



March 31, 2010

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Dear Ms. Wagner:

Hornby Zeller Associates, Inc. is very pleased to submit a proposal and bid in response to RFQ BCF10074 for "Child Abuse Prevention Grantees Protective Factors Evaluation Project." As you will see from the attached proposal, our firm specializes in social services research. We have been operating for fifteen years and have worked in over 30 states. One of the principals of the firm, Helaine Hornby, M.A., was the founder and director for eight years of one of the national child welfare resource centers (Organizational Improvement, University of Southern Maine); the other, Dennis Zeller, Ph.D., was a top administrator in the New York Department of Social Services. We are pleased to offer as Project Director Darshana Spach, M.Ed., who is an early childhood and prevention specialist.

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Our firm has performed many projects requiring complex methodologies and data analysis, such as the reliability validity study conducted for the Ohio Department of Job and Family Services of its Family Risk Assessment Matrix. We have also evaluated programs whose goal is to strengthen families of young children and prevent child abuse and neglect. An example is the firm's statewide evaluation of the Maine Home Visiting initiative. Similar to your program, it is operated out of the Bureau of Child and Family Services and involves contracts with a dozen grantees. We have been evaluating the effort since 2002. In the process, we have developed a web-based case management system which is in use by all home visitors and managers throughout the state. We also work with the grantees to administer an annual survey to all families who were enrolled in the past year. We produce reports for each grantee, as well as a statewide report combining data from the family survey and web-based application.

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Hornby Zeller Associates, Inc. is registered with the West Virginia Purchasing Division, Vendor Number 817114313. We would be glad to respond to any questions you may have at (207) 773-9529.

Sincerely,

Helaine Hornby, M.A.
Principal

GENERAL TERMS & CONDITIONS
REQUEST FOR QUOTATION (RFQ) AND REQUEST FOR PROPOSAL (RFP)

1. Awards will be made in the best interest of the State of West Virginia.
 2. The State may accept or reject in part, or in whole, any bid.
 3. Prior to any award, the apparent successful vendor must be properly registered with the Purchasing Division and have paid the required \$125 fee.
 4. All services performed or goods delivered under State Purchase Order/Contracts are to be continued for the term of the Purchase Order/Contracts, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods this Purchase Order/Contract becomes void and of no effect after June 30.
 5. Payment may only be made after the delivery and acceptance of goods or services.
 6. Interest may be paid for late payment in accordance with the *West Virginia Code*.
 7. Vendor preference will be granted upon written request in accordance with the *West Virginia Code*.
 8. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.
 9. The Director of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.
 10. The laws of the State of West Virginia and the *Legislative Rules* of the Purchasing Division shall govern the purchasing process.
 11. Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon mutual written agreement of the parties.
 12. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, the State may deem this contract null and void, and terminate such contract without further order.
 13. **HIPAA BUSINESS ASSOCIATE ADDENDUM:** The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, is available online at www.state.wv.us/admin/purchase/vrc/hipaa.htm and is hereby made part of the agreement. Provided that the Agency meets the definition of a Cover Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the vendor.
 14. **CONFIDENTIALITY:** The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in <http://www.state.wv.us/admin/purchase/privacy/noticeConfidentiality.pdf>.
 15. **LICENSING:** Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, and the West Virginia Insurance Commission. The vendor must provide all necessary releases to obtain information to enable the director or spending unit to verify that the vendor is licensed and in good standing with the above entities.
 16. **ANTITRUST:** In submitting a bid to any agency for the State of West Virginia, the bidder offers and agrees that if the bid is accepted the bidder will convey, sell, assign or transfer to the State of West Virginia all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to the bidder.
- I certify that this bid is made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership, or person or entity submitting a bid for the same material, supplies, equipment or services and is in all respects fair and without collusion or fraud. I further certify that I am authorized to sign the certification on behalf of the bidder or this bid.

INSTRUCTIONS TO BIDDERS

1. Use the quotation forms provided by the Purchasing Division. Complete all sections of the quotation form.
2. Items offered must be in compliance with the specifications. Any deviation from the specifications must be clearly indicated by the bidder. Alternates offered by the bidder as **EQUAL** to the specifications must be clearly defined. A bidder offering an alternate should attach complete specifications and literature to the bid. The Purchasing Division may waive minor deviations to specifications.
3. Unit prices shall prevail in case of discrepancy. All quotations are considered F.O.B. destination unless alternate shipping terms are clearly identified in the quotation.
4. All quotations must be delivered by the bidder to the office listed below prior to the date and time of the bid opening. Failure of the bidder to deliver the quotations on time will result in bid disqualifications: Department of Administration, Purchasing Division, 2019 Washington Street East, P.O. Box 50130, Charleston, WV 25305-0130
5. Communication during the solicitation, bid, evaluation or award periods, except through the Purchasing Division, is strictly prohibited (W.Va. C.S.R. §148-1-6.6)

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UNDERSTANDING OF REQUEST

Evaluating programs and services that are designed to *prevent* something from occurring poses interesting challenges to the professional social scientist. Yet considerable progress has been made over the past 20 years in developing methodologies to do just this. Some approaches look at changes in community indicators, some look at changes in a particular population that has been targeted, and others look at changes in the individuals who have been served. West Virginia's Child Abuse Prevention Grantees Protective Factors Evaluation Project, as articulated in Request for Proposals BCF 10074, is using the third approach. It aims to measure changes in the families who have participated in one of the four types of prevention programs aimed at strengthening families to prevent child abuse and neglect. The four types of programs are:

- Family Leadership First
- In-Home Family Education Programs
- Partners in Prevention
- Starting Points Family Resource Centers

Specifically the West Virginia Department of Health and Human Resources (DHHR) seeks to design and administer a survey to families who use these four services to determine whether factors have changed in their lives that help prevent child abuse and neglect. With fifteen years of experience in social service program evaluation, Hornby Zeller Associates, Inc., (HZA) is pleased to respond to West Virginia's request for a vendor to assist with the Child Abuse Prevention Grantees Protective Factors Evaluation Project. As will be shown in this proposal, HZA exceeds all of the stated mandatory qualifications and is anxious to assist in this important effort.

DHHR is the lead agency for administering federal funds under the Community Based Child Abuse Prevention (CBCAP) program. This federal funding stream is used to mount programs, services, and activities in the community that are designed to strengthen and support families and to prevent child abuse and neglect. DHHR is seeking expert consultation to fulfill its evaluation and technical assistance mandates.

DHHR began administering the CBCAP nearly five years ago when the Governor's Cabinet on Children and Families was dissolved. At a national level, the program is funded with over \$40 million per year. States are expected to leverage their federal money with state funds, and DHHR uses funds from the Children's Trust Fund as well as state dollars to support services in West Virginia.

As the federal grant recipient, DHHR is responsible for supporting the community agencies administering these services in a variety of ways. These include supporting the operations of the programs, providing technical assistance and evaluation assistance, and providing training.

DHHR is seeking outside support for these functions, with a focus on evaluation. Specifically, DHHR wants assistance in creating a survey tool that can be administered to families in any and all of the programs which measure common items and particularly the protective factors referenced below.

What is Meant by Protective Factors

One of the conceptual foundations of the four types of programs operating in West Virginia is that their effectiveness derives from building on the strengths of families, and particularly what has been labeled “protective factors.” The concept of protective factors has its foundation in resilience research, which focused on the ways people develop competence, confidence, and caring in the face of risk and adversity (Werner & Smith, 1992)ⁱ. Resilience research has grown beyond traditional psychopathology and has been used as a conceptual foundation for substance use prevention, as well as in youth development, family social science, and school effectiveness, among other areas (Constantine et al., 1999).ⁱⁱ However, the precise nature of the relationships between risk and resilience factors, and the conditions under which resilience is best fostered and risk most effectively moderated, are topics of ongoing research. Currently, this positive approach goes by several different names, including developmental assets, protective factors and resilience.

The particular protective factors of focus in DHHR’s programs are:

- Child development/knowledge of parenting
- Family functioning/resiliency
- Social emotional support
- Concrete support
- Nurturing and attachment

Not every funded program in West Virginia will emphasize each factor, but each should include at least one of these. The survey should be designed to see which factors are in play for each family and how they relate to the outcomes the projects are seeking. Child development questions in the survey should look at whether parents have expectations for their children which are appropriate to their age, and whether they understand and use skills to manage their children’s behavior. Family functioning questions should look at whether parents have skills to use in times of crisis or hardship, and whether families can manage problems. Social and emotional support questions should look at whether families believe that there are other people, for example relatives, friends, or clergy, who can help provide for their emotional needs. Concrete support questions should examine whether families believe they can access tangible goods and services such as funds, food and shelter in times of crisis. Finally, nurturing and attachment questions should measure whether the parents and their children have positive interactions that develop over time, as perceived by the parent.

Two survey instruments already exist which measure protective factors for families and are available to the public at no charge. One is the Family Support Outcome Survey

(FSOS) and the other is the Protective Factors Survey (PFS). These were developed by the FRIENDS National Resource Center for CBCAP and the University of Kansas. The Protective Factor Survey was rigorously tested and validated in two multi-state field tests. Two key conclusions have been drawn from the research. One is that the instrument is a valid and reliable tool for measuring family protective factors against child abuse and neglect; the second is that it is legitimate to administer the survey to families as a “retrospective pre-test,” that is only one time at the end of services. Such survey administration has been shown to serve as a valid measure of change over time (University of Kansas, 2009)ⁱⁱⁱ without the burden of using costly, matched sample of pre- and post-tests. The survey that will be developed or adapted as part of this project will rely heavily on these two resources. As shown in the next section, HZA will perform the others tasks required of the Request for Proposals as well.

METHODOLOGY AND WORKPLAN

As outlined in the RFP, HZA will accomplish six major tasks (assuming the second year is funded).

Task 1: Family Support Outcome Survey Analysis

We understand that the surveys that have already been administered to families by the sixteen Starting Points Family Resource Centers have not yet been entered into the existing database, nor have they been analyzed. HZA will work with the Early Care and Education Division to access the surveys, to enter them into the existing ACCESS database and to analyze these data.

HZA will generate a statewide report based on the approximately 125 responses that have been received. The RFP asks for Center-specific reports as well as the statewide one. HZA will produce those reports, but with only 125 responses statewide, there would be less than ten responses per center on average. Extreme caution would have to be used in interpreting the results from such small numbers. However, in the Center-specific reports we will compare Center results to the statewide averages to give the Center a state-specific reference for its own results. The analysis will be based in part on existing FSOS database parameters, including demographic information and measures of change on retrospective test items. At least in the statewide report the analyses will incorporate cross-tabulations so state staff can determine if the service is relatively more successful with specific population groups, for example younger or older families, or large or small ones.

Deliverable: FSOS Reports for each Starting Points Center
Statewide Report (added deliverable, no extra cost)

Timeframe: 30 days after grant award

Activities/Staff:

ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Data Entry	Battis	6
Data Analysis	Ferguson	8
Report Writing and Production	Spach	16
TOTAL		30

Task 2: Technical Assistance

HZA will work with a Bureau of Children and Families (BCF) advisory group to finalize the new survey that will be used will all of the funded CBCAP programs. Through this task, HZA's technical assistance will relate to the psychometric properties of the instrument itself that will be finalized; the process for administering the tool including fidelity to the original design; and the potential reliability of the tool and the resulting

findings. HZA will verify with the FRIENDS National Resource Center for Community-based Child Abuse Prevention that it has all the relevant research and guidance materials associated with the Protective Factors Survey and the Family Support Outcome Survey. We have already reviewed not only the surveys and user's materials but also the research studies conducted by the Institute for Educational Research & Public Service at the University of Kansas. It appears that unlike the Protective Factors Survey, the psychometric properties of the Family Support Outcome Survey have not yet been finalized, at least in published form.

HZA will use its expert knowledge both of psychometrics and of the subject matter to provide technical assistance to a BCF workgroup as it develops the final survey. The technical assistance will occur through in-person meetings and web-based seminars (webinars) or conference calls. HZA will begin by meeting with BCF in person to see how well this past year's survey administration has gone; what issues or concerns it has about constructing a valid cross-program and cross-site survey, what issues it wants explored, and what might be considered non-negotiable from BCF's perspective, if anything. Then HZA will work with BCF to determine how long and what specific form the technical assistance will take. HZA has a business relationship with WEBEX, through which it currently conducts webinars. However, if the BCF uses other vendors for this purpose, that will be accommodated. While HZA will be presenting at three meetings towards the end of the project, we expect the Technical Assistance deliverable will require no more than three additional in-person meetings (including the first), with the rest handled by webinar and/or conference calls. We understand that some of the assistance will be in response to specific questions posed by the BCF. HZA will be prepared to conduct research and present both verbal and written responses to the questions, as well as conduct dialogues about our findings through the webinars and conference calls. By the end of the technical assistance HZA will have addressed the issues of tool content, fidelity, reliability and delivery mechanisms, among other areas that might be raised by BCF.

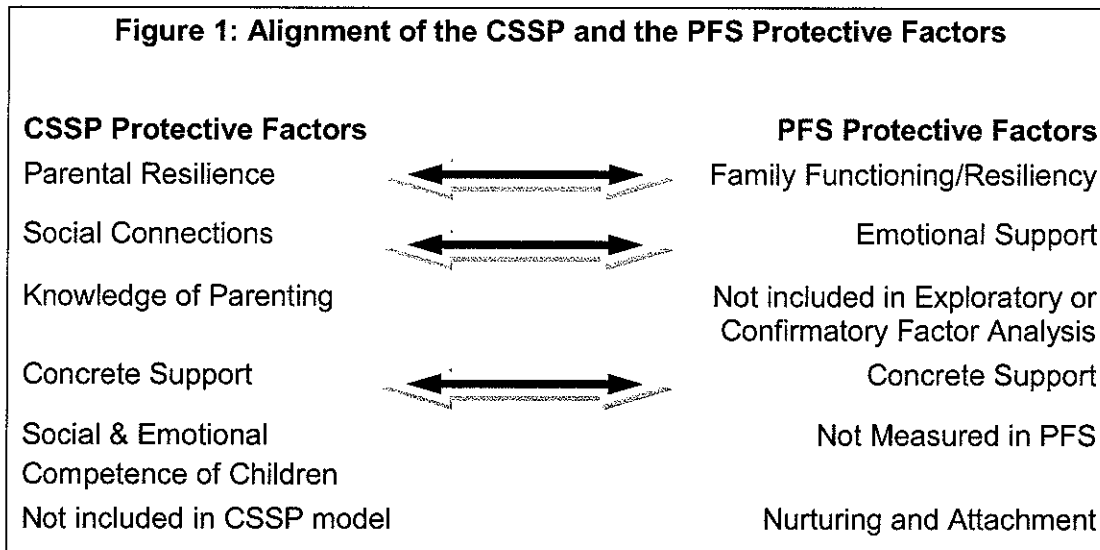
- Deliverables:** Verbal and written reports for research-related questions as requested
 Up to three in-person meetings
 Webinars and/or conference calls upon request
- Timeframe:** Ongoing as needed throughout contract

Activities/Staff:

ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Research on all aspects of PFS and FSOS	Spach/Ferguson	24
Receive and develop responses to questions	Spach/Ferguson	32
Discuss responses in person	Spach	24
Discuss responses through webinars and/or conference calls	Spach/Ferguson	20
TOTAL		100

Task 3: Preparation/Development of User-Friendly Client Survey

This task involves adapting or developing the family survey itself. The survey must measure the factors that have been demonstrated to help protect families from child abuse and neglect. Protective factors in the child abuse and neglect context were first identified in the Center for the Study of Social Policy's (CSSP) model and subsequently adapted by the Institute for Educational Research & Public Service. Figure 1 below shows the relationship between the factors initially identified and the factors currently tested in the Protective Factors Survey.



Ultimately, there was a direct correlation on only the three domains shown with linked arrows in Figure 1: family functioning/resiliency; emotional support; and concrete support. These are three of the five protective factors identified by West Virginia DHHR that should be included in any statewide survey. As for the two remaining factors in West Virginia's lexicon (child development/knowledge of parenting and nurturing and attachment), the Protective Factors Survey identifies and tests nurturing and attachment, even though the Center for the Study of Social Policy does not, while child development/knowledge of parenting items were not included in the University of Kansas' exploratory factor analysis because "the nature of these items did not lead to the expectation that they would necessarily be correlated... such items are often termed formative to denote their theoretical relationship to a hypothetical construct" (University of Kansas, p. 9).^{iv} (While they were not tested for their relation to child abuse and neglect, they were found to be stable measures; this is important from the survey construct perspective.) During the preceding Technical Assistance activity and in this one, HZA will assist the BCF in determining whether it is nonetheless important to include items related to these factors, and how they can be validated. There may be other important reasons for their inclusion, such as evaluating the effectiveness of programs in teaching families these skills, even if not directly correlated to abuse and neglect mitigation.

In addition to examining the FSOS and PFS, HZA will gather information concerning current client surveys and advise BCF on client effort and burden in completing the survey. Part of this advice will be derived from examining the 125 surveys completed this past year. To cite likely examples: how many and what types of questions were not completed? Since HZA is aware that questions involving family income were objected to in the University of Kansas pilot study, did we find the same in West Virginia's responses this past year? How long does the survey take to complete (a question that can be empirically tested with volunteer parents)?

In addition to developing a paper version of the client survey, HZA will also write an accompanying Administration Guide which will be targeted toward those staff in the preventive services agencies who will be responsible for administering the surveys.

Once survey content has been approved, HZA will develop a web-based version of the survey in fulfillment of the requirement to develop an electronic version. (If some other form of electronic survey is desired, that can be accommodated.)

This deliverable requires Institutional Review Board (IRB) approval of the survey if deemed necessary. The Human Subject Protections do not apply to some research involving educational tests (cognitive, diagnostic, aptitude achievement), survey procedures, interview procedures, or observation of public behavior. HZA will work with the most appropriate IRB to get a determination. For example, West Virginia University in Morgantown has an operating Human Subjects Review Board as part of its IRB, which meets twice a month. HZA will also review existing informed consent forms and make adaptations as needed.

Deliverables: Paper version of client survey with accompanying administration guide
 Electronic version of client survey
 Institutional Review Board approval of survey if deemed necessary
 Adaptation/development of Informed Consent forms and procedures

Timeframe: Six months after contract award

Activities/Staff:

ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Develop paper version of client survey	Spach/Ferguson	34
Review with BCF for final approval	Spach	8
Create electronic version of client survey	Ferguson	30
Determine if IRB approval is needed; if so, prepare package	Spach	24
Adapt Consent Forms	Spach	4
TOTAL		100

Task 4: Development and Implementation of Collection and Analysis Procedures

This task involves developing or adapting data collection and analysis procedures that place the least burden on program grantees and, of course, families.

HZA is currently administering its client surveys through multiple means: pencil and paper; web-based and telephone surveys. That is, families have their choice, in order to maximize participation. The same options will be available here, which is why an electronic version will be developed (Task 3). HZA's web-based surveys are designed to be user-friendly. They are developed in readable and attractive form and usually provide a "progress bar" for users to see how much of the survey is completed and how much is left to go. If parents want to identify themselves through separate response cards or web links, HZA often uses incentives for families to respond. This generally comes in the form of a gift card drawing from among the families that ask to be included. (Their identifying information is returned separately from the survey.) HZA can explore whether such an approach is of interest in West Virginia.

HZA will work with BCF to determine where the web links should appear for families to use. If the programs collect email addresses of families, HZA can email the link. In addition, it can be placed on the websites that families use in support of these programs. In either event the "back end" of the survey can be on HZA's server so that, at least for the next year, we receive the data directly for purposes of analysis. The web-based version of the survey, while not expected to be broadly used, will help to defray time and effort of grantees when it is used, since the responses will be programmed to go directly into the database. Surveys will not have to be manually entered.

For the other surveys, HZA will create user-friendly data entry screens in a revised Microsoft ACCESS database program. Depending on BCF's wishes, HZA can use the database itself for the first statewide administration of the survey (which will occur in Year 2) and then turn the database over to the grantees for subsequent use, or we can prepare the database for grantee use right away. The database will be placed on the web (HZA's secure server) so that staff can access it remotely.

The data entry home screen will allow users to start a new record, modify an existing record or create a report. In addition to being able to analyze the data, the reports will show how many surveys have been received and from which programs. The database will include programming for analysis of results.

Once the database is finalized, HZA will develop a User's Guide for those staff who will ultimately be using the materials, so that the system can be sustained and maintained by DHHR personnel after the project is over. HZA will also develop PowerPoint materials to train BCF grant managers and program staff on the use of the database for simple analysis.

Deliverables: Written procedure for collection of surveys
 Sustainable development/adaptation of existing PFS/FSOS database
 One training session for BCF grant managers and program staff on use of survey database

Timeframe: Six months after contract award

Activities/Staff:

ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Work with BCF to finalize procedure for survey administration	Spach	16
Develop MS ACCESS database	Ferguson	48
Develop MS ACCESS reports in database	Ferguson	46
Develop user training materials	Spach	24
Deliver training to BCF grant managers	Spach	16
TOTAL		150

Task 5: Implementation of Survey

Whereas the previous task was targeted at developing materials and training DHHR staff on survey input and analysis, this task is geared toward training the grantees on the survey itself and how it should be implemented. HZA will create PowerPoint and handout materials covering the features of the survey, what it is designed to measure, and how it does so; the ways the survey can be administered to families; the ways surveys are supposed to be returned; and what can be expected at the end of the survey administration period – that is, agency-specific reports showing how well their families are doing.

HZA will use the Notes Page feature of PowerPoint to insert talking points for each slide, and will present this material three times at grantee coalition meetings at whatever locations are selected by BCF. After the trainings are completed, HZA will make whatever modifications are needed to the PowerPoint slides and handouts for future use.

Working with BCF, HZA will also determine whether the survey should be piloted first in one community or rolled out statewide. Part of that determination will be based on how different the new survey and procedures are from those used this past year. This decision will be based on a number of other factors as well; for example, identifying whether any elements require further testing, or how well-received the survey and procedures are. If for some reason there is resistance, then it might be useful to develop an “opinion leader” site for testing purposes, so that it can be used to advocate elsewhere.

There should not be too much lag time between the training and the implementation of the survey. People do not retain as much information if they are not asked to use it fairly quickly. We recommend that, if possible, the decision of whether to roll out the survey statewide or pilot test it be made before the training sessions occur, so that HZA can tailor the training to what will be happening in the near future for the groups.

Deliverables: PowerPoint introducing the survey and outlining administration
 Attendance at three grantee coalition meetings to train staff on survey
 Recommendation report advising for a pilot or statewide roll-out plan of the survey

Timeframe: Nine to twelve months after contract award

Activities/Staff:

ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Develop PowerPoint on the survey features and administration using Notes Pages for trainer notes	Spach	14
Review with BCF for final approval	Spach	8
Attend three grantee meetings to deliver the training	Spach	40
Make recommendation about whether the survey should be delivered as a pilot or statewide	Spach	24
Develop written report to support recommendations	Spach	14
TOTAL		100

Task 6: Implementation of Design Survey – Second Year

Assuming the activities that are executed thus far are satisfactory to the BCF Administration and workgroup, HZA will spend the next year implementing the survey, preparing reports and working with BCF to see if alterations are needed for the future.

HZA will monitor and assure quality control functions in the administration of the survey. This will include monitoring how the surveys are being administered, monitoring the response rates, and monitoring the quality of responses (e.g., are the surveys completed and legible). If there are particular grantees or regions of the state for which response rates are low or surveys are not usable, HZA will work with the grantees to determine the reason and to take corrective action.

If grantees perform the data entry functions during the implementation phase, HZA will be available to provide technical assistance. HZA already operates an (800) number toll free Help Desk to support its software applications. The telephone is answered live and locally, and help is delivered immediately by staff who are thoroughly familiar with the software and specific application that is being used.

HZA staff will conduct quarterly meetings with BCF program managers and grantees to respond to questions about survey administration, data entry and/or interpretation of the results. HZA will report at these meetings on how well the process is going, response rates by program type and geographic area and, if desired, can present preliminary results.

HZA expects the survey administration and data entry process to take no more than six months. That leaves the next three months for data analysis and report writing and the final three months to make any revisions as needed for the subsequent year of survey administration.

HZA will produce agency-specific reports, program-wide reports and a statewide report. The agency-specific reports will be for each grantee, comparing their results to all grantees of the same type (e.g., In-Home Family Education Programs), if that is desired. The program-wide reports will show the results of all grantees in each of the four programs (e.g., all Partners in Prevention grantees), perhaps comparing the results to the statewide averages. These reports will show the results in each protective domain (e.g., social and emotional support) and will break down results by family characteristics (e.g., family income or composition) so that BCF can see whether the programs work better with certain types of families than others. The statewide report will show how well all of the programs are doing together in mitigating child abuse and neglect risk factors and in promoting family strengths. At the quarterly meetings HZA will engage BCF in the content and format of the various reports to be sure that they meet both the needs and expectations. The statewide report will be in a format suitable for public distribution.

If any data issues or flaws are uncovered, HZA will work with BCF to identify the changes that are needed. We will modify the electronic survey and Microsoft ACCESS database accordingly.

One additional report will be prepared, which discusses the overall process used in preparing and disseminating the survey, the survey results in more generic terms, and which provides recommendations for ongoing survey administration and measurement. This will be considered the final project report, culminating the two years of effort.

Deliverables:

- Quality control and fidelity task to ensure proper administration of survey
- Ongoing technical assistance to BCF program managers and grantees
- Quarterly meetings with BCF workgroup or grant managers for monitoring and updating
- Collection and analysis of surveys based on previous year's agreed-upon plan, through written reports to DCF and grantees
- Expansion and revision of survey to address data issues or flaws
- Final written report outlining survey results and conclusions to date
- Final report at end of second project year

Timeframe: Thirteen to 24 months after contract award

Activities/Staff:

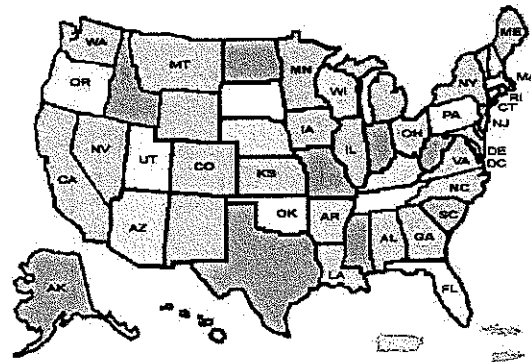
ACTIVITY	STAFF	TIME ESTIMATE (IN HOURS)
Perform quality control activities	Battis/Ferguson	26
Provide ongoing technical assistance to BCF and grantees	Spach	52
Hold quarterly meetings with BCF and grantees	Spach	32
Administer, collect and analyze survey data	Spach, Ferguson, Battis	100
Write up results for each grantee, for each of the four grantee types and for the statewide results	Spach, Ferguson, Battis	160
Revise surveys and database to reflect any flaws	Ferguson, Battis	20
Write final project report		10
	TOTAL	400

MANDATORY QUALIFICATIONS

The tables at the end of each task show the specific HZA staff who will take responsibility for key activities in this project. Since no one person has comparable knowledge and expertise in all of the requirements for a typical project, HZA staffs its engagements using project teams. In this case, HZA is proposing three key staff to work on this project: Darshana Spach, M.Ed., Andrew Ferguson, M.A., and Jennifer Battis, M.Res. Their work will be supervised by Dennis E. Zeller, Ph.D., M.S.S.W., who is HZA's president and one of the two firm's principals. Darshana Spach will serve as the subject-matter expert and Project Director while Andrew Ferguson will serve as the technical expert. In addition, Jennifer Battis will provide research assistance. This combination will ensure the best possible product for DHHR. The attributes of the individuals are described in the third portion of this section, which details the qualifications of the proposed staff. Before that, we present information in fulfillment of two of the other Mandatory Qualifications: Five Years of Experience doing Quantitative and Qualitative Research, and Five Years of Experience in Evaluating Social Service Programs.

Hornby Zeller Associates, Inc. (HZA) is a management consulting, research and evaluation firm which focuses on child and family services including prevention, early intervention, child welfare, and children's mental health among other areas. HZA was founded as Zeller Associates in 1988 by Dennis E. Zeller, Ph.D., M.S.S.W. who was Director of the Bureau of Policy Planning of the Division of Family and Children's Services at the New York State Department of Social Services. The firm became Hornby Zeller Associates, Inc. in 1995 when Helaine Hornby left her post as founder and director of one of the national child welfare resource centers (University of Southern Maine, Organizational Improvement) to become a partner in the firm. HZA now has offices in five states and a total of 40 staff. Offices are located in New York, where HZA is incorporated, Maine, Arkansas, Florida and Pennsylvania. The firm has had contracts in over 30 states, from coast to coast, as shown on the map at right.

HZA Client Locations



HZA has fifteen years of experience in the required areas. We will break out HZA's experience into the following areas required by DHHR:

- 1) Evaluations which include quantitative and qualitative research/evaluation methodologies, data collection, and analysis
- 2) Presentations, dissemination, technical assistance and training
- 3) Database and web development
- 4) Evaluation research involving social service programs

Evaluations Using Quantitative and Qualitative Methodologies, Data Collection, and Analysis

Ohio – Child Protective Needs Assessment

On behalf of Ohio's Department of Job and Family Services (ODJFS), HZA conducted a comprehensive assessment of service needs relating to pre-placement prevention and reunification services as part of the Department's response to a consent decree, *Roe vs. Staples*. For this study, conducted in 1998, HZA staff completed reviews of nearly 1000 case records across 26 counties to identify the services the children and families received. HZA created the case reading instrument, read and manually entered data for selected cases, and performed statistical analyses of these data. Parents, caseworkers, service providers and some children involved in selected cases were then interviewed to determine what needed services were not provided, or were needed but ineffective. To determine what services existed and in what quantity, both public children's services agencies and private service providers were surveyed. While a deficiency was found for some services, a key finding was that ODJFS needed to work with the county agencies to help workers engage and partner with families to help them access existing services, rather than invest in the development of new services.

Ohio – Validity and Reliability Study of the Family Risk Assessment Matrix

In 2001, HZA conducted a reliability and validity study of the state's child abuse and neglect risk assessment tool (the Family Risk Assessment Matrix, or FRAM) to determine whether the tool and the factors it encompasses are sufficiently valid and reliable to guide casework decisions. The contract was with the Ohio Department of Job and Family Services. Using data from Ohio's case management system, HZA's analysts followed a cohort sample of reports and associated families forward in time to determine whether subsequent maltreatment occurred.

The data analysis included a content validity analysis of the FRAM items to assess the correspondence between individual items and their respective baseline scores, between the baseline scores and overall scores and finally between individual items and the overall FRAM score. A criterion validity analysis was also undertaken to assess the extent to which the individual FRAM items and summative scores succeeded in predicting the likelihood of subsequent abuse or neglect. A correlational analysis and regression analysis were also conducted to identify other factors (e.g., allegation type, age of child) which may impact the FRAM score and which items have the most predictive power of assessing future risk of harm. In addition to examining the FRAM and its components to assess its effectiveness, caseworkers were interviewed to determine the extent to which they make their decisions based on the FRAM scores and a survey was administered to both caseworkers and supervisors to obtain their overall impression of the tool's utility.

HZA found that the basic structure of Ohio's risk assessment tool was sound; however, it did not work as well after the initial assessment largely because the policy mandated

its use so frequently that caseworkers did not take the instrument seriously. Largely in accord with the recommendations of the evaluation, the state took steps to revise the tool.

Maine – Co-occurring State Incentive Grant Evaluation

In 2005, HZA was awarded the statewide evaluation component of the Co-occurring State Incentive Grants (COSIG) project in Maine whose focus is the treatment of persons with co-occurring substance related and mental health disorders. The goal of this multi-year project, funded by a grant from the Substance Abuse and Mental Health Administration (SAMHSA) to the State of Maine, is to institute far reaching changes in the services offered to the estimated 10,000 people across the state who experience psychiatric and alcohol or drug-related co-occurring disorders. To create a welcoming system, changes are being tested with diverse populations in thirty pilot sites and then replicated more broadly throughout the state.

As evaluator of the project, HZA has conducted a rigorous assessment of both process and outcome measures to determine whether the changes increase the percent of programs that screen, assess and treat people with co-occurring disorders, and reduce the percent of clients who experience impairment following treatment. HZA created a Microsoft ACCESS data collection tool that tracks clients enrolled in the evaluation who have co-occurring disorders; to date, over 1000 people have been enrolled. HZA extracts the data to perform detailed statistical analyses which relate the demographic information on the population with the treatments received and the outcomes achieved such as reduced hospital stays, reduced emergency room visits, increased employment and reduced criminal justice contact. In addition, HZA created an agency assessment tool to determine whether the 30 pilot agencies were adopting co-occurring practices and in which domains. HZA also conducted focus groups with clients to see what is and is not working. Findings from this evaluation have revealed the extent to which programs are implementing processes to identify and plan for treatment of individuals with co-occurring disorders, and whether interventions are consistently effective in different treatment settings serving diverse ethnic and cultural populations.

Maine – Greater Waterville Prevention Coalition Evaluation

In 2005, HZA was contracted by the Greater Waterville Prevention Coalition to evaluate outcomes for two prevention grants: 1) Drug-free Communities (Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Prevention) and 2) Essential Substance Abuse Prevention Services (Maine Department of Health and Human Services, Office of Substance Abuse). The evaluation of these grants together involved three components. First, HZA assessed the impact of the Olweus Bullying Prevention Program, a SAMHSA-designated model program, on approximately 1,900 middle school children via pre- and post-surveys. The second component was a process and outcome evaluation of the implementation of *Communities Mobilizing for Change on Alcohol*, also a SAMHSA model program. The primary data sources for this evaluation component are the Maine Youth Drug and Alcohol Use Survey (MYDAUS);

interviews with project staff; and reviews of coalition documents. The final component was an assessment of the Coalition's efforts toward developing a comprehensive community-wide coalition. This involved administering an assessment tool with key stakeholders through community site visits.

Georgia – Foster Care Needs Assessment

In 2007, HZA was contracted by the Georgia Department of Human Resources to conduct a needs assessment of foster care placement services for Fulton and DeKalb Counties as part of the *Kenny A.* consent decree. This complex assessment involved an examination of both children in foster care and the resources needed to serve them. HZA's methodology was built around four primary components: needs analysis, gap analysis, tool development for ongoing monitoring, and a final report and resource development recommendations. HZA provided the client with counts of children in need of foster care placement by type of need; a map of communities and resource data using geo-coding technology; projections of children in future need; children in care; a statement of gaps in available resources; and a software program for matching children and foster families. HZA's final report was used in the state's report to the court as well as in developing the types of foster placements needed in one of the two counties involved (Fulton). HZA found that the other county (DeKalb) had adequate resources.

Presentations, Dissemination, Technical Assistance and Training

Maine – State Incentive Program (One ME) Evaluation and Technical Assistance

In 2003, Maine's Office of Substance Abuse (a department within the state's Department of Health and Human Services) contracted with HZA to conduct an evaluation of a three-year prevention initiative designed to reduce binge drinking and smoking behaviors among teenagers by implementing tested prevention projects. Funded by the Substance Abuse and Mental Health Services Administration (SAMHSA), the State Incentive Grant (SIG) Project was designed to provide grants to local recipients to develop alcohol and smoking prevention programs. HZA's role was to evaluate the local initiatives as well as to provide technical assistance to over twenty communities throughout the state in how to analyze community problems and evaluate programs. HZA was contracted to develop evaluation measures and methodologies, design and conduct pre- and post-project surveys, provide training and technical assistance to sub-recipients and collect evaluative information.

Throughout the term of the project, HZA developed and administered a series of surveys to assess to what extent the goals and objectives of the project were met. A survey was provided to the coalitions or community participants during the first year of the project to measure the effectiveness of the training they received in implementing their model programs. A subsequent survey was administered to this same population to measure the fidelity of their prevention program implementation. Pre- and post-tests were administered to the youth who participated in the model programs at the start and

at the end of their involvement to measure to what extent the model program served to reduce the major individual and social factors that promote the initiation of high-risk behaviors.

In its training and technical assistance role, HZA developed an Evaluation Resource Guide for the grantees to use and provided training on the Guide at state and local venues. In addition, HZA developed county-specific data packages which local people could use in identifying local need using local data.

Florida – Abuse Hotline Training Contract

In 2006, HZA was contracted by the Florida Department of Children and Families to provide a comprehensive ongoing package of training for the Florida Abuse Hotline. The project is still operating. At the outset of the project, HZA created a database which tracked both the training each staff person receives and the training topics staff identified they needed. HZA then developed and implemented a plan to address those needs. The training was developed for two groups: staff from the Call Center and staff from the Crime Intelligence Unit encompassing about 200 staff. Four categories of training are delivered: 1) pre-service training; 2) in-service training; 3) emergent need training and development; and 4) supervisory management and leadership training. On a quarterly basis, HZA generates a standardized, person-specific report showing the training received during the most recent quarter and any training needs (as identified by the staff person through the survey) which remained unfilled.

Pennsylvania – Data Package Training

For several years, HZA has been providing training services for state, regional and county administrators of the Commonwealth of Pennsylvania's Office of Children, Youth and Families. To this end, HZA develops "data packages" for each of Pennsylvania's 67 counties based on various performance and outcome indicators. It then trains staff on the interpretation of outcome data and how to use the information for program planning and improvement.

Oklahoma – Performance Audit of the Oklahoma Department of Human Services

Nearly all of HZA's projects result in formal presentations to the agency which supported the work, and often to other groups who have an interest in the findings. For example, in 2008 HZA conducted a performance audit of the Oklahoma Department of Human Services under a contract with the House of Representatives of the State Legislature. The focus was the child welfare division within the agency. Throughout the process, HZA worked consistently with a steering committee of elected representatives to present its findings. Ultimately it made presentations to the entire Health and Human Services Committee of the Legislature as well as the public, who were keenly interested in the reforms being recommended. The result of the project is that the Oklahoma Legislature passed 25 of HZA's recommendations into law and they are now being

implemented by the Oklahoma Department of Human Services with excellent results in reforming the child welfare system.

Children's Mental Health Research Conference – Presentation and Poster Session

In March of 2010, HZA made a presentation at the Children's Mental Health Research Conference in Tampa, Florida on the findings of its research in the THRIVE System of Care Evaluation. The focus was Intergenerational Trauma, or how the trauma experiences of family members affect their children's mental health. This presentation involved preparing PowerPoint materials and handouts to support the results, and was based on three years of research conducted by HZA on a population of children with serious emotional disturbances and their families. At the same conference it presented a poster session on *Services and Costs of Treating Children in the System of Care*.

Education Development Corporation – Technical Assistance Contract

HZA has recently (2010) been retained by the Education Development Corporation of Newton, Massachusetts (EDC) to provide technical assistance to various grantees throughout the Eastern seaboard on techniques for evaluating a key prevention initiative of the Substance Abuse and Mental Health Services Administration (SAMHSA). This initiative is the Strategic Prevention Framework State Incentive Grants (SPF SIG). HZA has served as the statewide evaluator of this SAMHSA program in Maine for a number of years, and by virtue of the excellence of its work, it has been retained by this national group (which holds a technical assistance contract with SAMHSA) to be one of its providers. Specifically, HZA's first task is to develop and present a series of webinars on evaluation topics for other grantees. It recently completed the first one on how to use "intervening variables" to measure program effectiveness.

Database and Web Development

Hornby Zeller Associates has developed a variety of databases and system applications, ranging from complex case-management tools – including web-based software – to a variety of online survey instruments used to collect data and provide reports on results. Prior to implementation, regardless of the complexity of the application or its intended use, HZA staff conduct extensive testing of the application to ensure that it meets navigation, data integrity, security and regression standards. Several of the company's relevant projects are described below.

Case Management and Reporting Tools

Maine – Home Visiting Evaluation

This extensive, multi-site project (for which a more complete description is included in the section detailing the firm's evaluation research experience, below) includes HZA's development of a web-based case management tool, which is being used by both the

home visitors and the managers in all twelve grantees throughout the state. Each agency has a contract for service delivery with the Maine Department of Health and Human Services, which is HZA's client.

Housed on the firm's secure server, home visitors and program managers access the case management system via password-protected input. The case management tool enables home visitors to enroll families for services; record detailed information about each home visit; record findings of multiple assessments such as *Ages and Stages* questionnaires; identify client demographics; and track progress and service needs while program managers can generate a series of reports to measure program capacity and performance. The HZA Help Desk supports users of this application statewide.

Pennsylvania – ChildNet-PA

In 2001, HZA led the development effort of an electronic case management and reporting system which is currently in use by eleven Children and Youth Service Agencies in the Commonwealth of Pennsylvania, known as ChildNet-PA. Designed to track child welfare cases from a report of maltreatment through to case closure, the system allows caseworkers to record information about the families and children identified, document their investigative findings and decisions to open a case for service, and to monitor progress in keeping children safe from harm and achieving permanency.

An important component of ChildNet-PA is its reporting capacity. HZA designed the reports to allow individual caseworkers to satisfy their case-specific reporting requirements, as well as allowing supervisors, managers and administrators to assess outcome and performance applying federal and state indicators. Through an automated function, county agencies are able to generate a federally mandated data file, AFCARS. Not only does the system auto-generate the file, it also provides a series of utilities which allows county staff to assess the integrity of the data. HZA continues to work closely with the users providing system and reporting enhancements, offering technical support and training. Specifically, the HZA Help Desk supports users of this application across the Commonwealth of Pennsylvania.

Web-based Survey Data Collection Tools

For two recently completed projects, a workload study conducted on behalf of the Minnesota Child Safety and Permanency Division (CSPD), and a performance audit of the Oklahoma Department of Human Services, HZA developed staff surveys to learn about the respective agencies from the perspective of staff. Using a broadcast email message, agency staff were asked to click on a link which brought them to an online survey hosted on HZA's server. For both projects, staff were asked to rate their agreement, using a five-point Likert scale, in a number of areas, including: adherence to policy, management and organization, accountability and support of peers, caseload responsibilities and expectations, training, availability and quality of services and overall job satisfaction. The web-based survey was completed by 3,630 Oklahoma staff and

869 responses were received of the 1,013 requests sent to Minnesota's staff. HZA then analyzed the data and presented it to the respective state leaders.

HZA used a second web-based survey to collect data for the Minnesota Workload Study. This "random moment survey" was used to measure the amount of time staff have available for casework, the second critical element in measuring resource need. HZA used its Gammadyne system to send an auto-generated email message requesting that caseworkers and supervisors complete a brief survey capturing staff activity over the course of the primary six-week data collection period.

Staff were directed to click on a link in each randomly generated email message, which would bring them to the web-based survey, identifying the date and time specified in the email message, as well as information on the role of the participant, i.e., caseworker or supervisor. Depending on the answer to the initial question, (specifically: were you engaged in case-specific activity at the time noted?), the survey would populate with pertinent follow-up questions to better understand the type of activity being completed. As additional questions were asked, they were populated based on the response to the preceding question. In all, 4,000 random moments were selected, with an overall response rate of 99 percent achieved.

Evaluation Research of Social Services Programs

As you can see from the descriptions above, HZA consistently works in the social services domain. Here are a few more examples of social service program evaluations.

Maine – Home Visiting Evaluation

HZA was contracted by the Maine Department of Health and Human Services in 2002 to develop and implement a comprehensive evaluation of the New Family Visitation or Healthy Families Program. The Healthy Families Program, also referred to as Maine's Home Visiting Program, provides home-based education and support services to first-time families and pregnant and parenting adolescents throughout the State of Maine. Managed by the Bureau of Child and Family Services, Maine Department of Health and Human Services, home visiting services are designed to help the Department achieve its goal of increasing the health status and self-sufficiency of Maine's families, while also reducing child abuse and neglect. The particular focus is on new, first-time parents and their infants and young children. The program is intended to have a positive impact on child health, parent-child attachment, parent knowledge and skill in supporting childhood growth and development.

As mentioned above, HZA developed a fairly complex web-based application that is used by all twelve grantees for case management and reporting. This is one of the key sources of data for HZA's evaluation. However, HZA also works with the twelve grantees to administer an annual family survey. While HZA has developed a standard family survey, it works with each grantee to add questions if the grantee wants, so that

the local agency does not have to repeat its own family survey. In addition to a statewide report, HZA provides a report to each grantee, similar to what West Virginia is requesting.

HZA operates a toll-free Help Desk for the twelve Maine agencies. HZA also developed an extensive website to help agencies market their programs and to share data and parenting resource information. HZA provided training and technical assistance in evaluation methods, logic models and use of the database around the state. Evaluation results have helped legislators and managers understand the effectiveness of the program and how resources can be maximized.

Maine – School Readiness Evaluation

HZA recently completed an assessment of school readiness for the Maine Department of Health and Human Services, which sponsors statewide home visiting programs designed in part to improve school readiness. HZA worked with local schools and staff from the Maine Home Visiting Program to design the study, based on performance standards established by the Maine Department of Education as articulated in a report entitled “Maine’s Recommendations for Core Indicators of School Readiness.” The report identified indicators in five areas: ready families; ready early care and education; ready communities; ready schools; and ready children. HZA developed a voluntary survey for families to use during school registration and asked them to complete the Ages and Stage Questionnaire. Over 600 hundred families participated in the project, which provided an excellent baseline measure of school readiness using the Department’s indicators. This was the first such assessment conducted in Maine.

Maine – Strategic Prevention Framework Evaluation

Following the initial State Incentive Grant, the State of Maine invited HZA in 2005 to serve as both state-level and program-level evaluator of SPF-SIG, the Strategic Prevention Framework State Incentive Grant; this was Maine’s second SAMHSA project relating to substance abuse prevention. The purpose of the project is to create and support a statewide prevention/health promotion infrastructure which is designed to reduce substance abuse; reduce risk factors and consequences with a demonstrated link to substance abuse and related problems; increase assets and protective factors with demonstrated link to the reduction of substance abuse and related problems; and reduce health risk behaviors linked to substance abuse that are priority objectives of the Strategies for Healthy Youth workgroup partners.

While the initial SIG worked exclusively with school-age youth, SPF SIG is broader; however, school-age youth are a mandatory component. The evaluation is being conducted by HZA at the state, community and program levels. Major activities include the design of process and outcome evaluation instruments; site visits throughout the state to document progress in building local infrastructure and implementing the framework; collection and analyses of National Outcome Measures and other Maine data including MYDAUS survey analysis; participation in workgroups and the Executive

Management Team; and collaboration with national cross-site evaluators (Westat) to develop data collection tools and assist in Maine's compliance with national cross-site evaluation requirements.

Day One – Building Evaluation Capacity for Evidence-Based Interventions

In 2007 and 2008, HZA assisted Day One, a substance abuse prevention and treatment agency, to obtain a Service to Science grant from the federal Substance Abuse and Mental Health Services Administration (SAMHSA). The purpose of the Service to Science initiative is to move locally developed prevention programs forward along the evidence-base continuum, with the ultimate goal being to increase the number of programs registered with the National Registry of Effective Prevention Programs (NREPP). Day One has instituted the Natural Helpers of Maine program in over a dozen high schools throughout Maine. The goal of the program is to train high school student peer listeners actively to listen to their peers so that all students have access to and can comfortably seek support with personal problems. The Natural Helpers provide a link between students with serious problems and the adult professionals who can help them, and the Natural Helpers assist in providing overall prevention activities within their schools and communities. The program is rooted in the natural network of "teens helping teens" that exists in schools.

Upon award, HZA was contracted to enhance the documented effectiveness of the Natural Helpers of Maine program and its evaluation components. This entailed research, data analysis, technical assistance and report writing. HZA investigated the underlying theory behind Natural Helpers and created a logic model showing the assumptions in the program design and what evidence exists in the literature to support each assumption. This is analogous to the first stage of developing the Protective Factors Surveys. Then HZA examined the surveys, tools and data collection processes that were already in use by the sites in Maine. Next, HZA recommended how the data collection should be modified and created new tools. Because Natural Helpers is a low-impact prevention program, HZA had to be very sensitive not to make the data collection obvious, intrusive or time consuming. HZA then trained the coordinators at the 15 sites on how to use the new protocols. After collecting and analyzing the data, HZA developed reports on the results. Finally, HZA documented all of the new materials through User's Manuals, which could be employed to replicate the model and prepare it for becoming an evidence-based practice.

Master's Degree in Related Field

A team of four people will carry out this project, with Darshana Spach, M.Ed., serving as Project Director. She will be the primary contact person for working with our firm.

Dennis E. Zeller, Ph.D., M.S.S.W., HZA President and Principal Investigator

Dr. Zeller's major areas of expertise include policy analysis, research design and data analysis in the fields of child welfare and social services. Prior to founding the consulting firm, Dr. Zeller was Director of the Bureau of Policy Planning of the Division of Family and Children's Services at the New York State Department of Social Services. In that role, he was responsible for all child welfare and child care regulations, for proposing and negotiating Department-sponsored legislation, and for negotiating litigation settlements, including litigation regarding kinship care and foster children preparing for independence. He was instrumental in implementing the State's preventive service program, the uniform case record for foster care and preventive services, utilization review procedures for foster care cases, and other aspects of New York's Child Welfare Reform Act of 1979. Prior to his work in New York, he was a planner for the Texas Department of Human Services, working primarily on issues related to income maintenance and services to the elderly and disabled.

Since forming Hornby Zeller Associates in 1988, he, together with Ms. Hornby, have grown the firm to have a national presence in social service evaluation, with a staff of 40 people. At HZA, Dr. Zeller oversees the quantitative research methodologies, checks the integrity of the data analyses and reviews the final products.

Dr. Zeller is the author of *Model Child Welfare Management Indicators*, published by the National Child Welfare Resource Center at the University of Southern Maine, and co-author of "Kinship Care in America: What Outcomes Should Policy Seek," published in *Child Welfare*. He has spoken broadly at state, regional and national conferences in the areas of child welfare, research and statistics. He received a master's degree in social work and a doctorate from the University of Texas at Austin.

Darshana Spach, M.Ed., Project Director and Subject Matter Lead

Ms. Spach, a specialist in Early Childhood Education, recently joined Hornby Zeller Associates, Inc. as a Research Associate, where she heads the evaluation team for the Maine Home Visiting project evaluation, described above.

Prior to joining the firm, Ms. Spach served as Program Coordinator and Interim Director of the Catherine Morrill Day Nursery, a Portland, Maine-based, nationally accredited early childhood education and care program that promotes young children's cognitive, physical, social and emotional development, and where she supervised over 20 staff. In addition to her leadership role in this child-centered program, she is also an adjunct faculty member of the Early Childhood Education program at Southern Maine Community College. In this capacity, Ms. Spach created a curriculum for Early Childhood Education students and collaborated with community providers in promoting program professionalism and sensitivity of the field.

Ms. Spach has also served in both direct service and supervisory roles at PROP Child and Family Services, a not-for-profit Community Action Agency serving 23 communities in Cumberland County, Maine. She has worked with at-risk populations through Early Head Start and Catherine Morrill, a not-for-profit inclusive setting. In her Master's program, she focused on working with both refugees and native families who have experienced trauma or other extraordinary circumstances. She obtained funding for and facilitated professional development services for early childhood professionals on the subject of multi-cultural education. She has also participated in various large-scale projects including the Maine Quality Rating System, as well as accreditation projects for the National Association for the Education of Young Children.

Ms. Spach has presented at a number of conferences on a variety of topics, including *Cognitive Development in Infants and Young Children*, *Working with Highly Sensitive Children*, *Dealing with Difficult Behaviors in Young Children*, and *Observing and Documenting Behaviors*. She earned a Master's degree in Education from the University of Maine at Orono, holds a 282 Endorsement (Teacher of Children with Disabilities) from the State of Maine Department of Education, and is also a Licensed Social Worker with supervisory experience in that field.

Andrew Ferguson, M.A., Research Associate and Technical Lead

After receiving his bachelor's degree in Sociology at the University of Southern Maine (1997), Mr. Ferguson began working as a research analyst at the University of Southern Maine's (USM), Muskie School of Public Policy. He was subsequently promoted to a Research Associate post in 2000 after receiving his graduate degree from the Department of Law at the University of Sheffield, UK; he later transferred to the USM College of Arts and Sciences, Department of Sociology, where he served for the next five years.

While at USM, Mr. Ferguson was responsible for developing and managing a variety of state and national research and evaluation projects focused especially on child welfare, criminal justice and substance abuse issues. During this time he served as principal investigator of a study evaluating Maine's adult, juvenile and family drug court programs; he also served as the lead PI in a research effort dedicated to an analysis of statewide sentencing practices in Maine. He co-authored a national research study examining the efficacy of substance abuse treatment delivery for offenders participating in drug court diversion programs, and has numerous publications in the areas of sentencing, offender-treatment and problem-solving courts; he has also made numerous presentations at the local, state and national level.

Mr. Ferguson has also conducted numerous evaluation efforts at the state and national level in recent years involving programs that provide social services including: family preservation and support, domestic violence prevention, and the investigation of child abuse and neglect. These projects required expert-level analytical skills with both quantitative and qualitative data and proficiency with a variety of related software (including statistical and relational database programs). Mr. Ferguson is especially

skilled in the manipulation of large administrative databases and possesses a variety of statistical and analytical skills including: regression analysis (multiple and standard linear and logistic, as well as negative binomial), structured equation and hierarchical linear modeling. His expertise includes both SPSS and Microsoft ACCESS.

He joined Hornby Zeller Associates, Inc. in 2006, where he has continued to expand his focus on social services, court and corrections research. He has conducted research involving of the efficacy of family courts in civil matters when the individual has a substance abuse disorder and is involved in the child protection system; this project necessitated merging files from DOC and the state's case management system for child welfare services, MACWIS (Maine's SACWIS). He worked on a project in Connecticut to assess the needs of children who have been sexually abused, using multiple data sets and survey research. He has directed a number of therapeutic court evaluations, including one in Kennebec County, Maine which is problem-solving court for people with mental health and substance use disorders. He also served as Project Director for three large-scale court evaluation projects HZA conducted in Alaska.

Jennifer Battis, M.Res., Research Assistant

Ms. Battis holds a Master's degree in Social Research (with Commendation) from the University of Aberdeen, Scotland. This competitive, international graduate program gave her a solid grounding in a variety of social research methodologies and statistical software tools (including SPSS, DataNet and NextGen), and allowed her to develop a unique skillset that has proven valuable to her role as Research Assistant at Hornby Zeller Associates, Inc.

Ms. Battis is currently active in a number of projects. She gathers information at face-to-face interviews and focus groups in support of a statewide evaluation of Maine's drug courts, and she is also developing an SPSS database to track survey responses for an evaluation of the Cumberland County (Maine) drug court. She has begun work on a number of substance abuse prevention projects. This includes on-site visits of coalition partners on behalf of Maine's SPF-SIG, the Strategic Prevention Framework State Incentive Grant (a SAMHSA-funded project involving substance abuse prevention); Ms. Battis has also cleaned data for a project conducted on behalf of the Greater Waterville Prevention Coalition. Finally, Ms. Battis has been providing data management support for *Moving Forward*, part of Maine's THRIVE Initiative. This program is designed to address the needs of transition-aged youth and young adults with emotional disturbances, placing emphasis on youth-directed planning and the development of practical skills leading to independence.

Prior to joining HZA, Ms. Battis worked for AmeriCorps VISTA (Volunteers in Service To America), a federal public service program. Her position, with the HealthReach Community Health Centers in Waterville, Maine, involved a variety of tasks, including data analysis, research, public health information tracking and reporting. She developed tutorials and other materials for use in health centers and public health websites, and trained health care staff on proper use and tracking of the Prescription Assistance

Program. In addition to these duties, she was also involved in the grant-writing process, and served as HRCHC's point person for their annual United Way campaign. Ms. Battis is also well versed in information security procedures, having worked in an administrative support role involving security clearances for the Lockheed Martin Corporation at Hanscom Air Force Base in Massachusetts.

Endnotes

ⁱ Werner, E. and Smith, R. (1992). *Overcoming the Odds: High-Risk Children from Birth to Adulthood*. New York: Cornell University Press.

ⁱⁱ Constantine, N., Benard, B., and Diaz, M., *Measuring Protective Factors and Resilience Traits in Youth: The Healthy Kids Resilience Assessment*, School and Community Health Research Group, WestEd, Oakland, CA, Paper presented at the Seventh Annual Meeting of the Society for Prevention Research, New Orleans, LA, June, 1999, (revised September 20, 1999).

ⁱⁱⁱ University of Kansas, *The Development and Validation of the Protective Factors Survey: A Self Report Measure of Protective Factors Against Child Maltreatment*, Phase IV Report, Revised 12/2009.

^{iv} *Ibid.*, p. 9.

AGREEMENT ADDENDUM

In the event of conflict between this addendum and the agreement, this addendum shall control:

- 1 **DISPUTES** - Any references in the agreement to arbitration or to the jurisdiction of any court are hereby deleted. Disputes arising out of the agreement shall be presented to the West Virginia Court of Claims.
- 2 **HOLD HARMLESS** - Any clause requiring the Agency to indemnify or hold harmless any party is hereby deleted in its entirety.
- 3 **GOVERNING LAW** - The agreement shall be governed by the laws of the State of West Virginia. This provision replaces any references to any other State's governing law.
- 4 **TAXES** - Provisions in the agreement requiring the Agency to pay taxes are deleted. As a State entity, the Agency is exempt from Federal, State, and local taxes and will not pay taxes for any Vendor including individuals, nor will the Agency file any tax returns or reports on behalf of Vendor or any other party.
- 5 **PAYMENT** - Any references to prepayment are deleted. Payment will be in arrears.
- 6 **INTEREST** - Should the agreement include a provision for interest on late payments, the Agency agrees to pay the maximum legal rate under West Virginia law. All other references to interest or late charges are deleted.
- 7 **RECOURPMENT** - Any language in the agreement waiving the Agency's right to set-off, counterclaim, recoupment, or other defense is hereby deleted.
- 8 **FISCAL YEAR FUNDING** - Service performed under the agreement may be continued in succeeding fiscal years for the term of the agreement, contingent upon funds being appropriated by the Legislature or otherwise being available for this service. In the event funds are not appropriated or otherwise available for this service, the agreement shall terminate without penalty on June 30. After that date, the agreement becomes of no effect and is null and void. However, the Agency agrees to use its best efforts to have the amounts contemplated under the agreement included in its budget. Non-appropriation or non-funding shall not be considered an event of default.
- 9 **STATUTE OF LIMITATION** - Any clauses limiting the time in which the Agency may bring suit against the Vendor, lessor, individual, or any other party are deleted.
- 10 **SIMILAR SERVICES** - Any provisions limiting the Agency's right to obtain similar services or equipment in the event of default or non-funding during the term of the agreement are hereby deleted.
- 11 **ATTORNEY FEES** - The Agency recognizes an obligation to pay attorney's fees or costs only when assessed by a court of competent jurisdiction. Any other provision is invalid and considered null and void.
- 12 **ASSIGNMENT** - Notwithstanding any clause to the contrary, the Agency reserves the right to assign the agreement to another State of West Virginia agency, board or commission upon thirty (30) days written notice to the Vendor and Vendor shall obtain the written consent of Agency prior to assigning the agreement.
- 13 **LIMITATION OF LIABILITY** - The Agency, as a State entity, cannot agree to assume the potential liability of a Vendor. Accordingly, any provision limiting the Vendor's liability for direct damages to a certain dollar amount or to the amount of the agreement is hereby deleted. Limitations on special, incidental or consequential damages are acceptable. In addition, any limitation is null and void to the extent that it precludes any action for injury to persons or for damages to personal property.
- 14 **RIGHT TO TERMINATE** - Agency shall have the right to terminate the agreement upon thirty (30) days written notice to Vendor. Agency agrees to pay Vendor for services rendered or goods received prior to the effective date of termination.
- 15 **TERMINATION CHARGES** - Any provision requiring the Agency to pay a fixed amount or liquidated damages upon termination of the agreement is hereby deleted. The Agency may only agree to reimburse a Vendor for actual costs incurred or losses sustained during the current fiscal year due to wrongful termination by the Agency prior to the end of any current agreement term.
- 16 **RENEWAL** - Any reference to automatic renewal is hereby deleted. The agreement may be renewed only upon mutual written agreement of the parties.
- 17 **INSURANCE** - Any provision requiring the Agency to insure equipment or property of any kind and name the Vendor as beneficiary or as an additional insured is hereby deleted.
- 18 **RIGHT TO NOTICE** - Any provision for repossession of equipment without notice is hereby deleted. However, the Agency does recognize a right of repossession with notice.
- 19 **ACCELERATION** - Any reference to acceleration of payments in the event of default or non-funding is hereby deleted.
- 20 **CONFIDENTIALITY** - Any provision regarding confidentiality of the terms and conditions of the agreement is hereby deleted. State contracts are public records under the West Virginia Freedom of Information Act.
- 21 **AMENDMENTS** - All amendments, modifications, alterations or changes to the agreement shall be in writing and signed by both parties. No amendment, modification, alteration or change may be made to this addendum without the express written approval of the Purchasing Division and the Attorney General.

ACCEPTED BY:
STATE OF WEST VIRGINIA

VENDOR

Spending Unit: _____

Company Name: Hornby Zeller Associates, Inc.

Signed: _____

Signed: *Helsine Hornby*

Title: _____

Title: Principal

Date: _____

Date: 3/30/10

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

West Virginia Code §5A-3-10a states: No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owed is an amount greater than one thousand dollars in the aggregate.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Debtor" means any individual, corporation, partnership, association, limited liability company or any other form or business association owing a debt to the state or any of its political subdivisions. "Political subdivision" means any county commission; municipality; county board of education; any instrumentality established by a county or municipality; any separate corporation or instrumentality established by one or more counties or municipalities, as permitted by law; or any public body charged by law with the performance of a government function or whose jurisdiction is coextensive with one or more counties or municipalities. "Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

EXCEPTION: The prohibition of this section does not apply where a vendor has contested any tax administered pursuant to chapter eleven of this code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

Under penalty of law for false swearing (*West Virginia Code §61-5-3*), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated

WITNESS THE FOLLOWING SIGNATURE

Vendor's Name: HORNBY ZELLER ASSOCIATES, INC.

Authorized Signature: *Helaine Hornby* Date: 3/30/10

State of MAINE

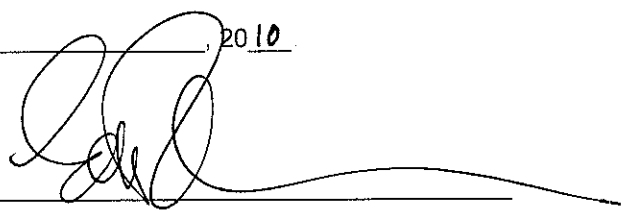
County of CUMBERLAND, to-wit:

Taken, subscribed, and sworn to before me this 30th day of MARCH, 2010

My Commission expires SEPTEMBER 19TH, 2015

AFFIX SEAL HERE

NOTARY PUBLIC



EVE R. WENTWORTH
Notary Public, Maine
My Commission Expires September 19 2015



State of West Virginia
DRUG FREE WORKPLACE CONFORMANCE AFFIDAVIT
West Virginia Code §21-1D-5

STATE OF MAINE

COUNTY OF CUMBERLAND, TO-WIT:

I, HELAINE HORNBY, after being first duly sworn, depose and state as follows:

- 1. I am an employee of HORNBY ZELLER ASSOCIATES, INC.; and,
(Company Name)
- 2. I do hereby attest that HORNBY ZELLER ASSOCIATES, INC.
(Company Name)

maintains a valid written drug free workplace policy and that such policy is in compliance with **West Virginia Code §21-1D-5**.

The above statements are sworn to under the penalty of perjury.

HORNBY ZELLER ASSOCIATES, INC.
(Company Name)

By: Helaine Hornby

Title: PRINCIPAL

Date: 3/30/10

Taken, subscribed and sworn to before me this 30TH day of 2010.

By Commission expires 9/19/15

(Seal)

EVE R. WENTWORTH
Notary Public, Maine
My Commission Expires September 19, 2015

[Signature]
(Notary Public)

THIS AFFIDAVIT MUST BE SUBMITTED WITH THE BID IN ORDER TO COMPLY WITH WV CODE PROVISIONS. FAILURE TO INCLUDE THE AFFIDAVIT WITH THE BID SHALL RESULT IN DISQUALIFICATION OF THE BID.



State of West Virginia
Department of Administration
Purchasing Division

EMPLOYMENT HISTORY DISCLOSURE STATEMENT

Vendor shall identify any other work, similar or otherwise currently being performed for any agency, institution, educational facility, city, county, municipality or political subdivision of the State of West Virginia. The State of West Virginia is concerned that current work could logically prevent the vendor from responsibly completing the referenced contract.

The state of West Virginia reserves the sole and exclusive right to reject the bid of any vendor when the state believes any current work could logically prevent the vendor from successfully completing the bid/contract in question. Failure to provide or disclose the required information listed shall be grounds for immediate disqualification/cancellation of the contract.

Below, the vendor shall provide the agency name, effective dates, value, general description and time required to fulfill the duties of each contract.

<u>Agency Name</u>	<u>Effective Dates</u>	<u>Value</u>	<u>General Description</u>	<u>Time Required Per Week</u>
Hornby Zeller Associates, Inc. is not performing any other work in the State of West Virginia at this time.				

Check here if additional sheets are attached

I certify that the statements made above are true and accurate.

Helaine Hornby
Printed Name

3/30/10
Date

Helaine Hornby
Signature

Appendix A Staff Resumes

DENNIS E. ZELLER
Hornby Zeller Associates, Inc.

48 Fourth St
Suite 300
Troy, NY 12180
(518) 273-1614

75 South Houcks Rd
Suite 201
Harrisburg, PA 17109
(717) 540-7740

2003 Apalachee Pkwy
Suite 106
Tallahassee, FL 32301
(850) 877-9909

Quality Assurance
WS#5172
PO Box 1437, Slot # S570
Little Rock, AR 72203
(501) 682-7931

373 Broadway
South Portland, ME 04106
(207) 773-9529

EXPERIENCE

President, Hornby Zeller Associates, Inc. 1/95 – Present.

Principal, Zeller Associates. 12/88 – 1/95.

Management consulting firm specializing in child welfare, juvenile justice, mental health and public assistance (see *Sample Projects* below).

Director

Supervisor, Policy Analysis Unit

Program Research Specialist

New York State Department of Social Services, Bureau of Policy Planning, Division of Family and Children's Services, Albany, NY: Developed regulations for child protective services; developed and supervised development of proposed legislation and impact of preventive services; assisted counties to obtain maximum state reimbursement; developed standards of eligibility for preventive services; assisted with and supervised review of county child welfare plans **8/80 – 12/88.**

Supervisor, Survey and Analysis Unit

Statistician, Planner

Administrative Technician, Consultant

Texas Department of Human Services, Austin, TX: Designed, implemented and analyzed survey with 25,000 face-to-face interviews to support development of the budget and management plan; developed several models of alternate care for the elderly and initiated pilot projects; developed budget proposal to combine Medicaid and Title XX funds to support alternate care initiatives; assisted with survey of needs of the elderly; assisted with statewide survey to determine impact of welfare reform on state **5/77 – 7/80.**

**SAMPLE
PROJECTS**

Minnesota Department of Human Services, Division of Child Safety and Permanency, St. Paul MN:

Provided quantitative oversight for the conduct of a statewide workload study to determine both the time workers have available for case specific work and the time required to handle cases according to state and federal policy and procedure, weighted by ability to achieve positive safety and permanency outcomes **2008 – 2010.**

Arkansas Department of Human Services, Division of Children and Family Services, Special Projects, Little Rock, AR: Provided guidance in the development of methodologies and instruments used for three special projects (Administrative Case Review, Overdue Investigations, Case Closure) designed to improve the quality of case practice and identify barriers to completing case activity in a timely manner and/or achieving positive outcomes for children and families. **2009.**

Westchester County Department of Social Services, Workload Study, White Plains, NY:

Provided conceptual leadership in the development, implementation and analysis of a follow-up workload study of case workers and supervisors within the division of child welfare and foster care. **2008 – 2009.**

Oklahoma House of Representatives, Oklahoma Department of Human Services

Performance Audit, Oklahoma City, OK: Directed the development of data collection tools used to conduct a performance audit of the department with a focus on the organizational structure and the implications of that structure for management and performance of the child welfare program in

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particular. Participated in onsite interviews, met with legislative representatives and led the staff responsible for analyses of the quantitative data, including state data extracts. **2008 – 2009.**

Connecticut Department of Children and Families, Statewide Assessment of Systems and Services Pertaining to the Sexual and Physical Abuse of Children, Hartford, CT: Provided guidance in the analysis of service needs and outcomes for children sexually abused and/or seriously physically abused and maltreated using a statewide data extract. Participated in interviews with child advocacy center and multi-disciplinary team representatives including coordinators, medical personnel, prosecutors, law enforcement and agency staff **2008 – 2009.**

Wisconsin Supreme Court, Director of State Courts Office, Court Improvement Program: Annual Program Assessment Reports, Madison, WI: Provided conceptual leadership and guidance in the development of a logic model used to define the processes and outcomes for evaluation of the court improvement initiative involving children in the child welfare and foster care arenas. Led the staff responsible for the outcome analysis using state data extracts. **2008.**

Wisconsin Division of Children and Family Services, Online Policy Manual, Madison, WI: Developed a structure and numbering system for the online organization of the state's child welfare policies. Assisted in drafting the policy chapters and conduct of a gap analysis identifying where program policies were needed. **2007 – 2008.**

Wisconsin Supreme Court, Director of State Courts Office, State Courts Role in the Effective Interstate Placement of Children, Madison, WI: Directed the development of data collection tools and analysis of the processes used by the court to handle the interstate placement of children involved in the child welfare system satisfying state and federal regulations and policies. Drafted the report which identified the state's adequacy of statutes, participation of out-of-state parties in court hearings and sharing of information across state borders. **2008.**

Georgia Department of Human Resources, Title IV-E Penetration Rate Study, Atlanta, GA: Assessed and developed recommendations to amend the state's Cost Allocation Plan and Random Moment Sample Survey to increase Title IV-E funding for administrative and training expenditures. Provided guidance to staff responsible for identifying areas of improvement in determining Title IV-E eligibility at the case level and for increased federal funding for training. **2007.**

Georgia Department of Human Resources, Foster Care Needs Assessment, Atlanta, GA: Provided conceptual guidance in the conduct of a needs assessment of foster care placement services for Fulton and DeKalb Counties as part of the *Kenny A.* consent decree. Assisted in the development of a case reading tool to identify the placement needs of children placed into substitute care and an instrument to quantify the availability of resources. Provided guidance in the conduct of the data analysis and assistance in the development of an automated ongoing monitoring tool. **2007.**

Virginia Department of Social Services, Workload Management Study Update, Richmond, VA: Provided quantitative oversight for the conduct of a follow-up statewide workload measurement study of TANF, Food Stamps, Child Protective, Adult Protective and nine other human services programs to determine both the time workers have available for case specific work and the time required to handle cases according to state and federal policy and procedure. **2007 – 2008.**

Connecticut Judicial Branch, Court Support Services Division and Connecticut Department of Children and Families, Service Needs Study for 16 & 17 Year-old Court-involved Youth, Hartford, CT: Directed the conduct of a comprehensive service need study for 16 & 17 year-old court-involved youth. Analyzed the specific risks, needs and strengths of youth, with particular attention to their health and educational needs and compared those needs to existing services, resulting in recommendations of

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services, programs and interventions. **2006 – 2007.**

Florida Department of Children and Families, Florida Abuse Hotline Training, Tallahassee, FL: Provided guidance in the needs assessment, planning, curriculum development, training and evaluation component of the multi-year project to provide a comprehensive ongoing package of training for staff of the Florida Abuse Hotline. Four categories of training were delivered to front line staff, supervisors and managers **2006 – 2010.**

Maine Department of Health and Human Services, Co-occurring State Integration Initiative, Augusta, ME: Conducted a cost study, using data from the state's Medicaid billing system, to measure the impact of programs that treat clients with substance and mental illness concurrently in the same location, as opposed to those that are treated by separate providers for each condition. **2005 – 2010.**

Westchester County Department of Social Services, Workload Study, White Plains, NY: Provided conceptual leadership in the development, implementation and analysis of a workload study of case workers and supervisors within the division of child welfare and foster care. **2006.**

New Jersey Department of Human Services, Division of Youth and Family Services, Quality Assurance to New Jersey's State Central Registry, Trenton, NJ: Directed the development of a review instrument designed to determine whether the people taking abuse and neglect calls and dispatching information to the field for investigation were operating within legal and best practice guidelines; provided guidance to the review team and onsite mentor. **2005 – 2006.**

Alaska Department of Health and Social Services, Division of Public Assistance, Workload Analysis, Anchorage, AK: Provided guidance in the development of the instruments used to measure case specific time and non-case specific time to determine reasonable workloads for eligibility technicians, supervisors and clerical staff. Selected the population of cases using several data extracts from the Division's case management information system. Conducted the data analysis to determine time needed to handle cases sufficiently and project staffing needs. Designed an automated tool to project future staffing needs. **2006.**

Alaska Department of Health and Social Services, Office of Children Services, Statewide Workload Study, Juneau, AK: Provided guidance in the development of the instruments used to measure case specific time and non-case specific time to determine reasonable workloads for caseworkers, allowing them the time they need to achieve positive outcomes for children and families. Conducted the data analysis to determine time needed to handle cases sufficiently and project staffing needs **2005.**

Florida Department of Children and Families, Quality Assurance Services for the Florida Abuse Hotline, Tallahassee, FL: Provided guidance in the design of an automated data collection instrument to record findings from a quality assurance review of intake and assessment activities for both children and adults at the Florida Abuse Hotline. Supervised the data analyst and met with state representatives to present findings. **2005 – 2007.**

New Jersey Department of Human Services, Division of Youth and Family Services, Analysis of State Central Registry Implementation, Trenton, NJ: Developed a review instrument to evaluate, analyze and make recommendations relating to the implementation of the State Central Registry. **2004 – 2005.**

Ohio Department of Job and Family Services, Adoption Services Specialized Administrative Support Quality Assurance Program, Columbus, OH: Provided conceptual leadership and oversight for the performance of evaluation and quality assurance services for Ohio's adoption program in an effort to increase the number of adoptions of children in public custody. Assisted the Department

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Hornby Zeller Associates, Inc.

with data cleansing for conversion of data from an existing system to its newly developed SACWIS 2004 – 2007.

Erie County Office of Children and Youth, Quality Assurance, Erie, PA: Provided quality assurance services and continued technical assistance and support for the Erie County Children and Youth Services Director in the areas of organizational structure, personnel management, performance measurement and database design. 2002 – 2006.

New Jersey Department of Human Services, Division of Youth and Family Services, Restructure DYFS Regulations, Trenton, NJ: Assisted in revising and developing a new set of state regulations consistent with *A New Beginning: The Future of Child Welfare in New Jersey* 2004 – 2005.

Wisconsin Supreme Court, Reassess State Court Performance in Children in Need of Protection or Services Cases, Madison, WI: Supervised the analysis of quantitative data for a reassessment of the impact of the Court Improvement Project including the analysis of administrative data from CCAP and from a case reading. Analyzed the capacity and limitations of the Court system's management information systems and provided conceptual leadership for the development of an automated reporting system using CCAP data. 2004.

New Jersey Department of Human Services, Division of Youth and Family Services, Qualitative Service Reviews, Trenton, NJ: Supported the Division in an effort to ascertain its preparedness for the Child and Family Services Review. Provided critical information for the development of a statewide assessment. 2003.

ChildNet-PA: Led the development effort for this software package designed to provide both reporting and case management functions to social workers, supervisors and managers in public children and youth agencies across Pennsylvania. Created the initial outline the system's structure and drafted the initial functionality requirements, referring to SACWIS requirements. Provided conceptual oversight to the development team throughout each phase of development including the selection of fields; layout of screenshots; selection of forms, letters and reports; and creation of supporting system documentation and materials. 2001 – 2009.

Kansas Department of Social and Rehabilitation Services, Risk Assessment Validation, Topeka, KS: Provided conceptual leadership to the team responsible for the conduct of an assessment of the validity and reliability of the state's Risk Assessment tool, using multiple data sources provided to the evaluation team in electronic format from the child welfare division. 2003 – 2004.

Pennsylvania Department of Public Welfare, Technical Assistance, Needs Based Planning and Budgeting and CFSR Support, Harrisburg, PA: Provided conceptual oversight in the review of the state's data collection systems and evaluation methodologies used to measure performance and outcomes. Provided guidance in the development of county data packages and provided training to county, regional and state staff in the interpretation and use of county data packages. Analyzed and interpreted quantitative and qualitative data in support of the state's Child and Family Services Reviews. Assisted in the development of the Statewide Assessment. Supported OCYF in the Management & Monitoring the program improvement plan with additional focus on implementation of the counties Need Based Plans & Budgets to support county progress. 2002 – 2009.

Department of Health and Human Services, Mentor Sites: Analytic Data Capacity Building, Little Rock, AR: Promoted the transfer of expertise in gathering, analyzing and using data to states who wish to improve their research and evaluation infrastructures in monitoring safety, permanency and well-being using AFCARS, NCANDS and child welfare information systems. Worked with the mentee states to determine their data needs and reporting abilities. 2001 – 2006.

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Alabama Department of Human Services, Revenue Enhancement/Rate Setting, Montgomery, AL: Provided guidance in the restructuring of the rate setting process for residential treatment services. Increased future federal dollars claimed under Title IV-E and recovered prior state expenditures which were eligible for federal funding. **2001 – 2003.**

Washington Department of Social and Health Services, Children's Administration, Foster Care Rate Redesign Project, Olympia, WA: Redesigned the foster care rates for children in basic care and with special needs and provided assistance with the development of an automated system to assign rates based on the needs of the child and foster care family. **2001 – 2002.**

Philadelphia Department of Human Services, Children and Youth Division, Philadelphia Child Welfare Workload Study, Philadelphia, PA: Conducted a workload study of the caseloads of child welfare social workers, measured the impact of new requirements and practice standards, and examined the interaction of workload issues and organizational structure issues. Provided guidance in the selection of cases from the Division's case management information system. **2001.**

Erie County Department of Children and Youth, Erie County Organizational Review, Erie, PA: Conducted an organizational review of Erie County's Children and Youth Services' (CYS) agency to determine the extent to which Erie County CYs is achieving the outcomes it seeks for the children who come to its attention; which aspects of the agency's operations contribute to and detract from achievement of those outcomes; and which aspects of the agency's organizational structure and operations contributed to and detracted from its effectiveness. **2000 – 2001.**

New Jersey Department of Human Services, Restructuring Rates for Regional Diagnostic and Treatment Centers, Trenton, NJ: Assessed the core services required to be provided by the centers are available to children alleged to be physically and/or sexually abused at a level commensurate with the funding provided for that purpose. Defined reasonable expectations for the delivery of additional services based on the funding available; identified and recommended ways to resolve gaps and inconsistencies in current service delivery; maximized federal revenue. **2001 – 2002.**

Nevada Department of Human Resources, Division of Child and Family Services, Program Evaluation Data Unit, Carson City, NV: Implemented a program evaluation unit to monitor the ability of the Division to meet its mission and goals. Developed performance and outcome measures and reporting strategies for use by state, regional, local and line staff using various data sources, including the state's newly created SACWIS and outgoing case management systems. **2000 – 2004.**

Ohio Department of Job and Family Services, Study of Validity and Reliability of the Family Risk Assessment Matrix, Columbus, OH: Provided conceptual leadership in determining whether Ohio's Family Risk Assessment Matrix validly and reliably measured risk and safety of children at all key decision points in the casework process. Designed the methodology for data collection, including both case record reviews and access to statewide case management information. **2000 – 2001.**

New Jersey Department of Human Services, Restructuring Rates for Contracted Foster Care, Trenton, NJ: Restructured rates for out-of-home care, including an examination of treatment foster care and family care homes, as well as the rates paid to levels 4, 5 and 6, which included a variety of special payments for children in foster care or receiving adoption subsidy. Coordinated this effort with a simultaneous examination of contracted foster care. **2000 – 2001.**

Colorado Department of Human Services, Medicaid Workload Study, Denver, CO: Provided guidance in the conduct of a statewide workload study of Medicaid programs, which utilized a time study and random moment survey as the principal data collection strategies. Conducted the data

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analysis to determine staffing need and assisted in the development of an automated tool for future workload monitoring. **2000 – 2001.**

Erie County Department of Human Services, Office of Children and Youth Services, Erie County Implementation Plan, Erie, PA: Implemented the review process to identify the need for changes in the areas of forms reduction, supervisors' and administrators' training, quality assurance and technical assistance and support. Participated in the curriculum development and presentation of a supervisors training series, resulting from the review. **2000 – 2001.**

Pennsylvania Department of Public Welfare, Business Process Reengineering, Harrisburg, PA: Participated in system design and development planning sessions. Developed and implemented statewide training to help counties review business practice changes needed to integrate the Pennsylvania Child Welfare Information System (PACWIS) into county program operations. **2000.**

Pennsylvania Department of Public Welfare, PACWIS, Harrisburg, PA: Assisted in the development of User's Guides and training curriculum for statewide training delivery to 4,500 managers, supervisors and caseworkers in the use of the Pennsylvania Automated Child Welfare Information System. Participated in software development committees meetings. Provided the framework by which Help Desk support was modeled. **1999 – 2000.**

Virginia Department of Social Services, Workload Management Study, Richmond, VA: Led a statewide workload measurement of TANF, Food Stamps, Child Protective, Adult Protective and ten other human services programs using work requirements, best practice and outcome measures to serve the basis of determining time needed to handle cases; worked with the state to determine necessary appropriations for personnel and operating costs for mandated programs based on study results and influencing geographic factors. **1999 – 2000.**

California Department of Education, Quality Improvement Programs, Sacramento, CA: Coordinated the evaluation of nine programs, assisted staff in the development of evaluation strategies, data collection tools and processes for gathering and analyzing information. **1998 – 2001.**

California Department of Education, Child Development Division, Desired Results for Resource and Referral and Alternative Payment Programs, Sacramento, CA: Developed an outcome evaluation system for Child Care Resource and Referral and Alternative Payment programs, developed program standards which support the achievement of the desired results and implemented a data collection and analysis process for both the desired results and the program standards. **1997 – 2000.**

Ohio Department of Job and Family Services, AdoptOHIO, Columbus, OH: Provided guidance in the evaluation of the effectiveness of services designed to increase the number of adoptions of children in public custody, assisted in the analysis of downloaded data from the child welfare tracking system to track the progress of children waiting for adoption; and provided conceptual leadership in the development of an automated application for tracking both children and families being served by public and private adoption agencies. **1998 – 2001.**

New Jersey Department of Human Services, Rate Setting for Foster Care, Trenton, NJ: Developed and implemented a rate setting system for foster home providers. Conducted a survey of foster care caseworkers to identify levels of care authorized for children in placement; developed alternatives for rate setting dependent on level of care need; proposed amendments for equitable distribution of available funding; and developed an automated system for determining the level of care and respective rate of care. **1998 – 1999.**

Lucas County Children Services Board, Technical Assistance on Quality Assurance, Toledo,

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OH: Developed an automated performance and outcome measurement system and a contract management system. Provided instructional documentation and training to quality assurance unit. **1998 – 1999.**

Montana Department of Public Health and Human Services, Division of Children and Family Services, Time Study, Helena, MT: Provided guidance in the conduct of a time and workload management study of foster care and licensing workers. Evaluated resulting regional differences and recommended practice changes. Accessed the Division's case management information system to identify case characteristics. **1998 – 1999.**

Ohio Department of Job and Family Services, Child Protective Needs Assessment, Columbus, OH: Developed the methodology and data collection instruments and conducted the data analysis to quantify the service needs of children and families to prevent removal and/or to reunite families in accordance with the consent decree *Roe v Staples*. Drafted the final report and presented findings to the oversight committee. **1998.**

New Jersey Department of Human Services, Rate Setting for Foster Care, Trenton, NJ: Designed a rate-setting system for foster care homes accounting for differing levels of care. **1998.**

Arkansas Department of Human Services, Division of Children and Family Services, Quality Assurance, Little Rock, AR: Provided leadership to the Quality Assurance Unit for the child welfare division responsible for producing monthly and quarterly management reports, conduct of a time and workload study and special reports, such as the semi-annual report to the Legislature on the impact of welfare reform on child welfare. Assessed the use and continuance use of the Department's SACWIS to access and analyze data, as well the use of intranet resources to access additional case-related data. **1997 – 2010.**

Nevada Department of Human Resources, Division of Child and Family Services, Time Study and Regional Plan Implementation, Carson City, NV: Conducted a time and workload management study of foster care and licensing workers and supervisors; developed the methodology and instruments; conducted the data analysis and projected the need for increased staffing. **1997 – 1998.**

Lucas County Children Services Board, Review and Assessment of the Operations and Service Delivery of the Lucas County Children Services Board, Toledo, OH: Evaluated six areas of agency operation: Case Management and MIS; Management and Leadership; Training; Financial Policies and Practices; Personnel Policies; Practices and Procedures; and Programs and Policies. Conducted focus groups, interviews, document reviews and other field research. **1997.**

Pennsylvania Department of Public Welfare, Office of Children, Youth and Families, Results-based Management System, Harrisburg, PA: Defined and developed a results-based management system for children and youth services. Designed report templates and trained local and state representatives on use and interpretation of the reports. Reports were based on AFCARS and NCANDS data. **1996.**

Connecticut Department of Children and Families, Resource Development Plan, Hartford, CT: Developed and executed a needs assessment methodology for in-home and residential services to children and families in compliance with a federal court order. **1996.**

Illinois Department of Children and Family Services, Front-end Redesign of Child Protective Services, Springfield, IL: Developed models to redesign the organization of child protective investigations and service delivery to intact families and evaluated the impact of each model; conducted data analysis using the state's electronic case management information to measure the impact of the models. **1995 – 1999.**

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Delaware Department of Services for Children, Youth and Their Families, Evaluation of Alternatives to Incarceration Services for Youth, Wilmington, DE: Evaluated the effectiveness and cost efficiency of the Alternatives to Incarceration program compared to the state's secure facility. **1995.**

Corporation for Change, Assessment of the Family Agenda, Topeka, KS: Evaluated changes in the state's child welfare program since initiation of the Family Agenda, with special emphasis on the effectiveness of family preservation services. **1995.**

Milwaukee County Department of Human Services, Strategic Plan, Milwaukee, WI: Developed a strategic plan for Youth Services in Milwaukee County. **1995.**

Colorado Department of Social Services, Level of Care System for Residential Care, Denver, CO: Developed standards for levels of care and rates to support the standards for all levels of foster care; and developed an automated catalogue of placement services to assist counties in matching children to resources. **1994 – 1996.**

Arkansas Department Human Services, Contract and Outcome Monitoring, Little Rock, AR: Created a micro-computer application to accept monthly downloads of mainframe data and produce agency performance indicators; developed contract monitoring procedures for contracted services; re-wrote policy manual; and re-structured compliance reviews to permit more efficient targeting of corrective action efforts. **1993 – 1997.**

Arizona Department of Economic Security, Foster Care Safety, Phoenix, AZ: Performed a case record review of all foster care cases in the state. Developed case reading instruments, arranged for data entry, analyzed the data and assisted in report writing. Assisted in the redesign of the Administration for Children Youth and Families through development of outcome measures, assessment of prior performance through case reading and development of a case weighting system. **1993 – 1996.**

Louisiana Department of Social Services, Rate Setting for Foster and Residential Care, Baton Rouge, LA: Developed rate setting methodologies for residential and family foster care. **1993 – 1996.**

Iowa Department of Human Services, Child Care Rate Setting and Information Systems Analysis, Des Moines, IA: Reviewed day care rate setting methodology and status of automation of day care services; analyzed expenditure patterns for day care services; proposed methodologies for enhancing federal reimbursement (under sub-contract to Stoney Associates, Albany, NY). **1993.**

National Conference of State Legislatures and Corporation for Change, Seamless Child Care Funding, Topeka, KS: Reviewed the Kansas day care system and the state's ability to create a seamless funding structure; reviewed the CARES computer system; reviewed policies regarding subsidy; reviewed rate and parent fee structures (under sub-contract to Stoney Associates, Albany, NY). **1993.**

U.S. Department of Health and Human Services, Washington, DC: Examined the impact of kinship care policies in five states: New York, California, Illinois, Texas and Colorado. **1992 – 1994.**

Oregon Children's Services Division, Children's Service Division Focus 90s Initiative, Salem, OR: Assisted the Division in implementing the recommendations made in the report to the

DENNIS E. ZELLER
Hornby Zeller Associates, Inc.

Legislature, with particular focus on the development of performance measures 1992 – 1993.

Oregon State Legislature, Evaluation of Children's Services Division, Salem, OR: Analyzed the operations and performance of Children's Services Division for the State Legislature Conducted interviews with staff, legislators and the public; reviewed current cases to determine compliance with policy; analyzed current policy; and developed new performance measures to permit the agency to determine the effectiveness of its services on an on-going basis. 1992.

Rhode Island Department of Children Youth and Families, Providence, RI: In conjunction with the American Humane Association and the National Council on Crime and Delinquency, assisted the Department in improving its workload management and developed a structure for payment of special foster care rates 1991 – 1993.

American Civil Liberties Union, New York, NY: Supervised the review of case records in the Kansas litigation *Sheila A.* This included development of the case reading instrument, analysis of the data and final report writing 1991 – 1993.

**ARTICLES,
BOOKS &
REPORTS**

Zeller, D., Gamble, T., *Improving Child Welfare Performance: Retrospective and Prospective Approaches*, **Child Welfare, Journal of the Child Welfare League of America**. Vol. LXXXVI. No 1, January-February 2007

Hornby, H., Zeller, D. and Karraker, D., *Kinship Care in America: What Outcomes Should Policy Seek?*, **Child Welfare, Journal of the Child Welfare League of America** Vol LXXV. No. 5, September-October, 1996.

Hornby, H., Zeller, D., **Assuring the Safety of Children in Foster Care, Arizona Case Review Final Report**, National Child Welfare Resource Center for Management and Administration, June 1994.

Zeller, D., **Model Child Welfare Management Indicators**, National Child Welfare Resource Center for Management and Administration, 1991.

BOARDS

New York State Child Care Coordinating Council, Albany, New York. 6/89 – 4/92.

EDUCATION

M.S.S.W., University of Texas, Austin, 1977
Ph.D., University of Texas, Austin, 1975
B.A., University of Oklahoma, Norman, 1970

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EXPERIENCE

Research Associate, Hornby Zeller Associates, Inc. Management Consulting firm specializing in child welfare, juvenile justice, mental health and public assistance (see *Sample Projects* below) **04/10**

Program Coordinator, Catherine Morrill Day Nursery, Portland, ME: Provided guidance for the implementation of curriculum and programming, organized and implemented accreditation process to comply with NAEYC standards. Facilitated communication and collaboration among families, teaching staff and community providers while coordinating day-to-day operations of the center. Developed and implemented training while organizing large scale events for community, families and staff. **06/04 – 04/10.**

Adjunct Faculty Member, Southern Maine Community College, Early Childhood Education, South Portland, ME: Delivered created curriculum for Early Childhood Education students according to SMCC standards and requirements. Collaborated with community providers promoting program professionalism and sensitivity of the field. **01/07 – present.**

Interim Director, Catherine Morrill Day Nursery, Portland, ME: Collaborated with Board of Directors in program improvement in search of an Executive Director while ensuring developmentally appropriate care and education were provided for all children. Collaborated with community providers, coordinated programs and events providing resources to families. Wrote grant proposals and successfully submitted contracts. **07/ 08 – 05/09.**

Supervising Program Manager, PROP Child and Family Services, Portland, ME: Assured program compliance with Federal Head Start, NAEYC Standards and state licensing requirements via evaluation and ongoing assessment. Developed and implemented systems for professional development while designing and conducting workshops for clients of Women, Infants, Children (WIC) Program. Provided supervision, evaluation, supervision and support to Early Head Start Parent Partners and Head Start Center Directors, facilitating team building and training. **2002 – 2004.**

Parent Partner, PROP Early Head Start, Portland, ME: Advocated and provided support and education to young adult parents of children three years and under via home visits, routine care and socialization experiences. Collaborated with YWCA to improve the quality of life for families in transitional living spaces. Facilitated infant parenting groups providing resources and activities for families and other providers. **2001 – 2002.**

SAMPLE PROJECTS

Maine Department of Health and Human Services, Health Families Program Evaluation, Augusta, ME: Conducted research and assisted in report writing for a project to evaluate Healthy Families, Parents as Teachers and Parents are Teachers Too Home Visiting projects in all counties in the state of Maine. **2010.**

PRESENTATIONS & PAPERS

Dealing with Difficult Behaviors in Young Children, Catherine Morrill Day Nursery Staff and Parent Presentation, Portland, ME, December 2008.

The Psychological Effects of War, University of Maine Graduate Research Presentation, Orono, ME, April 2008

DARSHANA MUTZ SPACH
Hornby Zeller Associates, Inc.

Cognitive Development in Infants and Young Children, Presentation for Annual Board of Directors Meeting, Catherine Morrill Day Nursery, Portland, ME, October 2006.

Observing and Documenting Behaviors, Child Care Agencies Workshop, Greater Portland, ME, September 2005

Working with Highly Sensitive Children, Maine Division of Early Childhood Conference, Bangor, ME, April 2005

EDUCATION

M Ed , Early Childhood Special Education, University of Maine, Orono, ME, 2009

282 Endorsement, State of Maine Department of Education, Augusta, ME, 2008

B A., Geography, Clark University, Worcester, MA, 1998

**SPECIAL
QUALIFICATIONS
& RECOGNITIONS**

Licensed Social Worker – Clinical Consultation for License in Social Work 2,000 hours and 4 years of supervision(2004 – present)

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EXPERIENCE

Research Associate, Hornby Zeller Associates, Inc.: Management consulting firm specializing in child welfare, criminal justice, mental health and public assistance (see *Sample Projects* below). **2006 – Present.**

Research Associate, University of Southern Maine, Portland, ME: Developed and managed externally-funded national and state research projects on policy relevant to research and evaluation related to criminal justice and substance abuse issues. Responsible for obtaining and managing over \$1 Million in grant funding for the University. Research projects included: Evaluation of the Lewiston Family Drug Treatment Court – a civil court that provides parents intensive treatment services to help families regain custody of their children; Evaluation of Maine's Juvenile Drug Treatment Court System – special courts given the responsibility to handle cases involving moderate to high-risk, juvenile offenders with documented substance abuse histories; Evaluation of Maine's Adult Drug Court System – a cross-site analysis of five adult drug courts; National Institute of Justice: Examining the Efficacy of Treatment Interventions in Adult Drug Courts – A cross-site comparison of four mentor courts in California, Missouri, Louisiana and Oklahoma; and Assessment of Maine's Differentiated Substance Abuse Treatment (DSAT). **2001 – 2006.**

Research Analyst, University of Southern Maine, Portland, ME: Responsible for work on the following research projects: Maine State Sentencing Research Project – Analysis of State-wide sentencing practices among Maine's Superior Courts; State of Maine Office of Substance Abuse: State-wide assessment of substance abuse protocols in the context of domestic violence and child abuse. A three-year retrospective state-wide analysis of substance abuse treatment recipients; National Child Welfare Resource Institute for Organizational Improvement: Data Analyst and Consultant for State of Mississippi Department of Human Services Research Project; Institute for Public Sector Innovation - Gender-Based Juvenile Justice Data Project: An Analysis of Prevention Efforts for At-Risk Girls in Maine; and Institute for Child and Family Policy – National Impact Assessment of Violence Against Women Act Funded Programs: A survey of VAWA funded programs across the country. Responsible for data collection, analysis and reporting for the states of Michigan, Illinois, Vermont, Maryland, Oregon and Tennessee. **1999 – 2000.**

Research Consultant, Correctional Counseling, Inc., Memphis, TN: Conducted data analysis for the State of Tennessee Multi Jurisdictional Drug Task Force Evaluation. **1999 – 2000.**

Research Assistant, University of Southern Maine, Portland, ME: Responsible for work on the following research projects: Evaluation of Enhanced Neighborhood Community Policing Program; Evaluation of Vermont Department of Human Services Child Abuse and Neglect Substantiation Criteria; Evaluation of Maine Family Preservation Program; Evaluation of Maine Healthy Families: Support Staff; Family Violence Project Needs Assessment; and South Portland COPS Domestic Violence Research Initiative.

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1997 – 1999.

Project Director, Maine Center for Socio-legal Research, Inc., Portland, ME:

Responsible for work on the following research projects: State of Maine Juvenile Corrections Substance Abuse Treatment Network - Targeted Capacity Expansion Grant. Statewide analysis of Adolescent Offenders in Substance Abuse Treatment in Maine; and Cumberland County District Attorney's Office. Evaluation of Maine's First Adult Drug Court: Project Exodus. **1997 – 1999.**

**SAMPLE
PROJECTS**

Maine Judicial Branch, Evaluation of the Bangor Family Drug Treatment Court,

Augusta, ME: Assisted in the study design for a specialized court intended to improve outcomes in child protective cases impacted by parental substance abuse. Participated in data collection, interviewed key stake holders and performed an outcome analysis in preparation of the final technical report. **2009 – 2012.**

Maine Judicial Branch, Evaluation of Maine's Statewide Adult Drug Treatment Court System, Augusta, ME:

Served as principle investigator overseeing a cross-site evaluation of the six adult drug treatment court programs in the state that provide intensive, judicially monitored community-based treatment for addicted offenders in lieu of incarceration. Created the study design, participated in data collection, interviewed key stake holders and conducted focus groups with consumers in preparation for the final technical report. **2009 – 2011.**

Maine Judicial Branch, Evaluation of Service Enhancements for the Cumberland County Adult Drug Treatment Court, Augusta, ME:

Assisted in the development of the study design to provide enhancements to the services for participants in the Cumberland County Adult Drug Treatment Court. Participated in data collection and analysis in preparation for the final report. **2009 – 2011.**

Arkansas Department of Human Services, Division of Children and Family Services, Evaluation of Family Preservation Services, Little Rock, AR:

Provided assistance with data analysis and review of the technical report for an annual review of services and outcomes for children receiving Family Preservation Services in foster care. **2009.**

Connecticut Department of Children and Families, Statewide Assessment of Systems and Services Pertaining to the Sexual and Physical Abuse of Children,

Hartford, CT: Performed a statewide analysis of contracted services among agencies providing behavioral health and social services for sexually abuse and/or seriously physically abused children to identify gaps in service needs. **2009.**

Maine Department of Health and Human Services, Co-occurring State Initiative, Medicated Assisted Treatment (COSII MAT), Augusta, ME:

Interviewed key stakeholders and conducted consumer based focus groups to examine the provision of medicated assisted treatment (MAT) in substance abuse treatment programs throughout the state. Conducted data cross matching and analysis of administrative data extracts in preparation of the final technical report. **2008 – 2009.**

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Hornby Zeller Associates, Inc.

Maine Department of Health and Human Services, Strategic Prevention Framework State Incentive Grant (SPF SIG), Augusta, ME: Provided assistance in the analysis of statewide administrative data in preparation of an epidemiological report for the Maine State Office of Substance Abuse in the evaluation of Maine's Strategic Prevention Framework State Incentive Grant at the state, community and program level. **2008.**

North Carolina Judicial Department, Juvenile Court Assessment, Raleigh, NC: Participated in case reviews and interviews of key stakeholders involved with the courts and the interstate placement of children. Conducted data analysis to measure the efficiency of the processes used by the courts and involvement of participants across state lines. **2008.**

Alaska Court System, Evaluation of the Anchorage Coordinated Resources Project, Anchorage, AK: As project director, provided project oversight, performed data matching, conducted data analysis, supervised and participated in case record reviews, conducted key stakeholder interviews and wrote the final technical report for a comprehensive evaluation of a mental health court, the Anchorage Coordinated Resources Project, to determine program effectiveness and to contribute to literature and discussion of mental health courts nationally. **2007.**

Alaska Court System, Evaluation of the Palmer Coordinated Resources Project, Palmer, AK: As project director, provided project oversight, performed data matching, conducted data analysis, supervised and participated in case record reviews, conducted key stakeholder interviews and wrote the final technical report for a comprehensive evaluation of a mental health court, the Palmer Coordinated Resources Project, to determine program effectiveness and to contribute to literature and discussion of mental health courts nationally. **2007 – 2008.**

Alaska Department of Corrections, Mental Health Trust Benefit Study, Anchorage, AK: For the comprehensive outcome study of inmates with mental illness served by the Alaska Department of Corrections, conducted data analysis and cross-matching of Department of Corrections, Medicaid Management Information System and Alaska Psychiatric Institute databases and wrote the final technical report that summarized the facility by facility census of incarcerated persons with mental illness, identified a subset of mentally ill offenders eligible for either pre-trial diversion or re-entry programs, identified Alaska Department of Corrections and Department of Health and Social Services shared populations, provided an assessment of service needs, gaps and barriers and assessed the clinical and criminal recidivism outcomes among incarcerated persons with mental illness. **2006 – 2007.**

Connecticut Judicial Branch, Court Support Services Division and Connecticut Department of Children and Families, Service Needs Study for 16 & 17 Year-old Court-involved Youth, Hartford, CT: For the statewide evaluation of service needs for youth involved in Connecticut's adult correctional system, conducted case reading as well as the analysis of recidivism and identification of characteristics of youthful offenders appropriate for diversion. **2006 – 2007.**

HealthReach Network, Maine General Medical Center, Pediatric Rapid Evaluation

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Program (PREP), Augusta, ME: For the evaluation of the program that provides medical and psychological needs assessments for children entering foster care, conducted interviews with judges and oversaw the analysis that compared outcomes between children receiving PREP services with a matched comparison group of children in foster care not receiving PREP services. **2006 – 2007.**

Maine Judicial Branch, Evaluation Services for Co-occurring Court in Kennebec County, Kennebec, ME: For an evaluation study of a drug court developed exclusively to serve offenders with co-occurring disorders, served as principle investigator in charge of conducting the process, intermediate outcome and outcome evaluation. Responsible for the development of the study design, data collection, analytic strategy and final technical report. **2006 – 2009.**

Maine Judicial Branch, Evaluation of Maine's Family Drug Treatment Courts, Augusta, ME: For an evaluation project designed to assess the impact of intensive judicial supervision on child protective custody cases involving substance abuse among parents, served as principle investigator in charge of conducting the process, intermediate outcome and outcome evaluation. Responsible for the development of the study design, data collection, analytic strategy and final technical report. **2006 – 2007.**

Co-Occurring Collaborative of Southern Maine (CCSME), Program Evaluation, Portland, ME: For an ongoing study tracking services and outcomes at Maine agencies serving specialized populations, conducted a longitudinal, cross-site analysis of treatment services provided to persons with co-occurring substance abuse and mental health disorders **2006.**

Maine Department of Health and Human Services, Co-occurring State Integration Initiative (COSII), Augusta, ME: For the evaluation effort to build an infrastructure for agencies to treat both substance abuse and mental illness at the same time and place, conducted a longitudinal, cross-site analysis of treatment services provided to persons with co-occurring disorders in Maine. **2006 – 2010.**

Maine Department of Health and Human Services, Office of Substance Abuse, State Incentive Program Grant, Augusta, ME: For the outcome evaluation assessing the impact eighteen coalition projects had on reducing alcohol and drug use among high school students in Maine, conducted a longitudinal, state-wide analysis of the Maine Youth Drug and Alcohol Survey **2006.**

New Jersey Department of Human Services, Division of Youth and Family Services, Quality Assurance to New Jersey's State Central Registry, Trenton, NJ: Conducted on-site reviews, analyzing and recording both facts and judgments about the calls and the call-takers' responses, action and decisions to assure that call takers were following all legal protocols involved in the receipt and classification of reports of suspected child abuse and neglect. **2006.**

EDUCATION M.A., Socio-legal Studies, Department of Law, University of Sheffield, UK, 2000
Concentration: Comparative Criminology

ARTICLES, BOOKS & REPORTS *Drug Courts: The Second Decade.* 31-page monograph prepared on behalf of the U.S. Department of Justice, Office of Justice Programs, National Institute of Justice, June 2006.

Ferguson, Andrew *A Process and Site-Specific Outcome Evaluation of Maine's Juvenile*

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Hornby Zeller Associates, Inc.

Drug Treatment Court Programs. Submitted to Maine State Department of Health and Human Services. Office of Substance Abuse Augusta, ME.

Anspach, Donald, Ferguson, Andrew and Collom, Vincent. *Evaluation of Program Completion and Rearrest Rates Across Four Drug Court Programs.* Drug Court Review. 5(1):61-68.

Anspach, Donald and Ferguson, Andrew. *Outcome Evaluation of Maine's Adult Drug Treatment Court Programs.* Submitted to Maine State Department of Health and Human Services, Office of Substance Abuse Augusta, ME. 2005.

Anspach, Donald and Ferguson, Andrew. *Outcome Evaluation of Maine's Juvenile Drug Treatment Court Programs: Fourth Year Outcome Evaluation Report.* Submitted to Maine State Department of Health and Human Services, Office of Substance Abuse. Augusta, ME. 2005.

Anspach, Donald and Ferguson, Andrew. *Assessing the Efficacy of Treatment Modalities in the Context of Adult Drug Courts.* Final Report submitted to the U.S. Department of Justice, National Institute of Justice. Washington, D.C. 2003.

Ferguson, Andrew. *Maine Sentencing Research Project 2000.* Analysis of State-wide Sentencing Practices Among Maine's Superior Courts. Publication presented for the Maine Supreme Judicial Court. September 15, 2001.

Anspach, Donald and Ferguson, Andrew. *Project Exodus - Maine's First Treatment Drug Court.* National Drug Court Institute Review 3(1):131-132. 2000.

Anspach, Donald and Ferguson, Andrew. *Sentencing Patterns in Maine: A Look at Current Sentencing Practices.* Paper presented at the Academy of Criminal Justice Sciences. Orlando, Florida. 1999.

Anspach, Donald and Ferguson, Andrew. *Saving Time and Money: Portland's Drug Court Shows How.* Paper presented at the Academy of Criminal Justice Sciences. Orlando, Florida. 1999.

Anspach, Donald and Ferguson, Andrew. *Maine's First Drug Court – Project Exodus* National Drug Court Institute Review. 2(1):116-120. 1999.

Anspach, Donald, Ferguson, Andrew and Monson, S. Henry *A Review and Critique of Maine's Sentencing Reform: Much To Do About Nothing.* Paper presented at the Academy of Criminal Justice Sciences. Albuquerque, New Mexico. 1998.

PRESENTATIONS "Outcomes from the Last Frontier: The Anchorage and Palmer Coordinated Resources Projects." Presented at the CMHS National GAINS Center Conference on Creating More Effective Services. Washington D. C. March, 2008.

"Trust Beneficiaries in the Alaska Department of Corrections and Felony IDP Plus Mental Health Release Programs: Research Findings and Program Results." Presented at the CMHS National GAINS Center Conference on Creating More

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Effective Services. Washington D. C. March, 2008.

“Evaluation of Family Drug Court Programs in Rural Settings – Outcomes from Maine” Presented at the Seventh Annual Conference of the New England Association of Drug Court Professionals” September 21, 2007. University of Massachusetts, Boston.

“Evaluating Maine’s Specialty Courts” Presented at a conference entitled “Maine’s Specialty Court Program Training” October 31, 2006. Maine Department of Public Safety Conference Center, Augusta, Maine.

“Best Practices in Research Design for Maine’s Family Drug Courts” Presented at a conference entitled “Substance Abuse: The Impact on Maine Women, Children and Families” May 23, 2006. Hilton Garden Inn, Auburn, Maine.

“Effective Evaluation Strategies for Problem Solving Courts.” Presentation delivered to the New England Association of Drug Court Professionals Annual Conference, Boston. 2004.

“Evaluating Maine’s Juvenile Drug Courts.” Presentation to the Statewide Juvenile Drug Treatment Court Team Training on Implementing Evidence Based Practice, Augusta, ME. 2003.

“Assessing the Efficacy of Treatment Modalities in the Context of Adult Drug Courts.” Presentation Delivered to the National Institute of Justice, Annual Conference on Criminal Justice Research and Evaluation, Washington, D.C. 2003.

“Evaluating Maine’s Adult Drug Courts.” Presentation to the Statewide Adult Drug Court Team Training on Implementing Evidence Based Practice, Portland, ME. 2003.

“Gender-Based Juvenile Justice Data Project: An Analysis of Prevention Efforts for At-Risk Girls in Maine.” Presentation Delivered to the Juvenile Justice Advisory Group Team Training, Augusta, ME. 2000.

“Factors Associated with Sentencing: Gross Sexual Assault, Unlawful Sexual Contact, Residential Burglary, and Trafficking in Scheduled Drugs.” Presentation Delivered to the 1999 Maine State Sentencing Institute, Augusta, ME. 1999.

“Factors Associated with Sentencing.” Presentation Delivered to the 1997 Maine State Sentencing Institute, Augusta, ME. 1997.

PROFESSIONAL AFFILIATIONS Board Member, Maine Alliance for Drug Treatment Courts.
Advisor, Maine’s Statewide Family Drug Treatment Court Steering Committee.
Advisor, Maine’s Statewide Adult Drug Court Steering Committee.

RESEARCH SKILLS Demonstrated experience in developing, conducting and disseminating sponsored research. Includes: knowledge and experience in state and national funding sources; securing funding from state and national funding sources; planning and managing large

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research and/or technical assistance projects; successful report writing and publication.

Demonstrated capacity in program evaluation and policy relevant research

Strong quantitative and qualitative research skills, including knowledge of major computer-based statistical and relational database packages (e.g , SPSS, AMOS, ACCESS).

Skilled in the use of a variety of statistical and analytical techniques, including: regression (multiple and standard linear and logistic, as well as negative binomial), structured equation modeling and analysis of variance.

Demonstrated ability to communicate and work with broad spectrum of administrators, researchers and other professionals.

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EXPERIENCE

Research Assistant, Hornby Zeller Associates, Inc. Management consulting firm specializing in child welfare, juvenile justice, mental health and public assistance (see *Sample Projects* below).
03/2010 – Present

Administrative Support, Lockheed Martin Corp, Hanscom AFB, MA: Performed office administrative duties including maintaining proper electronic filing of employee documents. Prepared papers, presentations and foreign visitors for security clearance. **05/08 – 09/08.**

AmeriCorps VISTA, HealthReach Community Health Centers, Waterville, ME: Trained health care staff on Prescription Assistance Programs using DataNet database tracking. Created tutorial and informational materials providing health tips and new policy changes for patients. Researched grant opportunities and provided outreach for provider recruitment. Acted as site champion for HRHC/United Way Combined Campaign. **02/07 – 02/08.**

**SAMPLE
PROJECTS**

Maine Department of Health and Human Services, Strategic Prevention Framework State Incentive Grant, Augusta, ME: Recorded data and information while conducting final site visits for the state, community and program-level evaluation of Maine's Strategic Prevention Framework Incentive Grant (SPF SIG) to assist grantees in identifying at-risk populations to be targeted by state grants. **2010.**

Maine Judicial Branch, Evaluation of Maine's Statewide Adult Drug Treatment Court System, Augusta, ME: Recorded information from conducted interviews and focus groups. Analyzed data, determining specific questions to ask in gathering information in the cross-site evaluation of the six adult drug treatment court programs in the state that provide intensive, judicially monitored community-based treatment for addicted offenders in lieu of incarceration. **2010 – 2011.**

Maine Judicial Branch, Evaluation of Service Enhancements for the Cumberland County Adult Drug Treatment Court, Augusta, ME: Created a SPSS database to compile collected survey data in a study to provide enhancements to the services for participants in the Cumberland County Adult Drug Treatment Court. **2010 – 2011.**

Town of Waterville Prevention Coalition, Prevention Services, Waterville, ME: Performed data clean-up as part of an analysis of statewide data on youth substance use. **2010.**

Maine Department of Health and Human Services, Moving Forward: Achieving Independence in Transition-Aged Youth, Augusta, ME: Performed data entry functions for a project designed to address the needs of transition-aged youth and young adults with emotional disturbances, placing emphasis on youth-directed planning and the development of practical skills leading to independence. **2010 – 2012.**

EDUCATION

M. Res., Social Research, University of Aberdeen, Aberdeen, UK, 2009
B A., Religious Studies/Political Science, Elon University, Elon, NC, 2006.

**TECHNICAL
SKILLS**

Microsoft Office, Outlook, Power-point, Publisher and Excel
SPSS, DataNet and NextGen