 the Company entered into a new interest rate swap agreement. The new agreement will be designated as an effective hedge and will be classified in Other Comprehensive Income.





Statement from the President and CEO

Northcentral University is committed to the delivery of its online programs. While our institution is not located in the state of Iowa, we still take our responsibilities to Iowa residents seriously. Northcentral University provides high-quality education to students around the world.

In addition, in the unlikely event of the closure of Northcentral University, we agree to provide alternatives for students to complete their programs at other institutions.

Signed,

George A. Burnett  
President and CEO  
Northcentral University



## Home > 8 - STUDENT RIGHTS AND RESPONSIBILITIES > Student Grievances

In the event that a student has a complaint or dispute with the University regarding the University's application of policies and procedures, its decisions, or judgments, the student has a right to seek a satisfactory resolution through the formal avenues of appeal and/or grievance. A grievance may not be filed if other avenues such as filing a "Concern" or an "Appeal" are available to the student.

### Escalation Procedures

Students are encouraged to attempt to resolve all concerns informally and at the lowest levels possible prior to escalation. Escalation procedures support timeliness, quality, accountability, and ensure that the appropriate levels listen and resolve matters in an efficient and effective manner. Additionally, it allows those closest to the problem the ability extend the highest levels of support services.

Support services include but are not limited to the coordination and collaboration with required team members in pursuit of an student's required response. Students, who escalate matters prematurely, will see that their concerns are re-routed through the escalation process in accordance with this policy unless it is determined through review that the matter is best addressed at higher levels.

### Expected Escalation Levels for Resolution

1. Academic Advisor/ Financial Services Advisor/ Faculty
2. Academic Liaison Associate Director of Student Services  

(Note: Dissertation Students are required to work through problems and concerns with their Committee Chair. See the Dissertation Handbook for guidance in these matters. If a student is unable to resolve an issue with the Chair regarding dissertation protocols, then the student may use these resolution methods.)
3. Student Submission of Electronic "Concern": Auto-routed to Functional Team Leaders for resolution. (Note: Simultaneously, the "Concern" is routed to the Office of Compliance Management for review and alternate routing if necessary including the escalation of a concern to a grievance level complaint.)
4. Grievance: A grievance is a formal complaint that has not been resolved at other levels within the University. Note: Being adequately addressed does not mean that the decision was necessarily made in the student's favor. It means that the matter is afforded due diligence and is adjudicated in accordance with ethics, academic integrity, policies, regulations, and laws.
5. Appeals of final grades must use the appeal process defined in "Appealing a Final Grade" in the Northcentral University Catalog. Review carefully the directives on appeals as often the decisions of Deans in these matters are not grieve-able.(Note: Other Appeals include but are not limited to: SAP, academic dismissal, administrative

dismissal, and re-admission. Students should refer to the catalog for details on advancing these types of appeals.)

**Adjudication**

Formal grievances are reviewed by the appropriate senior leader (i.e., the Chief Academic Officer and Provost for all academic decisions) and are considered final. Students can locate the "Concerns" link on the Student Portal.

Students may not grieve the stated or published policy of Northcentral University.

Students may file a complaint with the Arizona State Board for Private Postsecondary Education. The student must contact the State Board for further details.

**PROCEDURE: FILING A CONCERN**

<i>Responsibility</i>	<i>Action</i>
<p><b>Student</b></p>	<p>1. Complete the "Concerns" link on the Student Portal once other informal methods of resolution have been exhausted. Be specific when completing the online Concern screen with the following information:</p> <ul style="list-style-type: none"> <li>• The complaint</li> <li>• Other methods of resolution that have been used unsuccessfully to resolve this issue</li> <li>• Description of events leading to the grievance;</li> <li>• Remedy or resolution being requested.</li> </ul> <p>Students are expected to allow for the due diligence of review and investigation to occur prior to submission of a follow-up or attempted escalation of the same problem.</p> <p><b>Automated Alarm/Confirmation</b> - Upon submission of a Concern, it is auto-routed to the appropriate functional team leader as selected by the student during the form completion process AND to the Office of Compliance Management. An email confirming submission of the Concern is sent to the student.</p> <p>2. Review the submission and determine:</p> <ul style="list-style-type: none"> <li>• additional parties at the functional level that should participate in the review and resolution</li> </ul>

<p><b>Office of Compliance Management</b></p>	<ul style="list-style-type: none"> <li>• based on the escalation protocols, if the matter should be escalated to the Office of Compliance Management for investigation</li> </ul>
	<p>3. If OCM determines escalation is appropriate, assign an investigator, open a case file, and conduct an investigation.</p>
	<p>4. Contact the student to determine understanding of the matter and to attempt informal closure. If that is not possible, continue the investigation.</p>
	<p>5. Send results to the appropriate senior leader (i.e., the Chief Academic Officer and Provost) for review and adjudication.</p>
	<p>6. Communicate the decision to the individual within 20 days (including weekends). Send communications via hardcopy letter, the Compass messaging system, and personal email if one is available on the student record.</p> <p><b>Investigation Requires More Than 20 Days</b> – If execution of proper due diligence requires more than 20 days, maintain regular contact with the student to ensure he/she is aware of the status of the investigation.</p>
	<p>7. Provide copies of the communication to NCU departments as appropriate and place a copy of the letter in the student's journal. Decisions made at this level are final and cannot be grieved nor appealed.</p>

**NOTE:** If the student complaint cannot be resolved after exhausting the Institution's grievance procedure, the student may file a complaint with the Arizona State Board for Private Postsecondary Education. The student must contact the State Board for further details. The State Board address is: 1400 W. Washington, Room 260, Phoenix, AZ 85007, Telephone: (602) 542-5709, Web site: [www.ppse.az.gov](http://www.ppse.az.gov).



# STATE OF ARIZONA



Office of the  
**CORPORATION COMMISSION**  
CERTIFICATE OF GOOD STANDING

To all to whom these presents shall come, greeting:

I, Ernest G. Johnson, Executive Director of the Arizona Corporation Commission, do hereby certify that

**\*\*\*NORTHCENTRAL UNIVERSITY, INC.\*\*\***

a domestic corporation organized under the laws of the State of Arizona, did incorporate on August 24, 1998.

I further certify that according to the records of the Arizona Corporation Commission, as of the date set forth hereunder, the said corporation is not administratively dissolved for failure to comply with the provisions of the Arizona Business Corporation Act; and that its most recent Annual Report, subject to the provisions of A.R.S. sections 10-122, 10-123, 10-125 & 10-1622, has been delivered to the Arizona Corporation Commission for filing; and that the said corporation has not filed Articles of Dissolution as of the date of this certificate.

This certificate relates only to the legal existence of the above named entity as of the date issued. This certificate is not to be construed as an endorsement, recommendation, or notice of approval of the entity's condition or business activities and practices.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of the Arizona Corporation Commission. Done at Phoenix, the Capital, this 30th Day of October, 2012, A. D.



A handwritten signature in black ink, appearing to read "EG Johnson".

Executive Director

By: \_\_\_\_\_ 830029

