

From Collaborative Creation to Implementation: The Evolution of a Contract for a Model Program to Finance Child Welfare

Melony A. Price-Rhodes

Dissertation submitted to the faculty of
Virginia Polytechnic Institute and State University
in partial fulfillment of the requirements for the degree of

Doctor of Philosophy

In

Public Administration and Public Affairs

Larkin Dudley, Ph.D., Chairman
James F. Wolf, Ph.D.
Anne Meredith Khademian, Ph.D.
Matthew Martin Dull, Ph.D.

April 3, 2009
Alexandria, Virginia

Center for Public Administration and Policy
College of Architecture and Urban Studies
Virginia Polytechnic Institute and State University

Keywords:

Collaboration, New Public Management, Contracting, Interagency Public Policy, Child Welfare Financing

Copyright 2009, Melony A. Price-Rhodes

FROM COLLABORATIVE CREATION TO IMPLEMENTATION: THE EVOLUTION OF A CONTRACT FOR A MODEL PROGRAM TO FINANCE CHILD WELFARE

Melony A. Price-Rhodes

ABSTRACT

Because of on-going reform efforts, rapidly changing business environments, and increasing demands for government services while reducing expenditures, organizations realize government is challenged with social welfare problems that cannot be effectively tackled utilizing our traditional bureaucratic structures. Organizations must work across traditional organizational boundaries to implement reform efforts that reduce the size of government, operate more efficiently, reduce fiscal stress, and employ market-like mechanisms.

Government reform efforts are not new; universities, to include Virginia Tech, play a large role in reform activities. Also playing a prominent role in government reform efforts are contractual relationships; these relationships continue to increase.

Virginia Tech, through the implementation of the Federal Reimbursement Unit (FRU), has had a long-term contractual relationship with a local government in implementing government reform, specifically in the implementation of a unique model program to maximize local revenues to finance a child welfare program. The goal of the program is to use less county tax dollars to support children in foster care, and provide a seamless process in maximizing resources from federal entitlement and state programs.

While contracts have played a major role in reform efforts for many decades, long-term contract relationships are not fully explored in the literature. There is much

more to learn about the relationships, and their role in reform, specifically how contracts evolve over time.

Using a single case study design, this research explored the evolution of a long-term contract involving collaborative activities between a state university and a local county through the implementation of this unique model program. Interviews provided the primary method of data collection with experts in the child welfare field. The research explored key factors in the model program that led to the implementation and evolution of the contract with a focus on selected elements of the popular New Public Management (NPM) form of governance and interagency collaboration.

The results identify multiple collaborative and selected NPM elements that existed in the implementation and subsequent evolution of the contract. These selected elements may not be present in other long-term contracts; however they played a significant role in the implementation and evolution in this research.

DEDICATION

In Memory

Anne Disher Price

This dissertation is dedicated to the memory of my mother, Anne Disher Price, who was my first teacher. The endless afternoons you spent at the kitchen table with me as I struggled with my homework, complete with holes in the paper from my many erasures, and your enduring patience paid off today.

The joy, excitement, and celebration that today brings is only dampened because you are not here to share it with us. I wish you were with me to see this moment; I know you are looking down from heaven and are smiling.

Since you traded this mortal Earth for a Heavenly one, there are moments of sadness, along with moments of joy and happiness. I find peace and comfort because I know you are forever with me. Indeed, you left before I finished this task, but I hear your voice telling me how proud you are of me. You always offered me your unwavering support, and were my ardent cheerleader for all of my activities throughout my life, including this one.

Thank you for teaching me to rely on my faith in good times and bad. Thank you for being my ultimate role model, and for living a life of love and service to others. To say I love you and miss you does not seem to be nearly enough, but it will have to suffice until I see you again. Until then, momma, I will love you forever.

ACKNOWLEDGEMENTS

Anyone who is close to me knows about my life long passion and aloha for Hawai'i, her people, language, and the Hawaiian culture. My favorite Hawaiian Proverb, *A'ohe pau ka 'ike i ka halau ho'okahi*, "Not all knowledge is found in one school", and favorite Hawaiian phrase, *Onipa'a*, "to remain steadfast" is the personal motto of Queen Lili'uokalani, the last reigning Hawaiian monarch, and my heroine, perfectly summarizes the achievement of this dissertation. Nothing could be truer along the path to complete this project.

Writing a dissertation is much like what my training for the Kona Marathon was like. There is so much to learn, with many distractions along the path. Both require perseverance, patience, and endurance, along with the support and encouragement from many people. There is a phrase used in business motivation materials that is quite relevant to this process, "The race goes not always to the swift...but to those who keep on running." This is true in running and dissertations.

As I created and planted the seeds of my research, and worked to nurture the subsequent ideas committing the many hours necessary to see it develop and eventually come to fruition, I often reflected and compared this to stages of my marathon preparation. As I was developing my initial concept and formulating the vital research questions, I compared it to my very first marathon training run. I met my best friend, Diane Nguyen, during that first run. She literally "ran into my life" on that cold Saturday morning in January 2001, and, as runners do, every life's detail is shared and thus soul sisters are created. That is what happened with Di, and life has not been the same since. I would not trade a minute!

As the research was nurtured, forward progress was made. I conducted my Concentration Lecture and communicated my feeble potential research ideas in front of my esteemed professors and select classmates as to why I thought my research was viable. I compared this research achievement to my marathon milestone of running ten miles for the first time. I felt like I had conquered the world! Next, the honing of the research questions, identifying the literature and the scholarly field this dissertation was to contribute, and writing my Prospectus, compared to the completion of running 18 miles for the first time. Emerging relatively unscathed from the Prospectus Defense, I experienced the famous and much sought after "runner's high". It was a great feeling; I was now beginning to believe this dissertation was on the right course, and I had the potential to contribute to the scholarly literature.

Of course, I had a long way to go even with these two milestones behind me. I was not the first to run this course, millions have blazed the trail before me, and many more will follow, but each must follow their own direction and time continues to move forward. As I continued to write, ever refining my thoughts, concepts, the words found their way to my paper, and began to make sense. Like a well trained runner winding through the well-worn path through the woods, along the lakeshore, deserted back roads, or tropical beach

listening to the music of the pounding surf, the finish line eventually comes into view. As the marathon preparation and training comes to a close and the actual race begins, I am once again in my favorite tropical paradise. The excitement of the race and the completion of my dissertation are almost too overwhelming.

Before I know it, I see the finish line ...for the marathon... for my dissertation..., and am reminded of 2 Timothy 4:7, “I have fought the good fight, I have finished the race, I have kept the faith.” Both the marathon and a dissertation are a test of many things, faith, commitment, trust, patience, and courage, just to name a few. Neither one can be accomplished alone. I attribute my success to many.

It is with deep gratitude that I thank my Dissertation Committee. First, my chair, Larkin Dudley, whose enthusiastic encouragement is beyond compare and was vital to the completion of this project. You will never know how much that meant. Your kindness, insight and suggestions improved my understanding and always broadened my vision. Your expert leadership, knowledge, and friendship are awesome. I could not have accomplished this enormous task without your help. Thank you for encouraging me and assuring me that I was making progress. It was not until I had known Larkin for several years that we discovered we were fraternity sisters. I liked her from the very first day we met- I had just started the MPA program when we went canoeing over ten years ago. Larkin, ZLAM, you're the greatest!

Second, Jim Wolf, you were the first person I met at Virginia Tech when you answered the phone the day I called to inquire about becoming a student. Three days later, we met for the first time; you graciously gave your valuable time to me and have never stopped. You were one of the pillars in the implementation of the FRU by stepping out on a limb to involve the university in non-traditional roles to get this project going. You were instrumental for my Graduate Research Assistantship as a FRU Court Specialist and my subsequent success at Virginia Tech both academically and professionally. Even before I started my doctoral work, you were planting seeds within me to write a dissertation about the FRU. Here it is. I hope I have made you proud.

Third, Anne Khademian, our paths never crossed during my coursework, but I have learned so much from you during this process and other academic adventures. I thank you for your valuable input. After listening to me during my Prospectus Defense you drew out a very comprehensive model of my dissertation and simply said “This is what you are talking about”. I kept that model posted on my desk throughout the writing of my paper and used it as my guide.

Fourth, Matt Dull, like Anne, our paths did not cross during my coursework, but I heartily thank you for listening to me ramble as I gave you impromptu updates on my research. You always showed an interest in my progress, posed questions for me to consider, acknowledged my passion for the good work that results from the work the FRU does, and always offered encouragement. During one of our talks, we learned about each other's passion for photography. I look forward to discussions about that topic, not dissertations, in the future!

I can never completely thank Renee Loeffler for her many years of hard work and dedication to this unique model project, her service to the university, and the greater community. Renee is an exceptional role model, and I often emulate what I have learned from her. Renee's unwavering confidence in my abilities as the Project Director for the FRU means more than I can ever express. Renee, you are the greatest!

I would be very remiss if I did not thank Bill Benton for his incomparable expertise, unequaled knowledge, supreme vision and insight in creating a team of dedicated people that throughout the years would work to draw down millions of federal dollars for children in foster care. I am very thankful to play a small part in the FRU and in the additional professional adventures that we have had together. I truly believe throughout the years, your work has touched and made a vast difference in the lives of thousands of children. By your work you are inventing the future not only for our children, but also for us. Yes, Bill, I heartily agree with you, this project achieved everything you had hoped.

I thank Virginia Tech and the university community for providing me the opportunity not only to expand my academic knowledge, but also the immense opportunity to contribute to the university's motto, Ut Prosim¹ and mission. I truly believe that

... Research universities such as Virginia Tech are connected to mainstream societal issues more than ever before. The modern American university ... represents a crucial thread in the fabric of American culture. One attribute that distinguishes Virginia Tech ... is the interconnectedness -the interactivity- of the university to the society and constituencies it serves. ... We believe that universities are most viable when they are interactive, when they reflect and respond to the problems and challenges of their societies.²

There many classmates that played a vital role in my graduate education, and professional development over the years. I cannot begin to name all of you for risk of making omissions. Just accept my sincere mahalo.

Mahalo nui loa to my family and friends who provided great encouragement in this adventure. Dad, Chip, and Drew too, you were a great support always inquiring how the "book" was coming along, and always acting interested in what I said. Aloha Au Ia 'Oe.

As with my classmates being too vast to call out by name, so are the many friends who offered words of encouragement and support. Mahalo nui loa.

Mahalo nui loa to my husband Doug for his endless support in this endeavor. As with the marathon training and subsequent race, he did not stand on the sidelines as a silent cheerleader. He was involved in every step of this project as well. He learned more about collaboration and child welfare financing than he ever dreamed possible. From

¹ That I May Serve

² http://www.president.vt.edu/mission_vision/mission.html

proofing and editing endless revisions, finessing his clothes drying skills, and making chocolate chip cookies, dubbing them “study buddies”, this adventure would not have been possible without him. Aloha Au Ia 'Oe.

To my canine daughter, Sunshine, you were my faithful early morning and late night writing companion joining me in listening to hours of Hawaiian music. You never let me forget when it was time to stop everything, even when I was deep in concentration, to take you outside to play Frisbee or get dog hugs and kisses. A dog’s life is so simple and uncomplicated; we humans could indeed take lessons from our canine friends.

God ultimately made this dissertation possible. All things are possible through Him, even dissertations! Mahalo nui loa!!

TABLE OF CONTENTS

ABSTRACT	ii
DEDICATION	iv
ACKNOWLEDGEMENTS	v
TABLE OF CONTENTS	ix
LIST OF TABLES AND FIGURES	xii
LIST OF ABBREVIATIONS	xiii
CHAPTER 1-INTRODUCTION	1
<i>Description of the Federal Reimbursement Unit</i>	1
<i>Research Questions</i>	3
<i>Significance of Research Questions</i>	4
<i>Structure of the Dissertation</i>	4
CHAPTER 2-CHILD WELFARE POLICY FRAMEWORK	6
<i>The Foster Care Crisis</i>	6
<i>Foster Care Crisis in Fairfax County Virginia</i>	8
LEGISLATIVE AND POLICY BACKGROUND	9
<i>Relevant Federal Funding Streams</i>	12
<i>Model of FRU Funding Streams</i>	12
<i>Title IV-E</i>	13
<i>Title XVI Supplemental Security Income</i>	14
<i>Title II Social Security Benefits</i>	15
<i>Title IV-D Child Support</i>	16
<i>Title XIX Virginia Medicaid</i>	17
CHAPTER 3-LITERATURE REVIEW	19
<i>Privatization in the United States</i>	20
<i>Background Literature</i>	20
<i>Privatization in the Social Services Literature</i>	21
<i>Contracting in the States</i>	23
<i>Specific Initiatives in Social Services Privatization</i>	25
<i>Themes in the Social Services Contracting Literature</i>	26
<i>Contracts Over Time</i>	28
<i>Model of Evolution in the Implementation of the FRU Contract</i>	29
LITERATURE DRAWN FROM THE MODEL	31
<i>Environment</i>	31
<i>Relationship</i>	32
<i>Contract Accountability</i>	37
<i>Trained and Qualified Staff</i>	40
<i>Structural Changes</i>	41
CHAPTER 4-METHODOLOGY	42
<i>Case Study Inquiry</i>	43
<i>Role of the Researcher</i>	44
<i>Data Collection Procedures and Process</i>	45
<i>Literature and Document Analysis</i>	45
<i>Interviews</i>	46
<i>Triangulation of Data</i>	51
<i>Analysis of Data</i>	54
<i>Validity and Reliability</i>	56
<i>Limitations of this Study</i>	56
CHAPTER 5-DATA ANALYSIS AND RESEARCH FINDINGS	58
<i>Contract Periods and Their Relevant Provisions</i>	59
<i>Period One (Inception to 1999)</i>	60
<i>Period Two (2000-2004)</i>	62

<i>Period Three (2005-current)</i>	64
<i>Organizational Players and Their Roles in the Implementation</i>	66
<i>Evolution of the Dimensions of the Contract</i>	70
<i>Environment</i>	72
<i>Environmental Factors Contributing Toward Initiation of the Contract</i>	72
<i>Goals and Choosing the Contractor</i>	75
<i>County Benefits to Hiring Virginia Tech</i>	78
<i>Environment: Political Support and Leadership</i>	81
<i>Program Management</i>	83
<i>Line Level Staff</i>	84
<i>Relationship</i>	87
<i>Communication</i>	89
<i>Trust</i>	92
<i>Contract Accountability</i>	93
<i>Importance of Trained and Qualified Staff</i>	96
<i>Examining Culture Changing Strategies</i>	99
<i>Structural Changes</i>	104
<i>Co-location of FRU Staff</i>	105
<i>Elements of NPM and Collaboration</i>	106
<i>Elements of NPM</i>	107
<i>Entrepreneurial Activities</i>	107
<i>Cost Benefit Analysis</i>	109
<i>Performance Management and Accountability</i>	110
<i>The Role of Collaboration</i>	110
<i>The Relationship Between NPM and Collaboration</i>	113
<i>Implementation of Other Models Based on the FRU</i>	114
CHAPTER 6-ANALYSIS, SUMMARY, IMPLICATIONS, AND SUGGESTIONS FOR FUTURE RESEARCH	117
<i>Research Themes and the Literature</i>	118
<i>Specific Findings on Evolution of the Elements of the Model</i>	118
<i>Environmental Factors</i>	118
<i>University and County Organizational Players, Leadership and Political Support</i>	121
<i>Relationships Among the University, County and Private Sector</i>	123
<i>Trust</i>	124
<i>Communication</i>	125
<i>Performance Measurement</i>	125
<i>Changing the Outcomes</i>	126
<i>Relevance of Trained and Qualified Staff</i>	127
<i>Characteristics of New Public Management</i>	129
<i>Collaboration</i>	131
<i>Relationship Between Collaboration and New Public Management Techniques</i>	133
<i>Application of Stewardship Theory and Culture Changing Strategies</i>	133
<i>Blurring Organizational Boundaries</i>	134
<i>Revisiting Our Model as Applicable to the Case Study</i>	136
<i>Dimensions Added to the Model</i>	136
<i>Summary Comments on the Revised Model</i>	140
<i>Implications for Public Management</i>	142
<i>Areas for Future Research</i>	144
CONCLUDING REMARKS	146
APPENDICES	156

APPENDIX A: LIST OF INTERVIEWEES	157
APPENDIX B: INTERVIEW GUIDE AND QUESTIONS	158
APPENDIX C: DETAILED CONTRACT PROVISIONS	162
<i>Period One (Inception to 1999)</i>	162
<i>Period Two (2000-2004)</i>	165
<i>Period Three (2005-current)</i>	167
APPENDIX D: TITLE IV-D	170
<i>Establishment of Paternity</i>	170
<i>Establishment of Medical Support</i>	170
APPENDIX E: SUMMARY OF INTERVIEW RESPONSES	171

LIST OF TABLES AND FIGURES

Table 1: Areas of Inquiry	51
Table 2: Project Data & Archival Information and Contribution to Areas of Inquiry	53
Table 3: Stages of the FRU Contract	60
Figure 1: Basic Funding Model for Federal Reimbursement Unit	12
Figure 2: Model of Evolution in the Implementation of the Federal Reimbursement Unit	30
Figure 3: Revised FRU Model.....	138

LIST OF ABBREVIATIONS

AACWA	Adoption Assistance and Child Welfare Act of 1980
AFDC	Aid to Families with Dependent Children
ASFA	Adoption and Safe Families Act of 1997
CAUS	College of Architecture and Urban Studies
CPAP	Virginia Tech University's Center for Public Administration and Policy
CPS	Child Protective Services
CSA	Comprehensive Services Act
DCSE	Virginia Division of Child Support Enforcement
DRA	Deficit Reduction Act of 2005
DFS	Department of Family Services
DFS SES	Department of Family Services Support Enforcement Specialist
DHS	Department of Human Services
DMAS	Virginia Department of Medical Assistance
EPSDT	Early Periodic Screening, Diagnosis and Treatment
FFP	Federal Financial Participation
FRU	Federal Reimbursement Unit
JDRC	Juvenile and Domestic Relations Court
JLARC	State of Virginia Joint Legislative Audit and Review Committee
LOB	Lines of Business
NPM	New Public Management
NPR	National Performance Review

OASDI	Old-Age and Survivors Insurance and Disability Insurance
ORSD	Office of Scientific Research and Development
PRWORA	Personal Responsibility and Work Opportunity Reconciliation Act of 1996
SSA	Social Security Administration
SSI	Supplemental Security Income
TANF	Temporary Assistance for Needy Families
VDSS	Virginia Department of Social Services

CHAPTER 1-INTRODUCTION

Coupled with on-going reform efforts, rapidly changing environments, increasing demands for government services, public managers are realizing that government faces social welfare problems that cannot be effectively tackled by utilizing our traditional bureaucratic structures. Organizations must work across traditional agency and department boundaries to implement reform efforts to reduce the size of government, operate more efficiently, reduce fiscal stress, and employ market-like mechanisms.

While contracts have played a major role in reform efforts for many decades, students of public policy and administration still have much more to learn about contractual relationships and their role in reform, specifically how contracts evolve over time. This study of the relationships around the Federal Reimbursement Unit (FRU) for Fairfax County includes how relationships continued to change between the two principals, a university, Virginia Tech and the FRU.

Description of the Federal Reimbursement Unit

The FRU team is comprised of Virginia Tech research faculty and staff, co-located in the Fairfax County Government Center (Pennino Building) and the Fairfax Juvenile and Domestic Relations Court (JDRC) located in the city of Fairfax.³ The FRU reviews records of children in the county's foster care system and supports the process for reimbursements

³ Virginia Tech is one of two land grant universities along with Virginia State University of the Commonwealth of Virginia, with campuses located throughout the state and several foreign countries. It is a Class One research university. The Center for Public Administration and Policy (CPAP) at Virginia Tech is a graduate department with faculty dedicated to and experienced in providing services to all levels of government. The Institute for Public Policy Research (IPPR), located within CPAP, was created to facilitate a mission of service to government agencies. Since 1992, the IPPR has provided extensive research, consultation, technical and expert assistance to state and local government agencies covering many program areas. The IPPR has provided extensive research and technical assistance to state and local social service agencies to help them maximize their federal and other funding for child welfare programs including funding for children in foster care. In 2007, the IPPR merged with the Institute of Policy and Governance, School of Public and International Affairs, Outreach and International Affairs.

for those children. The team has ongoing responsibilities to facilitate a collection of centralized processes to access federal funds, to secure child support from non-custodial parents on behalf of the children in foster care, and to pursue Medicaid funding for certain Medicaid eligible services for Comprehensive Services Act For at Risk Youth And Families (CSA) funded youth placed out of their homes.

The reimbursement of local expenditures via federal funds reduces the costs (expended by the county's Department of Family Services (DFS) and through the CSA) of providing services in foster care. Funds are accessed for reimbursement, based upon each child's eligibility. These include Title IV-E, Title II and XVI – Supplemental Security Income (SSI) Benefits, Survivors' Benefits (SSA), Title XIX – Medicaid benefits, and Title IV-D – Child Support. The goal of the FRU is to assist Fairfax County with establishing access to a source(s) of funds for each child in foster care in addition to CSA pool funds which provides funding for all services to the children receiving foster care services.

Government budgets at all levels are experiencing record deficits and are reducing the amount of money spent on child welfare programs. The FRU is an innovative project that utilizes the federal and state resources and facilitates a collection of centralized processes. Specifically, the FRU team obtains information and documents required to screen each child for eligibility for all the five funding streams the FRU is responsible. The collaborative contract between the two organizations, Virginia Tech and Fairfax County, has lasted over twelve years, and has played a significant role in increasing the county's revenues by millions of dollars, yielding very positive returns on Fairfax County's investment of the FRU (Price-Rhodes, 2007, 2008). The FRU's efforts work to secure funds for the county's DFS and CSA programs for children from pools of resources other than state and local dollars.

Research Questions

In order to contribute to our understanding of how contract relationships evolve over time, the purpose of this study is to explore the evolution of this long-term contract between a state university and a local government to implement a unique model program to maximize federal resources for a child welfare program. Specifically, I will focus on the contract between Virginia Tech's FRU and the Department of Family Services in Fairfax County. I have developed the following research questions to aid in the exploration of the collaborative activities that took place in the implementation and evolution of this contract. My primary research question is "How did this model program contract evolve?" One of my research sub questions is what are the dimensions of this long-term contract in coping with fiscal stress in foster care? I will study how specific dimensions related to the implementation and evolution of the program. These dimensions include:

- the **environment** (fiscal stress, political support, leadership, program management),
- the **relationship** between the county and the university (collaborative vs. business interactions, trust, communication)
- **contract accountability** (contract management, performance measures, achievable goals), and
- **structural changes** (co-location of staff, changes in staffing levels)

A second sub question will be investigated, how do the elements of NPM and collaboration contradict or complement each other in this long-term contract? I will explore the role interagency collaboration played in the implementation of the program, and were characteristics of NPM techniques and collaboration combined to implement this contract for an innovative pilot program?

Significance of Research Questions

This dissertation is significant in three areas. First, there is an *empirical* significance in adding to the research and understanding in a long-term contractual relationships; this dissertation hopes to contribute to the lack of research in this area. Second, while contracting to achieve the goals of government reform are not new, a long-term contract such as this one represents a new world for public management and understanding this new world adds an important *practical* significance to the dissertation. One of the characteristics identified during collaborative efforts is that the boundaries of traditional hierarchical organizational structures become blurred, representing just one change in long-standing organizational structures. Also with long-term contracts, the contract itself is not static as it continues to evolve. Third, a *theoretical* significance is present because this program offers the opportunity to understand how somewhat “contradictory” values are combined. The apparent contradiction is that the values surrounding contracting are often thought of as contradictory to elements of collaboration while this project combines both. Understanding how the two sets of values are blended will assist us in understanding theoretically how relationships are built in long-term contracts.

Structure of the Dissertation

The dissertation is structured in the following manner. Chapter Two provides a contextual framework for the study. This will include a discussion on the foster care crisis, a description of foster care in Fairfax County, and Federal legislation and the country’s national policy framework for funding child welfare. I will also discuss the funding streams for which the FRU is responsible.

Chapter Three will discuss a review of the relevant literature used in this research. The literature discusses privatization in the United States with a focus on privatization in the social services literature. I will examine themes in the social services contracting literature with the purpose of creating a foundation in supporting the study results. This includes a review of the literature on the NPM characteristics of contracting and collaboration.

Chapter Four will detail the research design and methodology that was used in this study. This will include a discussion on how the research was conducted, the data collection, and analysis process.

Chapter Five discusses the results of the study, to include a discussion of relevant portions of the FRU contracts over the years, and the results of the elite interviews as they answer the research questions posed by the researcher.

Chapter Six contains the analysis and summary from the research. The chapter also discusses implications and recommendations for additional scholarly research.

CHAPTER 2-CHILD WELFARE POLICY FRAMEWORK

The national policy on the child welfare framework is very complex and is constantly changing. Federal, state, and local legislation, regulations, and statutes play a role in the child welfare framework. While this dissertation explores the implementation and the evolution of a long-term contractual relationship between a university and a local government, it is important to understand the contextual policy framework in which the contract rests.

Complex funding streams affect how child welfare policies are implemented; most originate from the Social Security Act of 1935, most familiarly known as the Social Security Act. The funding streams that pertain to this dissertation include Title IV-E⁴, Title IV-D, Title XVI, Title II and Title XIX. Eligibility requirements and criteria differ in the application for the benefits on behalf of children in foster care, ongoing activities are required, and the receipt of the benefits are not mutually exclusive as the receipt of one benefit may reduce the rate of another. In addition to federal funding streams, the state of Virginia has a pool of funds for at risk youth through the CSA program. These funds are used to purchase services for high risk youth.

The Foster Care Crisis

Children in foster care represent our society's most vulnerable population. They have suffered at least one, often multiple, types of abuse and neglect to include physical, mental, sexual, emotional, and medical harm, exploitation, poverty, failure to act by a parent or guardian, or other types other abuse or neglect. Their homes are no longer a safe place to live (Bass, Shields, & Behrman, 2004; Sanders, 2002-2003; Swann & Sylvester, 2006). Foster care is a temporary substitute care of treatment and rehabilitative services for children

⁴ Title IV-E is from Public Law 96-272.

who have been removed physically and legally from their families (Halfon, English, Allen, & DeWoody, 1994; Sanders, 2003; Usher & Gibbs, 1995).

Nationally, the foster care caseloads dramatically increased beginning in 1985 from 276,000 children to 568,000 in 1999 (Swann & Sylvester, 2006). In 2006, the latest year statistics are available; there were 510,000 children in the foster care system in the United States.⁵ Scholars attribute this large increase to four reasons 1) the crack cocaine and HIV/AIDS epidemics of the 1980s (Swann & Sylvester, 2006), 2) increased rates of female incarcerations after the passage of the 1986 Anti-Drug Abuse Act (Halfon et al., 1994; Swann & Sylvester, 2006), 3) the decline in welfare benefits and escalating and persistent poverty (Halfon, Berkowitz, & Klee, 1992; Swann & Sylvester, 2006), and 4) the implementation of child welfare policies that are aimed at children spending less time in foster care and a permanency plan created for their exit from foster care either through reunification with their families, termination of parental rights, or perhaps adoption (Kuhns, 1997).

Providing foster care services potentially involves extensive services to address the many multifaceted needs of children and their families. Children removed from their homes and placed in foster care have significant mental and physical issues to include increased rates of chronic physical disabilities, serious emotional and behavioral problems, developmental delays, and poor school performance (Libby, Leslie, O'Connell, Wood, Rolls, & Landsverk 2006).

⁵ The Adoption and Foster Care Analysis and Reporting System (AFCARS), U.S. Department of Health and Human Services, Administration for Children and Families, Administration on Children, Youth and Families, Children's Bureau maintains statistics on children in foster care.
http://www.acf.hhs.gov/programs/cb/stats_research/afcars/tar/report14.pdf

Because of the trauma experienced by these children, the types of services they require to rebuild their lives are often extensive and involve many months or years (Halfon et al., 1992). The treatment and rehabilitation may include any combination of counseling, and necessary services such as medical, mental health, possible hospitalization, special education, substance abuse, psychological, and others. Not only do the children require extensive and on-going rehabilitation, treatment and vital services, their parents and other family members (siblings) very often require such services. Only after extensive treatment, rehabilitation and services can one hope to rebuild the lives of the children so they are able to lead productive lives.

For multiple reasons it is difficult to completely assess the cost of foster care (Conrad, 2006; Libby et al., 2006), but there is no disagreement that services and treatment for the children and their families are very expensive (Harknett, Garfinkel, Bainbridge, Smeeding, Folbre, & McLanahan, 2005). An important rationale for the expenditures on children is that the present investment on them will result in a healthy and productive workforce when they are adults (Waterson, 2000).

Foster Care Crisis in Fairfax County Virginia

Between 1992 and 1996 the number of children receiving foster care services increased by 37 percent in Virginia with the county's foster care population approaching 800 (Griffin, 1998). At the end of fiscal year 2007⁶ there were approximately 8,100 children in foster care in Virginia, approximately 500 of these children were in foster care in Fairfax County (Virginia, 2007). The number of children in foster care has stabilized and in fact decreased somewhat in the past few years, however, costs to provide services continue to escalate and increase the fiscal burden on local governments. Fairfax County spends millions

⁶ Fiscal year 2007 runs from July 1, 2006-June 30, 2007

of dollars each year to provide treatment and services to children in their foster care program and their families in efforts to reunite the family or plan for permanent resolution for the child. The county is committed to providing high quality services despite a continuing challenging fiscal environment, reductions in local and state government budgets and new reductions and restrictions in federal funding for public human services, specifically funding for child welfare programs to include foster care.

These significant challenges have made it crucial for local governments to maximize their revenues in order to continue serving the children in foster care and their families. As government agencies at all levels are reexamining service priorities in the midst of challenging fiscal environments, creative methods for financing child welfare programs are more important now than ever before.

LEGISLATIVE AND POLICY BACKGROUND

Federal legislation and the country's national policy framework for funding child welfare have a relatively short history, and like the nation's national child welfare policy, continue to evolve.⁷ Accessing federal funds for children in foster care, particularly the eligibility criteria for Title IV-E, is intricately tied to selected provisions in federal child welfare legislation.

It was only forty years ago that the federal government created the first legislation formally addressing children in foster care. The first federal funding legislation was created with the passage of the 1961 Act⁸; creating the nation's first formal foster care system. This legislation was the first to offer federal funding to states to care for children who entered

⁷ The most recent change was the Deficit Reduction Act (DRA) of 2005, signed by President George W. Bush on February 8, 2006.

⁸ Public Law 87-31 was signed by President John F. Kennedy on May 8, 1961 as part of a larger plan by his administration to address the country's poverty issue where the family's wage earner became unemployed and exhausted their unemployment benefits.

foster care because their parents could not because of poverty (Sanders, 2003). The purpose of the act was to “authorize financial participation in aid to dependent children of unemployed parents and for other purposes” (Sanders, 2002-2003). The “other purposes” included children entering foster care. The significance of this legislation was the creation of the unintended consequence of “foster care drift” or abyss because there was not a process for the children to exit foster care. Legislation addressing the growing population of children in foster care was not passed until 1980 with the Adoption Assistance and Child Welfare Act (AACWA) when the foster care population increased to approximately 400,000.⁹

In the 1980s, Congress took a renewed interest in the federal funding in the child welfare area and intended to address many issues plaguing the child welfare system, specifically those children who had entered the foster care system fueled by the crisis in the child welfare system and limited federal oversight for children removed from their homes and placed into foster care by the passage of the AACW.

The AACW was the first legislation providing any structure to the nation’s foster care system, and reflected the nation’s shift in policies concerning foster children’s needs. The significance was to create a process stopping the one way flow of children into care, and providing an incentive to move children out of care through the establishment of the case review system as the mechanism to prevent the child’s removal from the home or return the child to the family when possible.¹⁰ The goal of this act was to provide a permanent solution for children in foster care through providing services to increase the family’s stability so that

⁹ Public Law 96-272 signed by President Carter on June 17, 1980. Because of the broad provisions legislated with this act, only those relevant to the funding affecting the work of the FRU are discussed. An evolving consciousness about the overall needs of children is the factor that underlies modifications to the nation’s child welfare policy.

¹⁰ Specifically, funding is made to states that make “reasonable efforts” to prevent removal from the home if possible, as well as making it possible for the child to return home. The inclusion of “reasonable efforts language” in court orders is an eligibility requirement to access Title IV-E funds.

removal will not be necessary, or if the child was removed, provide services to prepare the family for the child's return rather than provide funds when the removal was necessary as the case with the 1961 Act.

Additional actions were taken throughout the 1980s and 1990s to continue to tackle issues in the child welfare system. The Adoption and Safe Families Act (ASFA) enacted in 1997 continued to reform the child welfare system. Emphasis of this law was to provide child safety and permanency to the child rather than family reunification.¹¹ This was a significant change in previous philosophy in planning for the future of children in foster care. Lawmakers realized that some family situations could not be improved or "fixed" enough for the child to be returned home and safely reside. Relying solely on family preservation was not working, and permanency could not be achieved by relying on this method. Providing for the child's safety and health, creating a process to move children out of the system more quickly, and terminating parental rights became significant provisions of this legislation. Today, the implementation of child welfare funding continues to be composed of multiple complex federal, state and local funding streams each with their own regulations, eligibility criteria, processes and procedures designed to provide a broad range of services to children and their families.

¹¹ A significant provision to this legislation included statements regarding continued residence at the home would be contrary to the safety and health of the child by a parent or caretaker are required along with the "reasonable efforts" language in court orders for meeting eligibility requirements for Title IV-E funds. Reasonable efforts language was given additional clarification than originally enacted in the 1980 Act.

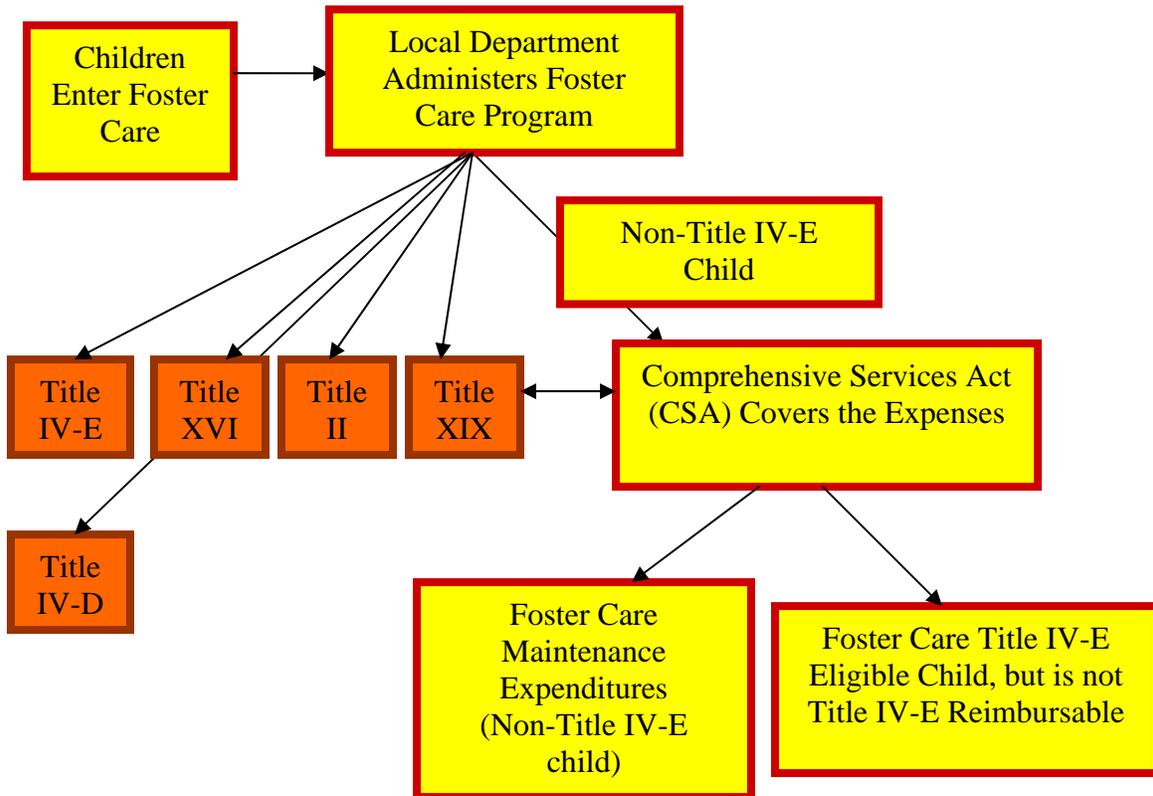
Relevant Federal Funding Streams

The FRU is responsible for screening each child entering foster care in Fairfax County for the following funding streams, Title IV-E, Title XVI Supplemental Security Income, Title II Social Security Benefits, Title IV-D Child Support and Title XIX Medicaid. Currently approximately half of all child welfare costs are paid for by federal funds.

Model of FRU Funding Streams

All the policies and funding streams have concrete implications for the development of the FRU. The model below illustrates how these funding streams come together in the FRU. A discussion on the funding streams is detailed below the model.

Figure 1: Basic Funding Model for Federal Reimbursement Unit



Title IV-E

The primary federal fund accessed for foster care children meeting strict eligibility requirements is Title IV-E, a permanently authorized open-ended entitlement through which states are allowed to claim unlimited reimbursement for eligible foster care expenses. States are entitled to claim reimbursement for the room and board of a foster child.¹²

The U.S. Department of Health and Human Services' Children's Bureau is responsible for the administration of the Title IV-E funding. The original provisions of Title IV-E of the Social Security Act were passed in 1981, and provide Federal Financial Participation (FFP) to states to partially offset the costs of foster care maintenance and administrative activities. Specific to Virginia and Fairfax County, Title IV-E reimbursement enables localities to receive full (100%) reimbursement for the costs of foster care maintenance for eligible and reimbursable children. Under the existing policy, the state provides slightly less than 50 percent of this reimbursement with the Federal government providing slightly more than 50 percent.¹³ This frees up state and local CSA funding which can be used for other purposes.

Much is written criticizing the restrictions and limitations of Title IV-E funds for eligible foster care children (Bissell, Miller, & Cimon, 2007; Gleeson, 1996; Grimm & Tanner, 2005; Schwartz, 2002; Wulczyn, 2000, 2005; Zappala, 2007). Much of the literature advocates reform for Title IV-E funds rather than illustrating how local governments have used them to pay for foster care services (Wulczyn, 2000). The literature discusses

¹² In addition to accessing funds for maintenance, states are allowed to claim FFP for administrative costs for the portion of the foster care population with Title IV-E eligibility.

¹³ Title IV-E Eligibility Manual June 2002, Chapter 200. 201.3.

Title IV-E reform efforts to include changes in the eligibility criteria, advocating for funds to be available through block grants and child welfare waiver demonstration projects, the lack of flexibility in how the Title IV-E funds can be spent, or using funds to pay relatives who provide kinship care (Bass et al., 2004; Feild, 2004; Grimm & Tanner, 2005). In accessing these funds, the FRU screens each child upon entry into foster care based on the existing eligibility criteria.

Title XVI Supplemental Security Income

A second funding stream accessed for children in foster care is through the SSI program¹⁴, a federal assistance program administered by the Social Security Administration (SSA) that guarantees a minimum level of income for the needy, aged, blind, or disabled adults and children. The national policy for SSI benefits has evolved over time like much of the nation's child welfare framework. The SSI program was established in 1972 by Congress recognizing that individuals with disabilities who lived in low-income households were some of the most disadvantaged and special assistance was needed. SSI is currently a major source of assistance for children with disabilities, and can provide substantial benefits when compared to other cash benefits.

Approximately 986,000 or 14.1% of all SSI recipients are under the age of 18.¹⁵ No one knows how many children with disabilities are in out-of-home care,¹⁶ and there is little literature on foster care children with disabilities (Smith, J., 2002). One factor is a "chronic under-recognition of disability in the child welfare system" (Bruhn, 2004). Social workers are typically not trained and do not have resources to aid them in identifying disabilities of

¹⁴ Title XVI of the Social Security Act

¹⁵ SSA Monthly Statistic June 2004 <http://www.ssa.gov/policy/docs/quickfacts/stat.snapshot/index.html>

¹⁶ States have numerous definitions and measurements of abuse and neglect making it difficult to know how many children are placed out of their home. Also, not all children with disabilities placed in out-of-home care were abused or neglected or entered via the child welfare system.

children. The child welfare system has an over-representation of children with disabilities, particularly because the children are more likely to enter out-of-home care and are less likely to return home (Bruhn, 2004).

Foster care children are three to six times more likely to have emotional, behavioral, or developmental problems (O'Conner, 2001). For children in foster care, the percentage of those enrolled in the SSI program range from 4% to 20% or more in the highest-ranking states (Benton, 1997). Reasons benefits are not received for foster care children include the application process is seen as complex, time-consuming, cumbersome, and foster care workers do not have knowledge about the eligibility criteria of the program. There are also strong disincentives to increasing the SSI access to children in foster care, but that is beyond the scope of this research. There is a scarcity of literature exploring the ability of this funding stream to assist in the payment for foster care.

Fairfax County DFS acts as representative payee for the children in foster care who receive SSI benefits. Benefits payments from this source are used as an expenditure credit in the appropriate expense categories to offset costs. The SSI benefit may be used to pay for costs including shelter, food, clothing, medical care, dental care, and rehabilitation needs.

Title II Social Security Benefits

The Old Age, Survivor's & Disability Insurance (OASDI) program¹⁷ is a federal social insurance program that provides benefits to retirees, disabled workers and their children, and to the survivors of deceased workers. Children may receive a benefit due to a parent's death or disability. There appeared to be no literature discussing this funding stream to assist in the payment for foster care, and it is not known why localities would not pursue

¹⁷ Title II of the Social Security Act

this benefit for children in their care. In 2004, approximately 3.5 million children received \$1.6 million each month in Social Security benefits¹⁸

Fairfax County DFS acts as representative payee for the children in foster care who receive these benefits. Collections from this source are used as an expenditure credit in the appropriate expense categories to offset costs. This benefit may be used to pay for costs associated with shelter, food, clothing, medical care, dental care, and rehabilitation needs.

Title IV-D Child Support

A fourth funding stream, the Federal Child Support Enforcement Program, established in 1975 under Title IV-D of the Social Security Act, provides partial funding to states to secure financial and medical support for children from their non-custodial parents. Federal legislation requires states to pursue child support from the parents of children receiving a foster care maintenance payment funded under Title IV-E. The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 strengthened this program with provisions requiring uniform interstate laws, streamlining paternity establishment, and allowing states to impose new penalties, such as license revocation and seizure of assets, when non-custodial parents do not meet their child support obligation. The Deficit Reduction Act of 2005 (DRA) signed by President George W. Bush on February 8, 2006 legislated additional provisions to Title IV-D. Those provisions are beyond the scope of this research.

In 1995, the Virginia General Assembly amended a state law to allow local social service agencies to pursue support from parents of children who receive state and local funded foster care maintenance payments. In both cases, payment received from absent

¹⁸ OASDI Monthly Statistics <http://www.ssa.gov/policy/docs/statcomps/oasdi.monthly/index.html>

parents is used to offset a portion of the public expenditures made on behalf of children in foster care. Child support payments made by parents of children with Title IV-E eligibility are received by the Virginia Division of Child Support Enforcement (DCSE), and are used to reimburse federal and state expenses paid with the Title IV-E grant.¹⁹ Child support payments made by parents of children whose foster care payment is funded with CSA pool funds are used to reimburse state and local expenses.

Federal legislation prescribing requirements for the Child Support Enforcement Program to address medical support coverage continues to evolve as recently as July 2008 with the Final Rule that strengthens parental responsibilities for medical support.²⁰

Title XIX Virginia Medicaid

Title XIX, Medicaid, is a health insurance program for low-income and needy individuals. Federal and State dollars fund the program. The Medicaid program provides certain benefits for children under Early Periodic Screening Diagnostic and Treatment (EPSDT) services. States are compelled to provide additional medically necessary services to children even if the service is not offered to the adult Medicaid eligible population. Treatment to correct or ameliorate mental illness is included in the required set of services.

In January 1998, the State of Virginia Joint Legislative Audit and Review Committee (JLARC) completed a review of the CSA. A portion of the review dealt with financing issues. JLARC recommended that the Medicaid state plan be amended to include residential treatment care and treatment foster care as reimbursable placements for psychiatric treatment. The report suggested that funds available under the Medicaid program would significantly offset costs of care for both the state and localities. The Virginia Department of Medical

¹⁹ Section 471(a)(17) of the Social Security Act

²⁰ Final Rule published in the Federal Register on July 21, 2008, 73 FR 42416

Assistance (DMAS) issued emergency regulations implementing the option under the state plan to access Medicaid reimbursement for children placed in residential treatment care and treatment foster care in December 1999.

CHAPTER 3-LITERATURE REVIEW

Recent government reform movements would have one believe reform efforts are a new public administration phenomenon. During the mid 20th century, government administrators sought to balance growth with concerns about the expansion of bureaucracies. Through reforms efforts at all levels, governments have sought to reduce their size, operate more efficiently, reduce fiscal stress, employ market-like mechanisms, and maximize resources. Coupled with on-going reform efforts, environments that are rapidly changing, and increasing demands, government is realizing they face social welfare problems that cannot be effectively tackled by utilizing our traditional bureaucratic structure.

In the United States the market competition model is a dominant component in today's government reinvention efforts. These efforts are not restricted to this country, but are global (Bloomfield, 2006; Guttman, 2003a; Light, 1997; Warner, M. E. & Hefetz, 2008).²¹

Through the application of NPM principles, devolution from the federal level to the states and subsequently to the local governments transferred authority and fiscal responsibility to local governments for the provision of services (Van Slyke, 2003). Child welfare programs are an example. Faced with growing numbers of children in foster care, the escalation of the many types of services needed to serve the children and their families, the significant costs of providing these services combined with government reform efforts during times of fiscal stress, public outcries for increased efficiency and effectiveness, government mandates, higher citizen demand for services without increasing taxes have

²¹ Globally, reform efforts were occurring, with Australia, New Zealand, and the United Kingdom leading the way. These countries utilized different reforms efforts, including accrual accounting, management contracts, privatization, and customer service (Barzelay, 2001) Other countries involved in reform efforts included Sweden, Canada, and Germany (Rittel & Webber, 1973).

created opportunities for the development and implementation of initiatives for handling our society's "wicked problems" (Weber & Khademian, 2008).²² The world of public administration has changed, and the field must realize the traditional bureaucratic hierarchies are no longer adequate in our rapidly changing environment. Our current operating environment, in dealing with societies "wicked problems" involves multi-organizational and multi-sector operating realities in today's government requiring collaboration never seen in history.

One principle, privatization, is a very popular effort to achieve reform efforts. Peter Drucker, a leading advocate of privatization, originally termed reprivatization argued that the government should govern by "making decisions and providing direction, but leaves the 'doing' to others" (Osborne & Gaebler, 1992). Contracting out as a means of privatization was a strategy used a great deal by governments because governments at all levels no longer had the capacity to perform necessary functions. In some instances, the government never had the capacity to deliver these services (Cooper, 2003). Demands were being made on the government to operate more like a business (Box, 1999; Hodge, 1999; Warner, M. E. & Hefetz, 2008). In this vein, cost effectiveness, competition, entrepreneurship, and customer service oriented are methods simulating business characteristics.

Privatization in the United States

Background Literature

Like in other areas of government reform activities, the term "privatization" is not limited to a specific definition in the child welfare or social services (McCullough & Lee, 2007). In the United States, as a 1997 US General Accounting Office survey defined the

²² These complex societal issues are increasingly called "wicked problems" a term coined by , often described as "problems with no solutions, only temporary and imperfect resolutions"

term privatization, “any process aimed at shifting functions and responsibilities, in whole or in part, from the government to the private sector”. The most common form is contracting out or contracting (Auger, 1999; GAO, 1997; Gazley, 2008; Guttman, 2003b; Winston, Burwick, McConnell, & Roper, 2002). Contracting out and simply contracting is used interchangeably in the literature. Savas, a leading scholar of privatization, “relying more on the private institutions of society and less on government to satisfy people’s needs..... changing to a smaller or less direct role for government” (Savas, 2005). Thus, in attempts to achieve NPM reform goals to reduce governments costs and red tape, become more efficient and effective, meet the demands that current capacity cannot, be ‘run like a business’ and reduce costs, privatization through contracting is very popular.

Privatization in the Social Services Literature

The privatization literature covers many disciplines and dimensions within those disciplines. Many scholars in such diverse fields as public administration, political science, management, productivity, health, social science, human resources, as well as the legal field have written on this topic in recent years. When Kansas and Florida privatized their child welfare programs, when they outsourced case management functions and implemented a fiscal risk and reward system, privatization “took on new dimensions” (McCullough & Lee, 2007).

Bryna Sanger in [The Welfare Marketplace](#) examines the blurring of boundaries as governments increasingly rely on alternative service delivery. Sanger’s study focuses specifically on welfare-to-work services an area that has experienced significant changes as a result of mandates in the “new” federal welfare reform. The PRWORA created the impetus for drastic changes in providing social service delivery and is the current catalyst for the

contracting activities in today's human service environment (Winston et al., 2002). Sanger's goal is to identify a baseline to compare different service delivery arrangements (Sanger, 2003).

Sanger examines the growth and role of public, private, and nonprofit service providers through interviews, and document reviews multiple cities.²³ The landscape that vendors and governments provide services to their clients has changed because of the existing competition in the contracting environment. Several of the study results include: 1) new challenges are introduced with new service delivery approaches; 2) questions about quality, performance, and accountability are raised; 3) increased differences are present in organizations *within* sectors than *between* them; and reliance on nongovernmental organizations to provide services may have grown faster than the governments ability to manage them (Sanger, 2003: ix, 4-5).

Private Means Public Ends-Private Business in Social Service Delivery, edited by Barry Carroll, Ralph Conant, and Thomas Easton explore motivational factors and incentives needed for private organizations to deliver services. The authors examined services historically provided by public agencies the education, prison, and hospital systems. The role of entrepreneurs, for profit, and nonprofit organizations in providing services are examined. The authors critically analyzed the challenges of privatization to include the involvement of "external constituencies", value differences between workers in the public and private sector, and how balance is achieved in maximizing returns and how public benefits are used more resourcefully.

Managing Contracted Services in the Nonprofit Agency by Susan Bernstein focused on nonprofit agencies and organizations in delivering services. Bernstein's study looks at

²³ San Diego, Milwaukee, New York City, and Houston

how nonprofit organizations manage issues in contracted services. Specifically, social service organizations in New York City that provided social services were explored regarding multiple perspectives in the social services field to include contract programmatic and financial compliance, contracts changes, ethics, accountability and service delivery-typical scenarios the organizations may face as they provide services.

Ruth DeHoog in Contracting out for Human Services examines two Michigan human services areas and the implementation of two federal programs as well as the state's experience with the purchases of services. DeHoog focuses on different theoretical perspectives of contracting out, such as economic, political science, and organization theory stating they aid in systematically thinking about contracting out. There are several goals in DeHoog's study: 1) contracting in the human service arena, an area she states is not frequently studied, 2) focusing on a level other than a specific locality, 3) focusing on the public and private sector relationships, 4) the examination of financial expenditures, other significant costs and benefits, and finally, researching the contracting *process* and its procedures.

Contracting in the States

Contracting out by state governments for service delivery is widely used (Auger, 1999; Brundney, Fernandez, Ryu, & Wright, 2004; Riccucci & Meyers, 2008). A 1993 Council of State Governments survey documented that privatization by contracting out occurred in 80 percent of state agencies (Brundney et al., 2004). By 2010, approximately 80% of all social service funding may be to finance contracting activities (Craig, Kulik, James, & Nielson, 1998; Romzek & Johnston, 2002; Unruh & Hodgkin, 2004). Expansion

of privatization activities is expected to continue, with privatization of social services playing a large role.

Virginia, Georgia, Texas, Illinois, and Kansas have been leaders in exploring privatization efforts, particularly in their child welfare areas. Privatization expansion is expected to continue, with privatization of social services playing a large role. Reasons for social service privatization mirror those in other areas of government that have been privatized. Cost containment and savings driven by fiscal stress, efforts to maximize resources, increase efficiency, and attempts to reduce the size of government are the primary motivating factors for the move towards privatization. The traditional bureaucracy acknowledges rapidly changing environments, citizen demands are increasing and social welfare problems require new strategies.

Auger (1999) summarized what is known about state level privatization activities, and explores lessons that have been identified by the states. States are most frequently contracting out with for profit organizations, nonprofit organizations, followed by other governments (Brundney et al., 2004). States are rapidly moving to privatize service programs such as mental health, social services, corrections, and transportation (Auger, 1999; Moore, A. T., 1997; Vinson, 1999).

Administrative utility is a motivating factor for contracting (Auger, 1999). Several reasons include: contracting out's important ability to secure needed staff and expertise, quicker implementation of new programs or projects, and increased flexibility to increase, decrease or redirect services (Auger, 1999; Flaherty, Collins-Camargo, & Lee, 2008; Hodge, 1999; Winston et al., 2002).

Other lessons used to aid in successful contracting by states include the involvement

of at least one political leader to introduce or sustain privatization efforts (Blendermann, Ormsby, Sharp, & Zimmerman, 2004; Klingner, Nalbandian, & Romzek, 2002; Savas, 2005; Winston et al., 2002). Legislative and changes in resource allocation through the budgeting process have also illustrated commitment to privatization efforts (GAO, 1997).

Specific Initiatives in Social Services Privatization

Georgia reformed their civil service system and their approach in serving at risk children and their families (Argyle & Marlowe, 2002). Georgia devolved authority to local communities, empowered those involved in the process, and collaborated with local partners as well as privatization (Argyle & Marlowe, 2002). Florida has been in the media for the last several years due to high profile mismanaged cases in their child welfare programs. Partially as a result of this attention and attempts to improve the state has implemented performance contracting in their Department of Children and Families (Flaherty et al., 2008; Lamothe, 2004).

Texas and Wisconsin have heavily privatized their welfare reform efforts (Flaherty et al., 2008; Nightingale & Pindus, 1997). Wisconsin uses the market for their service delivery (Heinrich & Choi, 2007) while Texas has integrated and streamlined over a dozen programs with the goal to improve efficiency and customer service. Privatizing child support enforcement activities has been taking place since the 1980s beginning with the collection of past due support, but states and localities have increased enforcement tasks to include processing payments, establishing paternity, location of parents, and customer service functions (Winston et al., 2002). Texas contracts with private organizations for medical processing and child support tracking (Nightingale & Pindus, 1997; Romzek & Johnston, 2002).

New York has a long history in providing social and human services. The entire Department of Social Services was disbanded with their programmatic responsibilities assigned to other state offices (Van Slyke, 2003).

Kansas has been a leader in privatizing the child welfare programs, particularly in service delivery and case management activities. Case management of Medicaid homes and community based services for the elderly, the analysis of contract implementation and contract management are examples (Johnston, Jocelyn M. & Romzek, 1999; Romzek, B. S. & J. Johnston, 2005; Romzek & Johnston, 2002). Other privatization and reform efforts include: the complexity involved in managing contracts, implications in contract accountability, issue of states becoming prudent purchasers of managed care, employment services, state foster care and adoption contracts, and school funding reform (Humphrey, Turnbull, & Turnbull, 2006; Johnston, Jocelyn M., 1995, 1997; Johnston, Jocelyn M. & Duncombe, 1998; Johnston, Jocelyn M. & Romzek, 1999; Romzek, B. S. & J. Johnston, 2005; Romzek & Johnston, 1999, 2002).

Scholars have studied Michigan's performance-based managed care initiatives as they contract for foster care (Jee & Simms, 2006; Schor, Erickson, Evans, Hammer, Keathley, Miller, Murph, & Simms, 1994; Simms & Halfon, 1994).

Themes in the Social Services Contracting Literature

Many of the themes in the literature occur in both the delivery of non-human/social services as well as the human/social services areas. These themes include making the decision to contract for services, including types of contracting models, issues involving human resources, performance management and accountability, and implementation. Literature focusing on the human/social service area will be focused particularly on the

themes of implementation, accountability and performance measurement.

In choosing to contract, several models for contracting have developed and are documented in the literature (DeHoog, R. H., 1990). Competitive bidding has long been the primary model for contracting for public services. It is not the only model, and has “serious drawbacks under certain circumstances”. Two additional models, the negotiation and cooperation are alternative contracting models.

The competition model may lend itself to impersonal, rule-driven and adversarial relationships rather than collaborative problem-solving. This model is not the best choice for contracting out for several types of contracts including human/social services, but better suited to purchase other services where transaction costs are not high and there is not a shortage of competitors.

The negotiation model differs from the traditional model of contracting in that relational contracting involving consensual and incremental decision making is common. The government exercises control, but the hierarchical distance between the government and contractor is not as great as the competitive model. One of the advantages of this model is it can be used when there are few providers.

The third model, cooperation, may best be suited in circumstances where there are low resources such as time, funding, or few suppliers, a lack of government expertise or experience in service delivery and when there is a high level of uncertainty, and complexity present. These scenarios are often found in the provision of government programs. This model has been used in human/social service areas. This model emphasizes program management and performance; this is the main advantage to this model.

Contracts Over Time

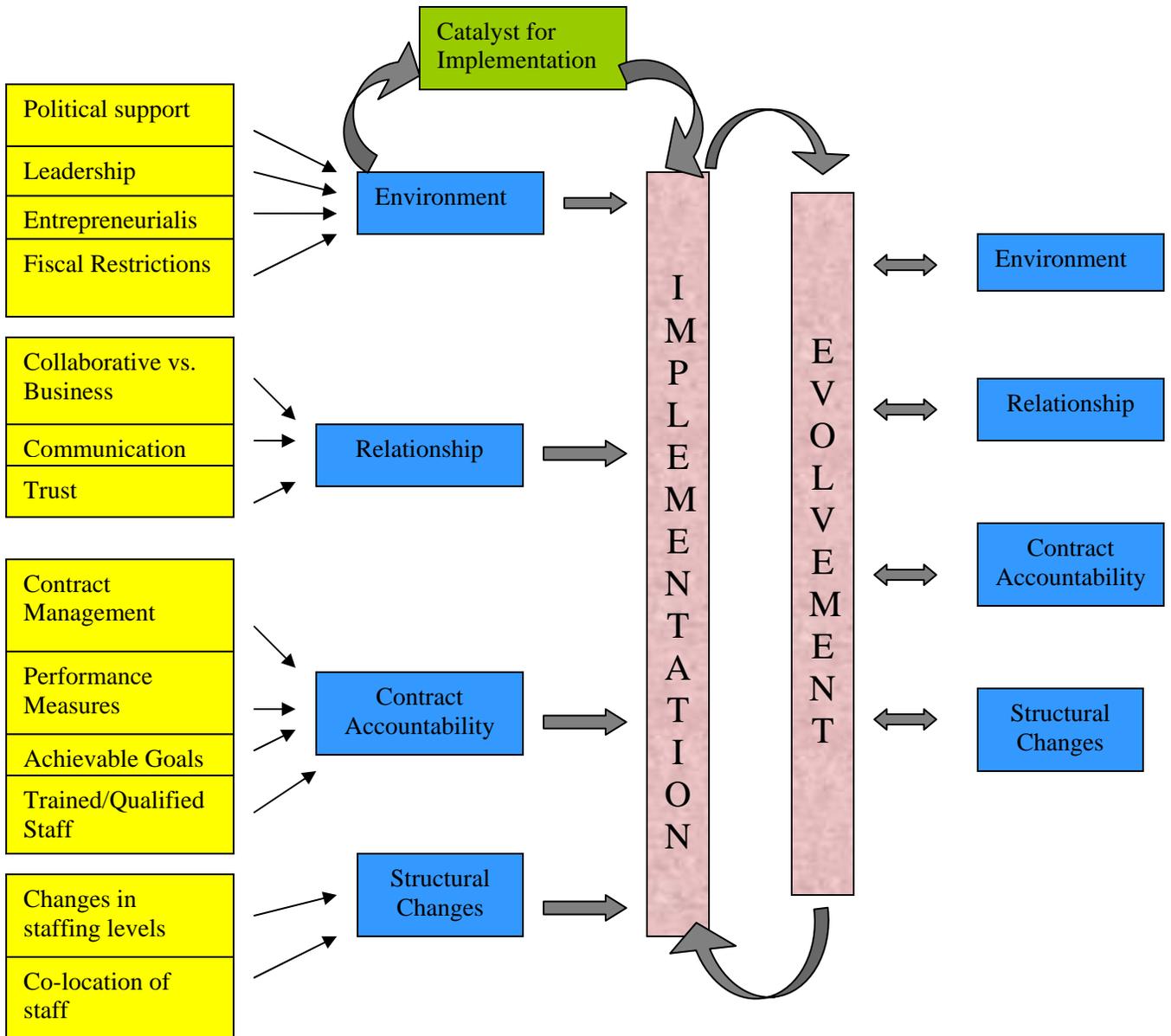
Contracts have played a role in government reform for many years. There remains a great deal to learn about contractual relationships and their role in reform, specifically how contracts evolve over time. There is a lack of research and understanding in long-term contractual relationships. One piece of research that focused on contracts and their evolution over time was by Zullo (2006). Zullo examines long-term contractual relationships between a county department of human services and five private foster care providers as the human services agency attempted to apply private contracting and managed care to child welfare services. The relationships between the organizations spanned between seven and thirty-five years. Zullo studied case allocation patterns across the public and private sector organizations and three conceptual models of contract relationships-coercive, competitive, and collaborative (Zullo, 2006). The research results favored the collaborative model; as “the formal terms and conditions established by agency directors are secondary to the informal bargaining by the staff who administer the services” (Zullo, 2006).

While there is a great deal of literature on government reform efforts and specific initiatives that have been implemented, my research attempts to contribute to the scarcity of literature exploring the evolution of long term contracts. My research looks at specific NPM elements and exploring the collaborative activities that are involved in this contract.

Model of Evolution in the Implementation of the FRU Contract

From the literature I have identified four primary implementation characteristics of this contract. This is a descriptive model with characteristics that include changes in the environment, relationship, contract accountability, and structural changes. It is the evolution of these elements upon which I will focus in the dissertation as shown in the descriptive model below:

Figure 2: Model of Evolution in the Implementation of the Federal Reimbursement Unit



LITERATURE DRAWN FROM THE MODEL

Environment

Selected elements of the environmental changes include the political support, leadership, training, entrepreneurialism, motivating line level workers, and fiscal restrictions public agencies face. Political support and leadership play a vital role in the implementation of a program not only when the program is introduced, but also after implementation (Blendermann et al., 2004; GAO, 1997; Klingner et al., 2002; Rogers-Dillon & Skrentny, 1999; Savas, 2005; Weikart, 2001). These have been key elements in implementing new programs using the NPM theme (Agranoff & McGuire, 2001; Marvel & Marvel, 2007; Osborne & Gaebler, 1992; Winston et al., 2002). New York City's former mayor Rudolph Giuliani and former Indianapolis mayor Stephen Goldsmith are viewed as leaders in implementing privatization efforts in their cities (Savas, 2005). During this research, political support and leadership will be researched at the county and the university level.

As previously discussed, another key element in NPM has also been the implementation of an entrepreneurial "spirit", or employing innovative methods for executing the mission and goals of the organization. Managers using the entrepreneurial model are always seeking to increase the efficiency and effectiveness of their organizations (Osborne, 1998; Osborne & Gaebler, 1992). Public entrepreneurs, "slowly reinvent their organizationsand transform the systems that control government effectiveness and efficiency" (Bernier & Hafsi, 2007). To this end, organizational managers and leaders seeking efficiency and maximizing productivity, use resources to include funds and staff in new ways (Domberger & Jensen, 1997; Frederickson, 1996; Osborne & Gaebler, 1992; Page, 2003).

Fiscal restrictions at the county level will be examined as fiscal stress played a major role in the implementation of this program. This is documented in the literature and previously in this paper.

Relationship

Second, scholars have argued that relationships are an important element in implementing a program (Bardach, 1998; Flaherty et al., 2008; Linden, 2002). I researched the relationship between the university and the county during the span of the program. Specifically, I explored collaborative vs. development of a business relationship, communication, and trust.

In the collaborative techniques used during the implementation of this program, I recognize that organizations must work across traditional agency and department boundaries to implement reform efforts in reducing the size of government, operate more efficiently, reduce fiscal stress, and employ market-like mechanisms (Warner, M. E. & Hefetz, 2008). The current management era is being changed into more permeable organizational boundaries as a result of collaboration (Agranoff, 2005).

Interdependence and information salience have created an environment where boundaries have meshed or blurred, and collaborative managerial actions are necessary to assist or even replace traditional bureaucratic processes” (Agranoff & McGuire, 2003).

In our era of attempting to reduce government involvement and more government action, collaborative activities may be needed in problem areas (McGuire, 2006).

Collaboration occurs through partnerships, contracts, networks, alliances, and coalitions. Managers in public and private organizations work together to develop strategies, produce goods and services on behalf of their organizations. “One of the strongest incentives

to collaborate is the potential to secure additional funding” (Ehrle, Andrews Scarcella, & Geen, 2004; Moore, S., 1992; Wimpfheimer, Bloom, & Kramer, 1990).

Government, seen through a lens of steering vs. rowing, is where collaborative public management and management activity take place. According to Agranoff and McGuire (2003), “collaborative management can involve developing policy, planning and carrying out projects, or managing finances”. Nylen (2007) contends interagency collaboration in the production of human services plays a role in improved quality and/or reducing costs. Nylen comments,

Human services production is generally characterized by a high degree of specialization between agencies as well as among professional groups further reinforced by.....NPM-ideals of outsourcing, decentralization, and competition (2007: 143).

Scholars note there is no single definition of collaboration, and efforts to define the term is “made complex by the ambiguities in practical usage and scholarly disagreements about the term” (Harbert, Finnegan, & Tyler, 1997; Thomson, Perry, & Miller, 2007). There are several applicable definitions of collaboration that can be used for this research. I have chosen the definition used by Bardach who is highly recognized for his work on multiple case studies in social program delivery using interagency collaboration to increase public value. According to Bardach, utilizing his Craftsmanship Theory, collaboration is

Any joint activity by two or more agencies that is intended to increase public value by their working together rather than separately (1998: 8)

In *Collaborating: Finding Common Ground for Multiparty Problems*, Barbara Gray defined collaboration as an integrated process

Through which parties who see different aspects of a problem constructively explore their differences....search for solutions that go beyond their own limited vision of what is possible (1989: 5).

Wood and Gray claim an integrative view,

Collaboration occurs when a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms, and structures, to act or decide on issues related to that domain” (1991:146).

Next, Agranoff, McGuire and Henton et al, in O’Leary, Gerard, and Bingham (2006:7) blend definitions in defining collaborative public management;

A concept describing process of facilitating and operating in multi-organizational arrangements to solve problems that cannot be solved, or easily solved, by single organizations. Collaborative means to co-labor, to cooperate to achieve common goals, working across boundaries in multi-sector relationships.

And another version of collaboration by Thomson and Perry (2006: 23)

A process in which autonomous actors interact through formal and informal negotiation, jointly creating rules and structures governing their relationships and ways to act or decide on the issues that brought them together; it is a process involving shared norms and mutually beneficial interactions.

Scholars also define *interagency* collaboration as the exchange of resources or joint pursuit of mutual goals. Such activity is sometimes promoted through agency policy or programs (Smith, B. & Mogro-Wilson, 2008)

Aptly defining collaboration may be challenging, but scholars and practitioners agree that core characteristics exist in collaborative settings. The collaborative process is not developed quickly, instead the process is developmental, taking place over a period of time and can have varying degrees of formality (ranging from very informal, through spontaneous meetings, to very structured with scheduled meetings and perhaps the formation of new partnerships or organizations) and intensity (Bardach, 1998; Berry, C., Hrutz, Langner, & Budetti, 2008; Bradshaw, 1997; Eagle & Cowherd, 2006; Gray, 1989; Harbert et al., 1997; Nylén, 2007; Thomson & Perry, 2006). There is no one “correct” way to collaborate (Maccoby, 2006; McGuire, 2006; Nylén, 2007), nor is collaboration an easy process (Harbert

et al., 1997; Thomson & Perry, 2006; Wimpfheimer et al., 1990). The collaborative process is a fragile one, needing to be managed, and a commitment by members to “similar target populations” (Agranoff & McGuire, 2003; Thomson & Perry, 2006), and observing tangible benefits are two important factors in collaborations lasting over time (Yandle, 2006).

Communication among members has been identified as a crucial characteristic (Bradshaw, 1997; Flaherty et al., 2008; Gray, 1989; Nysten, 2007; Thomson & Perry, 2006; Wood & Gray, 1991; Yandle, 2006). There are three levels of communication that are important; communication between members of the collaborative team, between the collaborative team members and individual organizations, and between the collaborative team members and the broader community (Horwath & Morrison, 2007). Communication also leads to the establishment of trust among members participating in the collaborative process (Bryson, Crosby, & Stone, 2006; Cheever, 2006; Goldsmith & Eggers, 2004; Horwath & Morrison, 2007).

Trust is also a central tenant to collaboration and can be defined:

Common belief among a group of individuals that another group will
1) will make ‘good faith efforts to behave in accordance with any commitments both explicit and implicit’, 2) will ‘be honest in whatever negotiations preceded such commitment’, and 3) ‘will not take excessive advantage of another even when the opportunity is available (Thomson, 2007:6).

Trust among members of the collaboration takes time; relationships need to be established (Agranoff & McGuire, 2001; Bardach, 1998; Cheever, 2006; Ehrle et al., 2004; Emison, 2006; Thomson & Perry, 2006). Vangen and Huxham suggest that trust is built through a cyclical trust building loop (McGuire, 2006). Members of the collaborative team may represent organizations that have goals and missions that conflict with the goals and vision of the collaborative organization. Time is needed to strengthen or create relationships

(Cheever, 2006; Ehrle et al., 2004; Harbert et al., 1997). Once the individuals begin to trust one another, they can take larger steps toward more ambitious activities, but trust building is a continuous activity (Bryson et al., 2006; McGuire, 2006). One collaborative group attributes their results on the trust the members have with one another on interpersonal as well as interorganizational levels (Thurmaier, 2006).

A shared vision of the mission, goals, and roles with clearly defined boundaries are also important (Bryson et al., 2006; Flaherty et al., 2008; Harbert et al., 1997; Thomson & Perry, 2006; Wimpfheimer et al., 1990). Goals for collaboration may be complex, but they provide direction to ensure “short-term positive outcomes” (Prince & Austin, 2005), and a baseline for measuring the progress of the group (Horwath & Morrison, 2007; Prince & Austin, 2005). Future discussions and activities are guided by a shared vision among the members of the group (Wimpfheimer et al., 1990). Establishing goals also “inspire staff and generate support for entrepreneurial efforts from external stake holders” (Page, 2003).

As illustrated earlier in the characteristics of implementation, leadership and leadership style are important in the creation and management of collaborations (Agranoff & McGuire, 2001; Cheever, 2006; Flaherty et al., 2008; Horwath & Morrison, 2007; Maccoby, 2006). Leadership “makes a huge difference in collaboration” (Linden, 2002). The leader has the vision to design the strategy and facilitate coordination of the collaboration, they take the initiative, need to be participative as well as authoritative, be conflict managers and conflict resolvers, seek political support, build trust among participants, help the collaboration define the mission and goals, and guide the activities of the collaboration toward their goals and objective (Bardach, 2001; Kadel, 1993; Maccoby, 2006; Majumdar, 2006; O’Leary & Bingham, 2007). Such a “collaborative champion” is an energized,

committed person, having high levels of credibility, influence, integrity, boundary spanning, flexibility, tolerates ambiguity and is recognized by other agencies; they have networking and a high quality of interpersonal skills (Cheever, 2006; Horwath & Morrison, 2007; O'Leary & Bingham, 2007).

Contract Accountability

Third, my research explored the characteristic of contract accountability as the university fulfilled the contractual obligations. Specifically, I explored performance measures, contract management and achievable goals. Scholars have emphasized the importance of these contractual components (Bardach & Lesser, 1996; Behn, R. D. & Kant, 1999; Blasi, G., 2002; Blasi, G. J., 2002; Johnston, Jocelyn M. & Romzek, 1999; Lamothe, 2004; Ott & Dicke, 1999, 2000; Ott & Dicke, 2001). Accountability has a long history involving popular sovereignty and governmental responsibility (Ott & Dicke, 2000). Contract accountability is important in the contracting of human/social services as well as public policy management. At its most elementary level, there are two reasons for accountability in the provision of human/social services. First, each year there are billions of dollars spent by all levels of government to provide services through primarily nonprofit organizations. Second, those receiving human/social services funded from public budgets are the most at risk persons in our society. Public officials and contractors should “do the right things” (Ott & Dicke, 2000). Ott and Dicke write extensively about accountability, particularly in contracted public human services (Dicke, L., 2002; Dicke, L. & Ott, 2002; Ott & Dicke, 2000).

Accountability in its simplest definition is answerability for one’s own actions (Ott & Dicke, 2000). Ammons and Rivenbark (2008) state, “accountability means performance

reporting, plain and simple”. Unfortunately in recent years accountability has been defined in narrow definitions for adherence to contract terms (Ott & Dicke, 1999, 2000). One of the primary questions involved in government contracting for services have been “how has accountability been established?” Dicke and Ott (1999) examined four structural dimensions incorporating accountability for resources, and outcome of services. These dimensions include bureaucratic or hierarchal, legal, professional and political. A fifth dimension is added by Romzek and Dubnick, moral and ethical accountability (Bloomfield, 2006; Kassel, 2008; Ott & Dicke, 1999, 2000; Prager, 2008). There are many techniques commonly used to hold an organization accountable. Some of these include: auditing, monitoring, contracts, courts and other legal action, markets, outcome based assessments, and whistle blowing (Dicke, L., 2002; Dicke, L. & Ott, 2002).

According to Carl Friedrich, in Ott & Dicke (2000: 299),

Accountability cannot be achieved solely through external controls. Adherence to professional standards subject to peer review, and a moral and internal sense of responsibility are also needed.

Other areas of measuring accountability include managerial, program and social accountability.

Especially in human/social services contracting, accountability methods have traditionally been explained by the Principal-Agent Theory (Dicke, L., 2002; Dicke, L. & Ott, 2002). This theory contends, according to Dicke (2002:456),

In the contracting literature, the ‘who’ usually identified as answerable is an agent (a contracted provider) to a principal (a government agency) and the ‘for what’ responsibilities are identified in the provisions of the contract.

Stewardship theory has been explored as a means in ensuring contracting accountability (Dicke, L. & Ott, 2002). Under the stewardship theory, “the model of man is

based on a steward whose behavior.....has a higher utility than individualistic, self-serving behaviors” (Dicke, L. & Ott, 2002). Altruistic values lead to an organization promoting steward-like behavior in the workers. Stewardship behaviors can also be applied across the accountability techniques (Dicke, L. & Ott, 2002). When core values are shared between contractor and vendor, a sense of internal responsibility is established and accountable behaviors result (Ammons & Rivenbark, 2008; Ott & Dicke, 2000; Ott & Dicke, 2001; Winston et al., 2002).

Performance management or measurement and accountability are closely related topics in privatization efforts and both take center stage in current literature (Ammons & Rivenbark, 2008; Warner, M., Ballard, & Hefetz, 2003). According to Ott and Dicke (2001) performance measurement became such a hot topic “because it had to work”. Terrell Blodgett in Behn (2003) asserts “performance measurement is (arguably) the hottest topic in government today”. Like government reform efforts, performance measurement has been around for many years; but the key is government accountability cannot exist without it, particularly in the current environment of downsizing, devolution, empowerment and privatization efforts. Efforts to measure performance are very complex.

Ideally, precise measures can identify the resources committed to the production of an output to measure levels of efficiency (Auger, 1999; Van Slyke, 2003). In the human/social service delivery, the mere identification of acceptable outcome measures is very difficult to measure (Behn, R., 2003; Warner, M. et al., 2003).

Public managers are using performance management to achieve numerous purposes; to include program evaluation, improvement, organizational learning, motivation, control, and budgeting (Flaherty et al., 2008; Ott & Dicke, 2001; Romzek, B. S. & J. Johnston, 2005;

Romzek & Johnston, 2002). When important elements of the processes, outputs and/or outcomes can be quantified or observed, measurement becomes a bit easier (Auger, 1999; GAO, 1997; Warner, M. et al., 2003). Too often the work process is evaluated rather than program outcomes or effects (Behn, R. D. & Kant, 1999; Romzek, B. S. & J. M. Johnston, 2005; Unruh & Hodgkin, 2004).

Other scholars have examined the actual design of the contract in creating accountability or performance measures (Heinrich & Choi, 2007; McCullough & Lee, 2007; Van Slyke, 2002). Defining achievable goals in social service contract is often a challenge, with great debate as to being able to accomplish this (Behn, R. D. & Kant, 1999; Dias & Maynard-Moody, 2007; Heinrich & Choi, 2007; Martin, 2005). Some scholars acknowledge that performance contracting for social service is a large undertaking and some even refute that the establishment of performance measures for human service contracting are even possible (Patton, 1987; Stake, 1995).

Trained and Qualified Staff

Trained and qualified staff plays a large role in the successful implementation of the project (GAO, 1997; Winston et al., 2002). In the case of the FRU staff, specialized skill sets are needed as the application of differing eligibility criteria for each funding streams is complicated and complex. Foster care workers are not trained to identify disabilities, perform Title IV-E analysis, as this activity is typically performed by staff specializing in welfare benefit eligibility determinations, nor are foster care workers knowledgeable in court proceedings relating to the child support process. Extensive on-going activities relating to the centralized processes are vital to the implementation of the project. Motivation of staff is

an important factor and will be examined (Dicke, L. A., 2004; Lipsky, 1980; Riccucci, 2005; Rogers-Dillon & Skrentny, 1999; Sinclair, 2001).

Structural Changes

Fourth, structural changes in the university staff at the FRU played a large role in the implementation and continued evolution of the contract. Elements of structural changes include co-location of university staff, and changes in university staffing levels over the years. Co-location of university staff plays a vital role in the implementation of specific portions of the contract's scope of work. Changes in university staff, to include increases as well as decreases, have played a role in the evolution of the contract.

CHAPTER 4-METHODOLOGY

My research, through this case study, directly contributes to the public management literature by increasing the knowledge and understanding of the evolution of this long-term contract. The focus is both on the implementation of NPM elements and the collaborative activities that occurred during the implementation and as the contract evolved. My primary research question is “How did this model program contract evolve?” I also will examine how principles of NPM and collaboration reflected in the contract are.

I chose a qualitative methodological approach to my research as this method has been important in public administration, studies of public agencies, organizational and management studies, and in other disciplines. By choosing a qualitative case study, researchers can have in depth and detailed understanding about a person, event, program time period, critical event, or community, appreciating its uniqueness and its complexity (Yin, 1994). Researchers can also increase their knowledge of social processes and organizations through qualitative research (O'Sullivan & Rassel, 1995; Yin, 1994). Field research that describes and analyzes nuances about social interactions as they take place in a setting is an element of qualitative research (Creswell, 2003; O'Sullivan & Rassel, 1995). Studies using a qualitative methodology allow flexibility in the types of data that is obtained from case to case in the same study (Yin, 1994). For example, the application of a qualitative methodology permits depth, detail, and understanding that would not be obtained if this research was quantitative. Specifically, the interviews that I conducted allowed those interviewed to provide their own opinions and views about the numerous components of the evolution of the project.

Case Study Inquiry

This approach was selected because of its application to contemporary management situations and provides a foundation to explore collaborative activities. If one wants to learn the details about a contemporary phenomenon within a real life context when the investigator has little control over events, or how something occurred and why it may have occurred, a case study is a prime research strategy (Stake, 1995). In conducting research involving case studies, researchers gain unique knowledge of individual, organizational, social, and political phenomena (O'Sullivan & Rassel, 1995; Stake, 1995). According to O'Sullivan and Rassel (1995), case studies are empirical inquiries and explore in depth people, programs, decisions, or other entities having unique characteristics of interest. Explanatory case studies seek to answer research questions that ask “how” or “why” (O'Sullivan & Rassel, 1995). Case studies can teach researchers about new management techniques, programs to solve chronic problems, or strategies to improve the quality of the agency (Yin, 1994). Important components of a data-gathering plan include defining the case, creating appropriate research questions and identifying data sources (Crabtree & Miller, 1992; Creswell, 2003; Kirk & Miller, 1986; O'Sullivan & Rassel, 1995; Yin, 1994).

In conducting case studies, different sources of information are examined; this information may include documents, archival information, interviews, participant and direct observation; this is one of the strengths of this type of methodology (Denzin & Lincoln, 2005). The identification of the relevant data to be collected is important in defining the case that is explored. Including the information from many sources contributes to the strength of the study. A case study can examine only a single case or a set of cases that are similar, focus on the case and all of its components or on selected components (Stake, 1995). My

methodological approach for this research was a case study using the FRU as the study's unit of analysis; a long-term contract that represents a new world for public management as contracting continues to increase in public management.

There are limitations to conducting this type of research. Case study research presents a number of limitations, notably the ability to make generalizations based on the research of one unit of analysis. Second, another limitation to this study is the subjective nature of the data. Additional potential limitations are detailed in a following section.

Role of the Researcher

I am the sole researcher for this project. I created this project, developed the areas of inquiry, and identified the research questions. It was through my work in gathering, analyzing and identifying relevant data and information and through the interpretation of this data, that I was able to draw conclusions in order to answer the research questions for this dissertation.

My individual perspective is brought to this research project both in the collection of my data and the interpretation of that data. By the position I hold as the current FRU Project Director, I bring a vast institutional and historical knowledge to areas of the contract including the environment, relationships, contract accountability, and communication. I believe that by recognizing this I am able to bring a perspective to the research that may not be present otherwise. On the other hand, I caution myself in this as well and do not want undue bias introduced. Yin (1994) asserts that using multiple sources to identify and verify the data can assist in validating the study and in bounding the researcher's subjectivity.

Data Collection Procedures and Process

In order to explore the implementation and evolution of the FRU, the utilization of NPM elements and the role of collaboration in this long-term contract, I utilized a combination of data collection methods. These methods included review and analysis of relevant literature, elite interviews, and review and analysis of FRU project documents.

On March 12, 2008 I received my Certificate of Completion for Training in Human Subjects Protection.²⁴ I did not record either through video or audio tape any portions of the interviews. I did not compensate any of the interviewees in any fashion. Also, because this research qualified as exempt, informed consent from the interviewees was not required.

Literature and Document Analysis

To institute my research design and initiate my research process, I analyzed the relevant literature on contracting, with a focus on the literature on contracting in human/social services. Major dimensions include: purchasing and procurement (the decision to “make or buy” and being a “smart-buyer”), legal issues, human resource/staff retention or downsizing current staff, accounting and budget preparation, contract management, leadership, performance management/productivity, accountability, new governance, partnerships/collaborations, and implementation. In the many case studies involving single or multiple organizations and their efforts at reform, the results range from strong advocates or those strongly opposed to contracting.

For this review, the methodology used to identify and locate the relevant literature included: electronic table of contents searches and electronic alerts from academic journals,

²⁴ This training was from Virginia Tech’s Institutional Review Board and included the topics: Historical Basis for Regulating Human Subjects Research, The Belmont Report and Federal and Virginia Tech Regulatory Entities, Policies and Procedures signed by David Moore, IRB Chair. The research met the exemption standard because the research was of minimal risk to the subjects, did not involve any special class of subjects, and involved the collection or study of existing data and documents from sources that were publicly available.

electronic academic database searches, electronic alerts through numerous selected social science databases primarily using a combination of search terms to capture the many facets of contracting in order to capture a broad range of contracting literature and its many disciplines and dimensions. I paid particular attention to the literature on contracting out in human/social services, contracting out with the identification of a specific timeframe, typically 1990-current, or a review of specific journals. Using this methodology, I received academic database and tables of contents alerts from numerous academic journals for over 1,500 articles using my selected search terms. In addition to journal articles, I researched numerous books in this area.

Much of the literature in my research was found in the following journals: *Public Administration Review*, *Australian Journal of Public Administration*, *Political Science Quarterly*, *International Journal of Public Administration*, *Annual Review of Political Science*, *OECD Journal on Budgeting*, *Public Organization Review*, *International Journal of Organization Theory and Behavior*, *Public Productivity and Management Review*, *The American Review of Public Administration*, *Journal of Public Administration Research and Theory*, *Administration & Society*, and *Public Budgeting and Finance*.

Interviews

Interview data was the primary data utilized for my research. The interview questions were formulated with the purpose of answering the research questions. My data collection methods included five elite interviews with persons who were stakeholders during the implementation and evolution of the contract.

Elite interviews are an acceptable source of evidence in conducting a case study (Marshall & Rossman, 1995). Elite interviewees are “considered to be influential, the

prominent and well informed”; they are chosen due to their expertise relevant to the research (Crabtree & Miller, 1992). The interviewees are also persons who “are willing to share their knowledge and skills” and have access to perspectives or observations the researcher does not have (Marshall & Rossman, 1995). One of the primary advantages of conducting elite interviews is the wealth of information that can be obtained because of “positions they hold in social, political, financial, or administrative realms” (Marshall & Rossman, 1995). There are also disadvantages as the interviewees are very busy people and it can be difficult to make contact (Crabtree & Miller, 1992; Creswell, 2003).

A key element in addressing the research questions for qualitative research is to carefully select interviewees (Stake, 1995). During an interview, the researcher can learn about the policies, history, and future plans. Each interviewee offers different perspectives and unique experiences; the interview is “the main road to multiple realities” (Marshall & Rossman, 1995). Elites are “competent informants”, quick thinkers, and intelligent; they contribute insight and meaning to the interview (Berry, J. M., 2002). Great interview questions do not transform the researcher into a great interviewer, but that great interviewers make “interviews seem like a good talk among old friends” (Patton, 1987). By asking open-ended, probing questions with follow-up questions as necessary, the interviewees were granted much leeway in providing their answers. This type of question reduces predetermined responses from the interviewees (Crabtree & Miller, 1992; Patton, 1987). Berry (2002) acknowledges open-ended questions followed by probing follow-up questions are not an easy feat. Establishing a rapport with the interviewee is also important and advantageous to the researcher (Marshall & Rossman, 1995; Patton, 1987).

One advantage this research may have is the extensive interview experience the researcher possesses. The researcher has over 15 years of formal education, certifications, and experience in conducting interviews.²⁵

The five interviewees for this research were involved in the implementation of the FRU. These persons represented university and county management, and management from a private, for-profit organization and are considered experts in the field of child welfare. Three of the five have been involved since the inception of the project and continue to be involved in varying capacities currently. The interviewees were identified through a review of contract documents and the researcher's personal knowledge. The careful selection of the interviewees was aided by the researcher's experience with the FRU.

There have been many people involved with the FRU over the course of its tenure. The interviewees included in this study represent a private sector national level expert in the field of child welfare, specifically in revenue maximization management, implementation and administration activities. Two university faculty members with vast research experience in the child welfare field to also include revenue maximization management, implementation and administration activities were involved in this study, as well as two managers from the Fairfax County government both with extensive experience in revenue enhancements and refinancing strategies within the DFS to enhance federal and state financial participation in ongoing Family Service programs. These interviewees were chosen to participate in this

²⁵ This researcher has extensive interview experience including formal education and training in interviewing and interrogation techniques through various workshops and seminars in management and investigating/interviewing techniques including the Reid Technique of interviewing and interrogation, Kinesic Interviewing Technique, Wicklander/Zulawski (WZ) interview and interrogation techniques, and the Laboratory for Scientific Interrogation (LSI) Scientific Content Analysis, the Art of Confession. This researcher also has a diploma in polygraph science and methodology along with licenses from multiple states which include interview and interrogation techniques.

study because of their vast experience in fields relevant to this research as well as having wide range of contrasting perspectives thus enhancing the research.

I also performed four supplemental interviews with former and current FRU management and staff to explore how the work activities were actually performed in order for the university to meet the contractual obligations to the county. The tenure of the management and staff that participated in the supplemental interviews spans all three periods of the contract. See Appendix A for a detailed list and the positions of all interviewees.

I made initial contact with the five interviewees participating in the elite interviews via email requesting to interview them. Once the participants agreed to be interviewed, I provided each of the interview participants with an introductory letter that described the research, and I also provided a copy of the interview questions so the participants could prepare their responses prior to the interview. I contacted one of the supplemental interviewees via email, and the others in person requesting to interview them. A formal detailed description of the research was provided to them at the time of the interview.²⁶

Data was collected from April 2008 through January 2009. The interviews were semi-structured. Time was allowed for each interviewee to fully respond to each question. Understandably, the time for the interviews was dependent upon each interviewee's experiences, the role they played in the implementation and evolution of the contract, their tenure with the contract, their specific experiences in the project, and their ability to remember information and events that took place as much as ten years ago or as recently as the current date. The interviews ranged in time from one and a half hours (the shortest) to almost three and a half hours (the longest in duration). All interviews were conducted in

²⁶ The persons participating in the supplemental interviews had previously known about the research project through multiple conversations with the researcher.

person. The tenure of the interviewees in the contract ranged from just over two years to over the life of the contract.

As previously mentioned, I did not record the interviews in any fashion; I took detailed field notes during each interview. My field notes recorded my observations and the information provided by the interviewees, both verbal and nonverbal communication. Nonverbal communication, also known as kinesics, the observation of the interviewees body language is also important in the research process (Marshall & Rossman, 1995). Kinesics research asserts that people react nonverbally through body movements as simple as a head or hand movement or a combination of body movements (Crabtree & Miller, 1992; Rittell & Webber, 1973).

I followed the advice that the researcher is wise to make detailed notes. Even when I thought I would remember something or it may not be relevant, I recorded the information since I could not ascertain what may be relevant during the data analysis; a recommendation from Crabtree and Miller (1992). I cross-referenced the interview responses with other interview responses and the project data dating back to the beginning of the project.

After the elite interviews, I provided each interviewee a copy of the notes I took during their interview, and requested any relevant modifications for content accuracy from the participants. Upon completion of the supplemental interviews, I reviewed the notes I had taken during each of the interviews. The interviewees were able to keep their responses anonymous if they wished. Table 1 illustrates the areas of inquiry for the implementation and evolution of the contract. The individual questions asked during the interview applicable to the areas of inquiry are illustrated in Appendix B

Table 1: Areas of Inquiry

PRIMARY FOCUS:

What are the dimensions of this long-term contract in coping with fiscal stress in foster care?

- a) What were the initial goals in implementing this model program? Did the goals of the contract change over time? If so, what were they?
- b) How were the dimensions of the model (environment, relationship, contract accountability, and structure) represented in the contract?
- c) How did the model dimensions change over time?

How do the elements of New Public Management and collaboration contradict or complement each other in this long-term contract?

- a) What role did interagency collaboration play in the implementation of the program
- b) Describe the collaborative activities that occurred during the implementation of the contract.
- c) Was interagency collaboration a common activity during this time?

Third, I conducted extensive research and analysis of project data, archival information and documents. These included memoranda, minutes, presentation documents, contract documents, program guidelines, as well as relevant literature, specifically government reports and professional publications. While reviewing and analyzing the literature, I extrapolated NPM elements and data about collaboration in the implementation as well as that relevant to the evolution project of the FRU project.

Triangulation of Data

Yin (1994) states a major strength of case study data collection is the opportunity to use many difference sources of evidence. Triangulation strengthens research by utilizing

multiple methods, measures, and perspectives in search of “trustworthiness in data collection” (Denzin & Lincoln, 2005). A higher degree of reliability of research is achieved by triangulating methods; this reduces the potential for misinterpreting the data (Stake, 1995). I triangulated my elite interview data with data taken from a review of project data and archival information (memoranda, meeting minutes, annual reports, presentation documents, contract documents, program guidelines, etc), participant observation, and relevant literature including government reports and professional publications. The analysis of documents allow the researcher the potential to discover activities not directly observed (Creswell, 2003; Yin, 1994). The table below depicts the project data and archival information and the reason it was chosen for this research.

Table 2: Project Data & Archival Information and Contribution to Areas of Inquiry

Type of Project Data & Archival Information	Contribution to Areas of Inquiry (to include the selected research elements)
Memoranda & Meeting Minutes	<p>Environment (Political Support, Leadership, Fiscal Restrictions Trained/Qualified Staff, and Entrepreneurialism);</p> <p>Relationship (Collaborative vs. Business, Communication, Trust);</p> <p>Contract Accountability (Contract Management, Performance Measures, and Achievable Goals);</p> <p>Structural Changes (Co-locations of Staff and Changes in Staffing Levels)</p>
Annual Reports	<p>Environment (Fiscal Restrictions, Trained/Qualified Staff, and Entrepreneurialism);</p> <p>Contract Accountability (Contract Management, Performance Measures, Achievable Goals);</p> <p>Structural Changes (Co-locations of Staff, Changes in Staffing Levels)</p>
Presentation Documents (to include training materials, meeting presentation materials)	<p>Environment (Trained/Qualified Staff, Entrepreneurialism);</p> <p>Contract Accountability (Contract Management, Performance Measures, Achievable Goals);</p> <p>Structural Changes (Co-locations of Staff, Changes in Staffing Levels)</p>
Contract Documents (multiyear contracts and their amendments)	<p>Environment (Leadership, Trained/Qualified Staff, Fiscal Restrictions);</p> <p>Relationship (Collaborative vs. Business Communication, Trust);</p> <p>Contract Accountability (Contract Management, Performance Measures, and Achievable Goals);</p> <p>Structural Changes (Co-locations of Staff and Changes in Staffing Levels)</p>
Program Guidelines (Federal guidelines, VA state guidelines, county guidelines and process changes)	<p>Environment (Trained/Qualified Staff and Fiscal Restrictions);</p> <p>Relationship (Collaborative vs. Business Communication, and Trust);</p> <p>Contract Accountability (Contract Management, Performance Measures, and Achievable Goals);</p> <p>Structural Changes (Co-locations of Staff and Changes in Staffing Levels)</p>

The project documents that included memoranda and meeting minutes were chosen because they represent all four of the Area of Inquiry in the research, the environment, relationship, contract accountability, and structural changes. The FRU Annual Reports include information on the project's environment, contract accountability, and structural changes as the reports document any changes from the previous year. The presentation documents from the FRU project were included as they speak to the environment, contract accountability, and the project's structural changes. Contract documents contain information relevant to the environment, relationship, contract accountability, and structural changes. Program guidelines document the environment, relationship contract accountability, and structural changes to the project as it evolved. Beginning with the implementation and evolution of the long-term contract, these documents substantiate in at least one way, often more, the Areas of Inquiry explored in this research.

Analysis of Data

In analyzing qualitative data, there is not a single best way; case studies can be analyzed using multiple options (Marshall & Rossman, 1995; Patton, 1987; Yin, 1994). Researchers analyze data by performing such tasks as examining, establishing categories, labeling, or organizing the data in some fashion to focus on recombining the evidence to address the topic being researched (Patton, 1987). Classification of the data is imperative (Marshall & Rossman, 1995; Patton, 1987).

I initiated my analysis immediately after each interview in organizing my thoughts and wrote out my field notes in detail from the information I received from each of the interviews. I used content analysis as I analyzed my data to condense a large volume of data into logical and identifiable themes addressed in the areas of inquiry. This method includes

“identifying coherent and important examples, themes, and patterns in the data” (Kirk & Miller, 1986; Patton, 1987). The researcher seeks “observations or quotations that go together and are the same underlying issue, idea, or concept” (Creswell, 2003; Kirk & Miller, 1986; Yin, 1994).

I subdivided the contract into three distinct periods in order to aid the analysis of the data. Period one includes the inception of the contract until 1999 when the county made a Request for Proposal (RFP).²⁷ This is the only time during the tenure of the contract that the county distributed a RFP. Period two covers the years 2000-2004. The contract was renewed during this time without major renegotiation between the county and the university. Period three consists of the years 2005-present. During 2005, significant contract negotiations took place with many changes made to the contract in the Scope of Work and the staff responsible for performing the university’s contractual obligations.

I analyzed my field notes and data via coding, specifically color-coding to identify themes relevant to my areas of inquiry. According to Creswell (2003), detailed analysis begins with a coding process “... organizing the material into “chunks” before bringing meaning to those ‘chunks’.” The color-coded data was documented in multiple matrices and spreadsheets. All data and information was validated by comparing it with the known project data and information. There was very little conflicting data and information from the interviewees. However, when present, conflicting data and information was further researched and reconciliation attempts made. If the data or information could not be verified it was omitted from the study.

²⁷ Technical Proposal RFP99-277717-18

Validity and Reliability

While quantitative data can provide findings that are statistically significant, this is not present in qualitative studies as there is no one best way to analyze the data. Many researchers have debated validity and reliability with no one agreeing on a best way to corroborate the data results (O'Sullivan & Rassel, 1995). In broad terms, reliability, according to Kirk and Miller (1986), is the consistency that a measurement process produces repeated solutions. It is possible to have data that is reliable yet inaccurate or invalid. The researcher also needs to know whether or not the data is accurate.

Validity on the other hand is obtaining the correct answer (Griffin, 1998). Triangulation is one method to ensure validity. In this research, this was accomplished by comparing all sources of the data, to include project data and archival information.

Limitations of this Study

There are a number of limitations to the research in this dissertation. One of the limitations may be the study design itself. It is designed to illustrate the evolution of a specific pilot program between a university and a local government. It will not address similar programs implemented in attempts to model or copy this program in whole or in part.

A second limitation may be that existing long-term contracts may not evolve in the same or similar manner experienced by this contract. For example, other contracts may contain different elements of NPM than those that exist in this one. Also, collaboration may occur in varying degrees or be non-existent in other contracts.

Third, the chosen unit of analysis, the FRU itself may be understood as a limitation. The evolution of the FRU may not be indicative of other long-term projects and thus, creating generalizations are cautioned. It is not the researcher's intent to make

generalizations, only to present detailed results and findings that may contribute to a better conceptual understanding of contract relationships upon which future research can build.

Fourth, the researcher has a great deal of involvement in the project which may bias the interpretation results. In order to prevent such potential bias, my use of triangulating the data by using multiple measures, methods, and perspectives will work to protect against any interpretation bias the researcher may have.

This project is constructed as a study of a process-based program; it does not focus on other major areas of contracting such as performance measures, or outcomes and results. The author recognizes there is much literature that addresses performance based contracts, outcomes vs. outputs, and performance measures. That is beyond the scope of this dissertation. It is the goal of the researcher to provide a starting point for future scholars to use this case study for emerging research. The analysis of the data and findings of the research are presented in the next chapter.

CHAPTER 5-DATA ANALYSIS AND RESEARCH FINDINGS

To add to our knowledge of how long-term contract relationships evolve, this study explored the evolution of a long-term contract between a state university and a local government through the implementation of a unique model program to maximize federal resources for their child welfare program. The research examined key factors in the contract's evolution by focusing on selected elements of the popular NPM form of governance and the engagement of interagency collaboration in this project.

This chapter reviews research findings gathered during the elite and supplemental interviews, review and analysis of FRU documents to include memoranda, meeting minutes, annual reports, presentation documents, contract documents, and program guidelines in order to answer the research questions contributing to our understanding of how contract relationships evolve over time. The primary focus of the research questions is how did this model program contract evolve?

First, the research describes the contract periods and their relevant provisions. Next, the research describes the dimensions of this long-term contract in coping with fiscal stress in foster care. These dimensions include:

- The **environment** to include *political support, leadership, and fiscal stress,*
- **Program management**, including *line level staff,*
- The **relationship** between the county and the university including *trust, and communication,*
- **Contract accountability** to include *contract management, performance measures, achievable goals, and trained and qualified staff,* and
- **Structural changes** to include *changes in staffing levels and co-locations of staff*

Next, I investigated how do the elements of NPM and collaboration contradict or complement each other in this long-term contract? I explored the role interagency collaboration played in the implementation of the program, and whether characteristics of

NPM techniques and collaboration combined to implement this contract for an innovative pilot program?

This chapter is divided into two parts. The first details the contract divided into their three distinct period with the emphasis on structural change. The second part of the chapter examines the evolution of the dimensions of the contract, based primarily upon interviews.

Contract Periods and Their Relevant Provisions

The contract was divided into three distinct periods. The inception of the contract through 1999 when the county made a Request for Proposal (RFP) is included in period one.²⁸ The years of the contract that include 2000-2004 are included in period two. Period three consists of the years 2005-present.

Table 3 illustrates the three periods of the contract as it evolved. Included are highlights in the evolution of the contract from the inception to present. The section after the table describes the pertinent contract provisions that are relevant to this dissertation.

²⁸ Technical Proposal RFP99-277717-18

Table 3: Stages of the FRU Contract

Periods of FRU Contract	Evolution Provisions of the Contract
Entrepreneurial Stage (inception through 1999)	<ul style="list-style-type: none"> • Goals Focused on Outcomes • Staffing Increased • Policies and Procedures Established • Increased Scope of Work
Formative Stage (2000-2004)	<ul style="list-style-type: none"> • Goals Focused on Outcomes • Staffing Increased • Policies and Procedures Modified and Established • Increased Scope of Work • Formalization of Activities
Routinization Stage (2005-present)	<ul style="list-style-type: none"> • Goals Focused on Process • Staffing Decreased • Policies and Procedures Modified and Established • Decreased Scope of Work • Formalization of Activities, Processes, and Methods of Communication • Change in Contract Deliverables

Period One (Inception to 1999)

The initial period, termed the entrepreneurial stage, emphasized the initial activities associated with implementing the contract to include the initial *Family Service Refinancing Initiative*. During this stage, the initial staff was hired and policies and procedures were established.

As a result of initial work performed by the FRU, eligibility determinations of children in the county’s foster care system “substantially improved” resulting in increased federal revenues and offset county costs (Leidinger, 1996). DFS extended the original FRU contract through June 30, 1997.²⁹ In August 1994 the Fairfax County Board of Supervisors approved a recommendation for Virginia Tech to develop and implement revenue maximization strategies in support of county activities to redesign their Human Services.

²⁹ The initial contract was for the period August 1994-May 15, 1996. The second period covered May 16, 1996-June 30, 1997.

The goal of the FRU was to process claims and associated preparation of documents to ensure that all children in foster care in Fairfax County, potentially eligible for Federal funds, are identified and appropriate claims are made.

In May 1996, the contract was modified and an additional funding stream was added to the FRU's Scope of Work. The Title IV-D stream established a process to coordinate and establish child support claims from non-custodial parents. Additional FRU staff was hired³⁰ and were co-located at the JDRC. The county also hired additional staff, DFS Support Enforcement Specialists (DFS SES), dedicated to the enforcement and collections activities for the Judicial Support Orders established by the FRU staff.

During July 1, 1997-June 30, 1998, the contract was continued as an amendment to the previous year's Interagency Agreement with no significant modifications to the Agreement.

During July 1, 1998-June 30, 1999, the contract was continued as an extension of the previous Interagency Agreement. The FRU began accessing SSA (Survivor's Benefits) as an additional funding stream. Operational processes and procedures involving the Title IV-D activities continued to evolve as court related activities became part of the JDRC landscape. Also during this time, the county documented the provision of access to state and corporate data systems needed for the FRU to perform the work in the contract.³¹

What is noteworthy about this section is the expansion in the Scope of Work that occurred during the contract. Specifically, the Scope of Work was expanded to include the two additional funding streams. With the Title IV-D funding stream, additional staff was

³⁰ According to the Amendment for the Interagency Agreement between Virginia Tech and Fairfax County, the FRU staff increased by two additional Case Reviewers and a part time clerical staff.

³¹ These included access to VACIS (Virginia Client Information System), OASIS (On-Line Automated Services Information System), and ADAPT (Application Benefit Delivery Automation Project).

hired and located in the JDRC, and the county hired the DFS SES. With the addition of this Scope of Work, processes in performing the work had to be created and modified in order for the university to meet the contractual obligations to the county.

Period Two (2000-2004)

The second period, termed the formative stage, built on the prior stage with an emphasis on increasing the staff, continuing to establish new policies and procedures while modifying existing policies and procedures. The Scope of Work also increased.

For the only time in the history of the FRU, in 1999 the county placed the contract up for bid for the next contract period.³² Activities to maximize the revenues of federal funds from previous amendments were continued and additions were made continuing to operationalize the Title IV-D activities. The contract established a process to maximize revenues from an additional funding stream, Title XIX, Medicaid.

This contract established benchmarks documenting goals for accessing the funding streams. Assuming demographic characteristics for the children and their families remained the same as previous year; the university anticipated maintaining minimum eligibility goals.³³

There were provisions for two pilot studies. A Child Support Evaluation Design and a Title IV-E study for the county's Healthy Families program. Additional staff members were hired to complete the Title IV-E study. During this time, the university submitted a Scope of Work to evaluate welfare reform in the county, and the county accepted the proposal.

³² RFP99-277717-18

³³ If such goals were not met, the university would document the reasons the goals were not met.

This contract created additional staff for the FRU. A FRU team member was hired and performed the work activities for the Title XIX funding stream. The proposal created the addition of a management team member, the Project Coordinator.

During the years, July 1, 2000 through June 30, 2003, amended the current mutual agreement for two years. Provisions to the contract included the preparation and distribution of an annual report. Since the inception of the project, the FRU Project Director and FRU Principal Investigator had prepared and distributed annual reports since 1998 without a contract requirement.

During the years, July 1, 2002 through June 30, 2003, amendments to the Scope of Work included the addition of a Court Specialist, increasing this position to two full time staff, and continuing to reallocate the staff from the Healthy Family study to support the CSA program.

Changes to the Scope of Work to the Title IV-D funding stream were made to reflect federal benchmarks made to all states.³⁴ See Appendix D for detailed information regarding the DCSE benchmarks for which the FRU was responsible.

During the years July 1, 2003 through June 30, 2005, there were no changes in the contract's Scope of Work.

This contract period illustrates the only time in the contract's history that placed the contract up for bid and the county initialed a formal RFP. The expansion of the Scope of Work continued during this time. Another funding stream, Title XIX, was added to the contract and modifications were made to the Title IV-D funding stream. Two pilot studies, a child support evaluation and a Title IV-E, were added to the Scope of Work. With the

³⁴ The FRU was not responsible for all of the established benchmarks that the DCSE was held accountable. Specific to the FRU contract, these activities included the establishment of paternity and active medical support.

addition of work for these activities, additional staff was hired. This contract period documented goals the county expected the contract to meet and set a benchmark for the access rates for the funding streams. Performance measures in the form of increasing contract deliverables were added to the contract.

Period Three (2005-current)

This contract period,³⁵ valid until June 30, 2011,³⁶ illustrates a significant change in the contract that did not exist with the previous two contract periods. While this stage of the contract is labeled as routinization, the tendency to believe that the contract had reached a dormant state is not accurate. During this period, the contract remained dynamic and continues to evolve. This stage illustrates the continuing evolution of the contract to include changes in the goals of the contract, decreases in management and staff, and a decrease in the Scope of Work. As a result of the decrease in personnel, policies and procedures had to be modified to reflect the decrease in manpower.

The Scope of Work was no longer goal oriented, but process oriented. The contract formalized activities that had not been documented in previous contracts, but had been a part of the workflow activities the FRU had performed.³⁷ Specific activities associated with the Title IV-E funding stream were eliminated.³⁸

This contract established periodic formal meetings and identified the timeframes for the meetings between county management and staff and university management.

³⁵ Contract number RQ-06-830879-32A replaced RQ99-277717-18A

³⁶ While the contract does not expire until 2011, the contract is renewed based on funding approved by the Fairfax County Board of Supervisors.

³⁷ The activity aided the social worker in accurately documenting Title IV-E information. The Foster Care and Adoptions Program liked the practice and incorporated it into the contract.

³⁸ In addition to the initial eligibility determination that is made for Title IV-E funds, there is an on-going redetermination process that occurs. The FRU had performed these activities in previous contracts, but no longer involved in this activity when this contract was put into place.

During July 1, 2006 through June 30, 2007, changes were made to the FRU staffing levels, and the communication between the county and university. The Graduate Research Assistant position was eliminated without a reduction in the Scope of Work. The positions of two full-time DFS SES county positions became vacant and were not filled.

The contract also included two provisions to the communication activities between the university and the county. First, meetings between the university and county were conducted to review the contract requirements and determine if changes to current contract provisions were needed. Second, the contract modified the periodic meetings between the two organizations.

During July 1, 2007 through June 30, 2008, amended by mutual agreement, made changes to the Scope of Work, levels of staff, and the contract deliverables. Primarily, reductions in the Scope of Work to Title IV-D responsibilities were made.

The FRU's staff level was decreased with the elimination of the Project Coordinator position without a reduction in the Scope of Work. The county decided not to replace the DFS SES staff member after the two positions became vacant during the previous contract. Without the DFS SES, county management and staff created a new process for communication between the FRU and the local DCSE office.

The contract contained a provision for the FRU to follow the county's communications strategy. Specifically, communications procedures included utilizing the county's templates to include voice mail, written documents to include memos, fax cover sheets, and email standards.

The current contract expires June 30 2009, amended by mutual agreement made slight modifications to the Scope of Work for the Title IV-D funding stream.

At the conclusion of the preparation of this dissertation the county faces record budget deficits at levels the county has never faced. Proposed budget reductions of 15% have been made across every county agency. Unprecedented cuts to services are likely as the county grapples with a budget shortfall of over \$450 million dollars for fiscal year 2010. The DFS FY10 proposed budget Line of Business (LOB) includes two proposals to reduce the FRU's budget by approximately \$165,000. The impact to the evolution of this contract is yet unknown.

The third contract period records many changes. Significant for our understanding includes changes to the contract's performance measures; the Scope of Work changed from being goal oriented to process oriented with timeframes established for performing the work. Reduction to the FRU staff took place. The Graduate Research Assistant, the Project Coordinator, and the DFS SES positions were eliminated. Also, methods were established that formalized communication between the university and county management and staff. During this time, the FRU management and staff were instructed to mirror the county's communication standards. See Appendix C for a complete description of the contract provisions.

Organizational Players and Their Roles in the Implementation

All of the respondents described the university's organizational players as including Dr. Jim Wolf, the Director of the Northern Virginia Center for Public Administration and Policy (CPAP). Most of Dr. Wolf's direct involvement in the project was during period one.

A second key person was Dr. Renee Loeffler, who in 1995 held the position of Director of the Institute of Public Policy and Research (VT IPPR) within CPAP. Dr. Loeffler was Principal Investigator for the FRU contract when the project was implemented and

throughout the evolution of the project. During period one of the contract, she was involved in the decision to hire the initial FRU Project Director, Dr. Carole Kuhns, as well as additional FRU staff, and worked with Dr. Benton to develop the contract's Scope of Work. During all three periods of the contract, Dr. Loeffler prepared the project's budget and represented the university in contract negotiations, provided general oversight of the project activities, supervised the Project Director, and served as liaison with university departments.

Dr. Carole Kuhns, another key person, held the first position as the FRU Project Director. Dr. Kuhns handled the day to day challenges and activities. Dr. Kuhns had previous experience with federal funding agencies and collaborating across organizational boundaries. She also provided Title IV-E quality assurance activities for the Virginia Department of Social Services (VDSS). During period one of the contract, Dr. Kuhns and Dr. Loeffler were co-Principal Investigators for the contract.

Three of the respondents identified Tamela Griffin as employed at the FRU during the *Family Service Refinancing Initiative* and noted she later served as the second FRU Project Director. One respondent discussed the involvement of the dean of the College of the Architecture and Urban Studies, during period one of the contract.

All five of the respondents described the involvement of the organizational players from Fairfax County. First, William J. Leidinger, County Executive, approved various portions of the revenue maximization activities between the university and the county. The interviewees and county documents identified the role of County Executive Leidinger made presentations to the county's Board of Supervisors providing updates on the ongoing efforts "to expand our recovery of eligible federal and state revenues to offset ongoing program and services costs" (Leidinger, 1996; Patton, 1987).

Verdia Heywood served as the Deputy County Executive during all three periods of the contract. “He was the initial client in the FRU Project”, noted one of the respondents.

During period one of the contract, Sue Manzo served as the Director of Department of Human Development. Director Manzo was a former graduate student of Dr. Benton’s. She approached Dr. Benton to discuss a project that she had been given at work from Deputy Director Haywood to redesign the county’s human services programs. Dr. Benton and other faculty from the university provided professional services for working with the county’s redesign leadership team.³⁹

David Hunn, Deputy Director of Department of Human Development was the initial DFS Project Officer until 1997. Director Manzo tasked him to lead the county’s *Family Service Refinancing Initiative*, one of over 10 revenue maximization projects the county was implementing. This initiative was developed as a means to identify additional revenue from federal sources in order to reduce the local county costs of providing services to close to 800 children in foster care. This was one of the larger projects the county implemented; the FRU was one of the easier to implement in order to begin receiving revenues quickly. One respondent claimed, “David Hunn became our greatest champion by far; he was a very big player.”

Dana Paige began his involvement with the FRU as Department of Management and Budget Deputy Director until 1998. Deputy Director Paige reviewed the initiative between the university and the county and gave his approval to set up the project with Virginia Tech. He replaced Director Manzo and became the Director of the DFS when she when left the

³⁹ Contract PC50019410A

position.⁴⁰ DFS Director Paige served in this position during all three periods of the FRU contract.

During the first period of the contract, Suzanne Famellette, a county Management Analyst, replaced Deputy Director Hunn as the DFS Project Officer when he left the county in 1997.

During all three periods of the contract, Dr. Gail Ledford played a supportive role to the FRU contract as she served as the CSA Manager from 1993-2008. As the FRU's work evolved to include Title XIX, VA Medicaid reimbursement, Dr. Ledford performed an increased role when amendments to the FRU contract were added. For example, the county could add staff and expand their capacity of program operations with the implementation of the new Medicaid funding stream.

All of the respondents affirmed that Dr. Bill Benton, Vice President, Benton & Associates, Ltd., the private sector representative in the *Family Services Refinancing Initiative*, "Was the genesis of all this." Prior to the foster care case reviews, Dr. Bill Benton previously worked closely with Deputy Director Heywood on other county projects. In Dr. Benton's role with the FRU, he was hired as a consultant to help the county think through various options to contain county costs. Dr. Benton helped the county understand the federal flexibility that existed in financing child welfare. This "showed a new light" to the county and they could change or modify their current processes to take advantage of the flexibility from the federal government. Dr. Benton had the expertise and knowledge of multiple Federal processes to revise the county's internal foster care eligibility process and to draw down increased federal revenues. Dr. Benton and his staff identified Title IV-E opportunities for the county to access federal funds, and suggested to the county they retain the university

⁴⁰ Mr. Paige remained in this position until his retirement from the county late in 2008.

to perform the revenue maximization activities. Dr. Benton was involved in meetings with Clarence Carter, former Commissioner of the Virginia Department of Social Services (VDSS) and Ray Goodwin, former Deputy Director, VDSS discussing revenue maximization initiatives and how such a process could be implemented. Contract documents reveal that as the project evolved and the Scope of Work increased with the additional funding streams, specifically, Title IV-D, Dr. Benton continued to play an important role in the project.

Two respondents described the involvement of former Commissioner Carter, and former Deputy Director Ray Goodwin. At the state level, Commissioner Carter fully supported the project with Fairfax County. Deputy Director Goodwin and Dr. Benton had been counterparts when Dr. Benton worked for the Maryland State Department of Human Resources and Deputy Director Goodwin with VDSS; the two would contact each other for assistance, and as Dr. Benton stated, “Mostly Maryland learning from Virginia.”

Dr. Benton was actively involved in the FRU contract during period one, and less involved during periods two and three. All of the contract amendments and discussions between university and county management as well as all three periods of the contract contain provisions that the university will make consultants available to provide additional technical assistance in maximizing Title IV-E revenues. This includes the services of Benton & Associates, Ltd. if such services are needed.

Evolution of the Dimensions of the Contract

The following section details the information gathered to understand the research question exploring how this long-term contract evolved.

In addition to the five elite interviews, supplemental interviews were conducted with former and current FRU management and staff.⁴¹ Of the five primary elite interviewees, the representative from the private sector is not actively involved in the current operation of the contract, but is a subcontractor if their services are requested. The two representatives from the university are no longer with the university, one retired during the late stages of this research. One of the two managers from the county government has left the county; the second continues to be employed by the county. Three of the four persons participating in the supplemental interviews are current FRU staff. The fourth is no longer with the FRU. Three of the four interviews were conducted in person; the fourth via a telephone interview.

In seeking to describe and explain the contract evolution, I first described below the initiation of the project and then examined the dimensions of this long-term contract in coping with fiscal stress in foster care. I investigated how specific dimensions related to the implementation and evolution of the program including:

- the **environment** (fiscal stress, political support, leadership, program management),
- the **relationship** between the county and the university (collaborative vs. business interactions, trust, communication)
- **contract accountability** (contract management, performance measures, achievable goals), and
- **structural changes** (co-location of staff, changes in staffing levels)

I also investigated how do the elements of NPM and collaboration contradict or complement each other in this long-term contract? I explored the role interagency collaboration played in the implementation of the program, and were characteristics of NPM techniques and collaboration combined to implement this contract for an innovative pilot program?

⁴¹ See Appendix E for detailed interview responses.

Environment

Environmental Factors Contributing Toward Initiation of the Contract

To gain an understanding of the key factors that influenced the initiation of the project, the interviewees were asked: *What were the key factors that led to initiating the project? How did the environment contribute to the implementation of the program? How did the county's fiscal environment contribute to the implementation of the program?*

There were a number of key factors occurring in the county that contributed to the implementation of the program. Four of the five interviewees stated there was no new federal, state or local legislation that precipitated the establishment of the FRU. One of the four respondents stated that while there was no new legislation, there was interest at the local level as a result of state legislation that created the Comprehensive Services Act. The CSA passed in 1993; 1994 was the first full fiscal year of its implementation.

One respondent described a “nexus of events” taking place in the county. The CSA had recently been implemented. County leaders looked across the county “landscape” for methods to minimize local expenditures for CSA expenses. This project was one of many cost containment strategies for the CSA that included increased county revenues, credits and offsets to county expenditures. County officials used a five-pronged approach to increase revenues and reduce costs. This included accessing Title IV-E, Title IV-D, SSI, and Medicaid⁴² funding streams, and receiving parental co-payments for children receiving CSA services.

Next, the county was involved in a significant redesign initiative in the human services department. Unprecedented leadership changes took place as Director Manzo

⁴² This source of Medicaid funding is not Medicaid reimbursement for treatment and residential foster care that is currently accessed through the activities of the FRU.

restructured the department to conduct county business differently for better outcomes. County managers conducted a Lines of Business (LOB) review and identified their business scope. In the Foster Care and Adoptions program, one item that was identified during the LOB review was the Title IV-E room and board maintenance subsidies and methods for the county to claim the eligible resources. Additional information discussing Director Manzo's relevant management techniques relating to this research is discussed further in the dissertation.

Third, another county environmental factor contributing to the implementation of the project was the significant size of the county's foster care population which was approaching 800 children. County management wanted to remove the administrative burden from the front line staff (social workers) so they could better manage their foster care case loads. After the initial case review, county management realized that children in foster care were not getting the money from the federal government to which they were entitled. The county incurred significant expenditures in the operation of their foster care program, and the county wanted to increase their revenues "as much as they were able." When Deputy Director Heywood and Director Manzo realized the potential revenues that could be achieved with a team dedicated to revenue maximization activities, the FRU project was identified as an opportunity to save other county programs.

How did the county's fiscal environment contribute to the implementation of the program? Coupled with the county's multiple environmental factors, the county was facing serious economic challenges. All of the respondents emphasized the county's enormous fiscal constraints and challenges. County revenues were not as expected; the county was struggling with a rise in taxes and tax payer concerns with the tax increase. One respondent

stated, “The county was facing one of its worst fiscal situations during the early 1990’s, a ‘doomsday budget’.” Another respondent described, “The county was facing one of the worst fiscal environments (1992-1994) since the recession.”⁴³ Many efforts were being made throughout the county to contain costs, maximize revenues, as well as cuts to programs. One respondent stated, “Not being able to rely on prior business practices (to continue to provide the high level of services) was a ‘real shocker’ to the county. The county had always provided a high level of services and hired their own staff to provide these services. It was new for Fairfax County not to be able to finance their programs without outside assistance. Lay-offs of county staff were pending.” County management had a focused emphasis on cost avoidance and revenue maximization versus program cost cutting.

As one respondent noted, the impetus for the contract was a fiscal gap existing at the county level rather than new legislation. Due to the fiscal gap, the FRU was one of many recommendations that were made to help the county handle their fiscal crisis. Fairfax County had a history of funding their programs with local dollars with no special effort made to maximize state and federal dollars to aid in financing county programs. The Benton & Associates and Virginia Tech team laid out a series of recommendations for the county to consider how to maximize federal dollars. One respondent contended, “There was a huge opportunity to conduct a review of the foster care case files and move the kids legitimately to Title IV-E with the initial case review.”

⁴³ This budget crisis did not reach the unprecedented level of the County’s budget crisis that was taking place in 2009 as this dissertation was being completed.

Goals and Choosing the Contractor

To understand better the early stages of the project's implementation the interviewees were asked: *What were the initial goals in implementing this model program? How was Virginia Tech chosen to implement the program? What is the current method of choosing a contractor for the continued existence of this program? Describe how the contract was initially funded, and has that changed as the contract evolved, and has the method changed since the inception of the program?*

What were the initial goals in implementing this model program? After the *Family Services Refinancing Initiative*, the county realized children in the county's foster care system were not getting the money they were entitled from the federal government. All of the respondents emphatically stated the FRU was developed with the goal of identifying additional revenue from federal sources to reduce the local costs of providing services to children in foster care. Respondents all agreed the "Number one reason was the county wanted to maximize the federal funding access rates and increase the county's revenues across the Title IV-E, SSA/SSI funding streams."

All of the respondents reported the initial goal in the implementation of the project was to review all foster care cases evaluating each for Title IV-E funding potential. If cases were found ineligible, research was conducted and relevant documents obtained in efforts to make them eligible if possible. By increasing the Title IV-E access rate, the revenues could be maximized as the county struggled with the huge foster care caseload and significant fiscal stress.

As previously stated, additional funding streams were added as the contract evolved with the goal of maximizing revenues to offset the county's foster care expenditures in

periods one and two of the contract. The goals for these funding streams remained the same as with the other streams, to increase and maximize revenues for the county as they struggled with a huge foster care caseload and significant fiscal stress, increase the Title IV-E access rate, and relieve the administrative burden from the county staff.

Did the goals of the contract change over time, and if so, describe the changes. The respondents affirmed the goals of the contract for the county have remained the same throughout the evolution of the contract. During all three periods of the contract, the number of funding streams the FRU was responsible for accessing increased. With each funding stream addition, the goal of the contract remained the same-to maximize resources for children receiving foster care services. This goal is found throughout the contract documents during all three periods of the contract.

In addition to meeting the university's contractual obligations to the county, the university also had goals in the implementation of this project. The university's initial goal in implementing this model program was to bring in indirect monies for CPAP and the College of Architecture and Urban Studies (CAUS) to support the fiscal well-being of the university. While the goal to increase indirect monies for the university remains important, the university has decreased the indirect rate it charges the county. This began during period three of the contract when the funding for the contract changed and the county costs to finance the project increased.

How/Why was Virginia Tech chosen to implement the program? There were a number of reasons why Virginia Tech was chosen to implement the program, benefiting both the university and the county. First and foremost, all of the respondents affirmed the university was the best organization to implement the project because the university had the

expertise to perform these activities. One respondent believed the university was chosen because of the high level of expertise and worked under the premise of “what we can do to help”.

Second, three of the four respondents agreed that the project created a working experience for Graduate Research Assistants and students. One respondent stated, “The project gave students experience in public service and how the delivery of services could take place.” This project also opened up a number of additional projects for the university and increased the university’s involvement in non-traditional activities and opportunities. Next, the implementation of the FRU was a method for faculty to obtain outside funding which the university desired. The FRU project furthered the university’s mission and land-grant institution by utilizing the practice of academic knowledge and expertise to obtain funding.

Finally, all of the respondents emphatically agreed the relationships that existed between Dr. Benton, Dr. Wolf and Director Manzo, “Clinched the deal”. Relationships between Dr. Loeffler, Dr. Benton, Dr. Wolf and Director Manzo existed prior to the implementation of the FRU contract. Dr. Wolf and other Virginia Tech faculty had contracted to the county during their Human Services restructuring activities. Additional information about the relationships among those involved in the contract is forthcoming.

What is the current method of choosing a contractor for the continued existence of this program? Overall, the method for choosing a contractor has not changed as the contract has evolved. The current method of choosing a contractor is multiple year contracts renewed annually by mutual agreement, and depends on the allocation of county resources by the Fairfax County Board of Supervisors. At the beginning of period two, and only once during the history of the FRU, the county issued a RFP; this occurred in 1999 at the request of a

Board of Supervisor member. The county wanted to ensure its investment was optimized and their resources were wisely used.

County Benefits to Hiring Virginia Tech

Hiring Virginia Tech was a benefit to the county in several ways. All of the respondents admitted the financial savings to the county as this was imperative during the current fiscal crisis of the county. First, all of the respondents agreed the first contract did not have an RFP; it was a no bid contract between the two organizations. Virginia Tech was able to do this work without going through a RFP and bidding process because VA Code allows local governments to contract with the state's higher education institutions (particularly a public education organization) without an RFP. The project could be implemented with a Memorandum of Understanding (MOU) without undergoing the expensive, laborious, and time consuming bid process. With the MOU in place, the county could implement the project right away. As long as the county was comfortable with this process, no RFP was required. Second, the university was not asking for profits from the project, thus costs would be lower for the county. Since university was not participating in the project for profits, there were no incentive payments vs. for-profit organizations and businesses driven by profit. Third, the indirect costs were waived from the university representing a cost savings to the county.

Next, it was not feasible during the county's fiscal crisis for the county to hire staff to perform these functions. The county could increase their capacity and be more flexible with staff activities by hiring a team from Virginia Tech than if county staff performed these functions. The staffing flexibility continued during periods one and two of the contract. During period one and two, additional staff was hired in 1997 with the implementation of the

Title IV-D funding stream. During period two, additional staff was hired in 2000 with an expansion in the Scope of Work to implement the Title XIX revenue stream. Additional FRU staff including the position of the FRU Project Coordinator was hired during this time.

How was the contract initially funded, and has that changed as the contract evolved?

During the initial year, the contract was funded by a vote from the Fairfax County Board of Supervisors. Resources for the project for the remainder of period one and the additional two periods were budgeted by the county on an annual basis.

Interview responses and contract records document that local resources funded the project while federal resources paid the overhead; this was a major advantage to the county in contracting with the university. The higher the indirect cost, the higher the university could match. The original financing was a combination of Federal funds (50%), indirect funds from the university, and the balance from county funds. In addition, the financing of the project was very beneficial for the county as they received the full revenue benefit. The state received a little money, the federal government paid 50%, and the county paid a fraction of the cost for the project. Also, federal funds could also be drawn down to the county for administrative activities to perform Title IV-E activities, not just the reimbursement to the county for the child's expenditures. One respondent stated, "The FRU more than paid for itself by performing this work."

Has the method changed during the inception of the program? This method of funding continued during the first two periods of the contract. During period three, the funding for the contract changed and the project's budget did not include the money previously obtained from the federal government.⁴⁴ As a result, the costs to the county to

⁴⁴ As a result of a federal audit report, Title IV-E Foster Care Administrative Costs Claimed by Virginia on Behalf of Fairfax County From April 22002 Through March 2004 (A-03-04-00585).

finance the project significantly increased. The university also made changes and reduced the amount of indirect charged to the county to reduce the cost of the project.

External factors also impact the creation and approval of the budget. The university has the responsibility for the administration of the contract. In the early 2000's, there was a change in the state's compensation plan.⁴⁵ In 2005 as part of a systematic review, numerous colleges in the university evaluated the salaries of classified staff (to include the FRU) to determine which employees qualified for in-band salary adjustments using the criteria of the state's new compensation management system.

In the process of the review, the university's Department of Human Resources determined that five of the FRU staff were not in the correct pay band. After the Human Resources Department analyzed the Knowledge, Skills and Abilities required for the positions and the specific job requirements as documented in the staff's job descriptions and performance plans, they determined the positions were not properly classified. The university made changes to the staff's roles to more accurately reflect and document their level of expertise in the work that is performed for the university to meet the contractual obligations to the county. As a result of the changes in the roles of the staff, the university increased their salaries. The salary increases resulting from state policy had a substantial effect on the project's budget that needed to be implemented by the university.

What stands out from this explanation is the presence of factors external to the allocation of resources annually approved by the county play a role in how the contract is funded. Changes made by the university, in this case a change in the state's compensation plan, impact the FRU staff. The changes impacted not only the staff classifications, but also

⁴⁵ Employees were moved from a system with many grades and steps within grades to a system with broader pay bands.

the salaries of several FRU staff. These salary increases had to be factored into the contract's budget.

Environment: Political Support and Leadership

To understand the role of the political support and leadership that was present during the initiation of the project, the interviewees were asked about the political support and leadership that was present at the state, university, and local level and the role it played in the implementation of the program.

Describe the political support and leadership at the state, university, or local level and the role it played in the implementation of the program. Many of the organizational players involved during period one of the program's implementation are also credited for providing the political support and leadership during this time. Some of these persons continued to play a role during all three periods of the contract. All of the respondents stated that three persons represented the political support and leadership at the county level, County Executive, William J. Leidinger, Deputy Director Heywood and Director Manzo. One respondent stated, "The 'champions' at the county level included Verdia (he was the client), and County Executive William J. Leidinger." There were over 10 revenue maximization projects the county was implementing; this was one of the larger projects and was one of the easier to implement in order to begin receiving revenues quickly.

At the university level, Dr. Wolf and Dr. Loeffler represented the leadership. Dr. Wolf was vital in the implementation of the project as he was instrumental in the university's involvement in non-traditional activities and opportunities. One respondent stated, "The county was very impressed with Dr. Wolf with his organizational development background and Dr. Loeffler at the university level." One respondent stated, "With Dr. Kuhns and Dr.

Loeffler at the university holding senior management positions, there was stable leadership on the contractor's end.”

The leadership and support of the project of the dean of the College of the Architecture and Urban Studies changed as the contract evolved. Initially the dean supported the project. During period two, the dean questioned the role and the appropriateness of the university as it engaged in this project. The concern was that the FRU project was not representative of a traditional research project conducted by the university. However, after further review, the dean realized the funding received by the university outweighed the concerns. The funding assisted in supporting the fiscal well-being of the university.⁴⁶

All of the respondents acknowledged the leadership exhibited by Dr. Benton as he brought his expertise in federal funding to help the county think through various options to contain and reduce their program costs. Dr. Benton stated, “Our job was to ‘deliver the goods, maximize the revenues’”.

During period one of the contract, at the VDSS, Commissioner Carter and Deputy Director Goodwin supported the project as they saw the value to maximizing revenues to finance child welfare programs. Deputy Director Goodwin had vast experience in promoting interagency collaboration between universities and public agencies.

There are several things that are noteworthy about the political support and leadership. First, the project had strong support from the university and county management. Second, the university and county management were willing to explore methods of conducting business in non-traditional methods. The county recognized the importance of

⁴⁶ The College of Architecture and Urban Studies and the Center for Public Administration and Policy received revenues from the project.

partnering with an outside organization to achieve their business goals, and the university saw the benefit of seeking to increase revenues for the university through non-traditional activities. Third, while Director Manzo was intimately involved in the initiation of the project, the project had a high level of exposure to county management with the support from County Executive Leidinger and Deputy Director Heywood.

As the contract evolved, the political leadership and support remained strong. There was turnover in university as well as county management during period one of the contract with the departure of Director Manzo, Deputy Director Hunn, and Dr. Kuhns, however, support for the project remained strong. The university and county staff that remained continued their tenure with the contract for many years and were involved either directly or indirectly. As new university and county management got involved with the contract, the support continued as the contract evolved. At the state level, officials supported the project because they recognized the potential to finance child welfare programs and the importance in promoting university activities with public agencies.

Program Management

In order to understand the role of the county's program management when the contract began, I asked the interviewees to *describe the role of program management when the program was implemented and how did it change as the contract evolved*. The respondents reported that during the implementation of the project, there was no contact with the program management. The managers of the programs, Child Protective Services, Foster Care and Adoptions, and the Self-Sufficiency Department, were aware of the project and supported it even though they were not involved in the project's implementation. The administrative/operations side of the county's Department of Human Development was the

most involved in the implementation and was the “driving force” in four areas, framing, coordinating, and setting the tone for cooperation with the programs, along with performance management and contract accountability. One interviewee stated Deputy Director Hunn communicated to one of the program managers the county’s expectation was to increase revenues and cooperation was necessary. As the contract evolved into period two of the contract, Dr. Ledford and the CSA program took the lead when an additional funding stream, Title XIX Medicaid was implemented.

What is noteworthy about the program management is their “detachment” or non-involvement in the implementation of the project. The FRU was very dependent on information and documents received from the programs to perform the work. The involvement and communication primarily took place with the county’s line level staff.

How did it change as the contract evolved? As the contract evolved, the involvement of program management did not change. As new funding streams were implemented, for example, the Title XIX funding, the involvement of program management is not initiated by the FRU, but rather from other county programs.

Program management continues to be supportive, and provides assistance when needed. Typically, assistance from program management is most needed when prior attempts to obtain information and documents necessary from program staff were not successful.

Line Level Staff

To understand the role the county’s line level staff (social worker) during the implementation of the project, the interviewees were asked to *describe the role of the line level staff at the beginning of the project and how did it change as the contract evolved?*

During period one of the contract, there was no contact with the line level staff, specifically the Child Protective Service social workers or the Foster Care and Adoptions workers. All of the respondents stated the creation of the FRU and the work performed removed a great deal of administrative activities that county program staff were responsible for. For example, per Virginia state policy, the performance of specific tasks and activities related to the funding streams was the responsibility of the county's social workers (Title IV-E and Title IV-D). For multiple reasons, the activities related to these two funding streams were not occurring with the line level social workers, and as one respondent reported, "There was no accountability at the line level (staff); no aggregate responsibilities or quality improvement." Because these tasks and activities were not being performed and county management realized they were not maximizing revenues as identified from the state and the federal government as a result of the *Family Services Refinancing Initiative*, the FRU's performance is tied to the completion of the tasks. The creation of the FRU is dedicated to a function; performing all necessary tasks and activities necessary to access and maximize the funding streams.

During period one of the contract, an interview respondent stated the county line level staff was wary as well as curious with the implementation of the project and the newly created positions during the fiscal crisis the county was experiencing. The line level staff wondered if they would be required to do more work. Dr. Kuhns attended program staff meetings and communicated to the county workers that they were being relieved of work as the role of the FRU was to help to gather the required documents and information the social workers had not been able to obtain when the child entered foster care. The program's and staff's roles are to provide documents and information that are required; without these, the

project would not be successful. The social workers became supportive of the FRU's efforts beginning in period one and continuing throughout the remaining periods of the contract.

It was important to county management to embed the FRU into the operations of the program. One respondent stated, "It was important for the FRU to be embedded into the operations of the program so there would be ready access to the foster care case files in addition to providing close communications between FRU staff and line social workers." The work the FRU is contracted to do depends on communication, documentation, and on-going exchanges of information from the county's line level staff. The relationships and communications with the front line staff began during period one and evolved throughout period two and three of the contract. At the conclusion of the second contract year, FRU management conducted an evaluation of the FRU unit from the perspective of the social workers and their supervisors in the Foster Care Program. The purpose of the survey was to evaluate whether or not the FRU decreased the administrative burden for the program staff and increased federal reimbursement for children in foster care. The responses overwhelmingly stated the FRU had been helpful in the coordination of Title IV-E and in applying for SSI benefits.

What is important to note here is that similar to the detached role of the program management during the implementation of the project, the line level staff were also "detached" and not involved. The information and documents provided by the line level staff were imperative to the work for which the FRU was responsible. Without the receipt of the information and documents, the university was not able to fulfill their contractual obligations to the county. FRU management and staff built relationships with the line level staff in order to perform the work

How did it change as the contract evolved? As the contract evolved, the involvement of the line level staff changed. Relationships continued to be established between the FRU and the line level staff. Line level staff learned the role the FRU played in maximizing revenues for the county, and through the work the FRU performed, the benefits to the children in their case loads, and when applicable, when the children exited foster care.

Also, social workers began to take initiative in communicating case information to FRU management and staff. Not all workers exercised this initiative, but when they did, it prevented the FRU from “tracking down” needed information.

Relationship

To understand the role of the relationships between the two organizations during the beginning of the project, the interviewees were asked to *describe the relationship that existed between the county and the university during the implementation and the role relationship played as the contract evolved*. In addition, the interviewees were asked to *describe the role of trust between the two organizations. Did the relationships change as the contract evolved?* Interviewees were also asked to *describe the communication structure between the organizations and the role it played at the beginning of the contract and as the contract evolved*. The researcher asked the interviewees to *describe the methods of communication between the organizations, were the methods of communication formal or informal?*

Describe the relationship that existed between the county and the university during the implementation and as the contract evolved. The county had an increased awareness of public agencies more involved in contracting opportunities. All of the respondents attested to the relationships between multiple university and county management that existed **prior** to the implementation of the contract as well as during the implementation of the contract.

Each of the respondents described the relationships between Dr. Loeffler, Dr. Benton, Dr. Wolf, Director Manzo, and Deputy Director Haywood that existed prior to the implementation of the FRU contract.

Dr. Wolf and Director Manzo had previous professional experience as they had been involved in a number of restructuring strategies for the county's Department of Human Development and Department of Manpower service prior to the initiation of the FRU.

Dr. Wolf and Dr. Benton had a professional, academic and personal relationship prior to and after the implementation of this project. Dr. Benton and Dr. Wolf attended graduate school and received their Doctor of Public Administration together. The two knew Director Manzo through other work they had performed through the university on other county projects. Dr. Benton had been involved in an organizational development project with Dr. Wolf and Deputy Director Hunn.

As a result of previous Title IV-E work both had done at the state level and additional locations, Dr. Benton approached Dr. Loeffler to work on this project. Beginning with period one and continuing through period three of the contract, relationships between the two organizations became closer due to the interaction that was necessary as the FRU performed the work to meet their contractual obligations.

What is important to note here is breadth and depth of the relationships that existed prior to the implementation of the contract. Unlike many the relationships between stakeholders in other contracts and projects, relationships among the organizational players in this contract existed and needed minimal fostering. Many of the organizational players worked on previous projects or had academic relationships, thus reducing the time required

in other contracts and projects needed to build relationships among the organizational players.

As the contract evolved, the relationships between the two organizations remained strong. The relationship between Dr. Loeffler from the university and Dr. Ledford from the county, along with Dr. Benton and additional university and county management and staff continued the strong relationships built many years ago. Despite university and county management and staff exiting the project, the strong relationships between the two organizations continued with management and staff joining the contract.

Communication

Describe the communication structure between the organizations. Were the methods of communication formal, informal, or both? All of the respondents stated that during period one of the contract, the primary methods of communication were both formal and informal.⁴⁷ The interview respondents as well as contract documents revealed the early communication between the two organizations included meetings, facsimiles, and telephone conversations. The FRU Project Director had weekly meetings with county management in which the documented previous weeks work activities were analyzed in detail. The contract contained project deliverables in the form of monthly reporting mechanisms to document the project's progress and case reviews status. As the contract evolved, amendments to the contract documented the initiation of formal meetings between the university and the county at specific intervals.

During period one and two of the contract, hard copy documents were also distributed between both organizations, most often from the university management to the DFS Project

⁴⁷ As the research progressed and the data was analyzed the area of communication between the university and the county overlapped with the research questions on contract accountability and performance management. These research areas are discussed separately.

Officer as well as to other county management illustrating county savings, revenues, outcomes achieved by the project, and measurements of the performed work. These methods of communicating occurred during all three periods of the contract. During periods one and two of the contract, contract deliverables were distributed via hardcopy to their respective recipients. During period three of the contract, most of the documents began to be distributed electronically via email attachments and on compact discs. Additional details about the contract's accountability and performance management is forthcoming.

It is relevant to note that from a technology perspective, desktop computers were just beginning to enter the workplace. One of the challenges during the implementation and evolution of the FRU was to obtain access to data management systems necessary to perform the work. The project operated via the county's shared network access- LAN based system thus allowing FRU staff co-located between two facilities to document their work activities via multiple methods.⁴⁸ The LAN based system existed during period one of the contract and continues to period three.

As the contract evolved, technology used to communicate contract information and the methods used perform the work also evolved. During period one and two of the contract, specific language in the contract detailed the office equipment needed for the FRU to perform the work to meet the contractual obligations.⁴⁹ During period three, computer equipment with the relevant databases needed to perform the work are considered routine and do not require extensive documentation from the university for each staff's computer. What is

⁴⁸ Microsoft Access Database, excel spreadsheets, Microsoft Word documents, etc.

⁴⁹ For example, when the project was implemented, every FRU staff member did not have a computer on their desk. Also, specific computer requirement and programs required to perform the work were written into the contract provisions.

documented in the contract is the provision of standard office equipment that is needed to perform the work.

During the early part of period one of the contract, email did not exist. Email began late in period one and at the beginning of period two of the contract. During the second period of the contract, email and voice mail were the primary technologies used for communication between the organizations. During period three, email and voice mail continued with instant messaging and personal communication devices implemented as a method to communicate between FRU team members and county management and staff.

At the conclusion of 2008, the county is facing record budget deficits and budget cuts of up to 15% are possible. One respondent suggested beginning *proactive* dialogues between the university and county regarding the proposed county budget reductions. The annual budget was a recommended topic for such a dialogue between the two organizations as the county and university operate on differing budget cycles. The university budget cycle operates on an annual basis and relies on action taken by the VA General Assembly while the county typically plans a cycle ahead of the state.

What is important to note here is the extensive and on-going communication that has taken place between the university and the county from the very beginning of the contract. Also, the methods of communication between the organizations have taken many forms over the evolution of the contract. In the early days of the contract, face to face meetings took place weekly between representatives from the university and the county and hard copy documents were distributed to the county. As the contract and technology evolved, the methods of communication have also evolved. The use of computers created a new venue

for communication between the two organizations. Currently, many of the contract deliverables are distributed to the county electronically.

Trust

Describe the role of trust between the two organizations and did it change as the contract evolved? The relationships and trust that existed between Dr. Benton, Dr. Wolf, Dr. Loeffler and Director Manzo led to the discussion for public/public contracting between the two organizations making contracting easy. Prior to the implementation of the project, there was a high level of trust between Virginia Tech and county management, specifically between Director Manzo, Dr. Benton, and Dr. Wolf as well as between Deputy Director Hunn and Dr. Loeffler. During period one of the contract, there continued to be trust among the organizational players. When Deputy Director Hunn left the county, his replacement, Susan Famellette was very supportive of the project.

Because of the relationships between Dr. Loeffler, Dr. Benton, Dr. Wolf, Deputy Director Haywood and Hunn, and Director Manzo there was trust during the implementation of the project. During the first period of the contract, trust between the two organizations was seen as “high level”. During period two, the county could come to Virginia Tech for additions to the contract’s Scope of Work and additional projects. For example, Dr. Kuhns transitioned from the FRU to engage in multiple additional projects and the value the county saw in the work being performed by Virginia Tech. Also, the FRU was involved in the county’s foster care prevention initiatives in the early 2000’s. Additionally, contract documents reveal that one of the first FRU Case Reviewers participated in Title IV-E case audits and pilot testing of a new Federal review instrument for the VDSS.

During period three of the contract, the trust between the two organizations continued with the FRU Project Director participating for over two years in the county's most recent activity, the Title IV-E Process Improvement Project. During this time, at a meeting with county management and staff, someone commented the "FRU was the sharpest group around." One respondent accredited, "Quality and performance of past work adds and contributes to the trust between the organizations." Also, "The contract had sustainability regardless of the personnel involved."

What is important to note here is the high level of trust that exists between the two organizations. While trust among stakeholders is not often present in newly implemented contracts or projects, it was present prior to the implementation of the FRU and continued as the contract evolved. Continued trust is evident in the increases over the years in the contract's Scope of Work, the pilot projects that were performed and requests for current FRU management to participate in the county's Title IV-E Process Improvement Project.

Contract Accountability

To understand the role of contract accountability between the two organizations during the beginning of the project, the interviewees were asked to *describe the role of contract accountability during the implementation of the contract? Has this changed as the contract evolved? What methods are used for performance management of the contract? Have these methods changed as the contract evolved?*

Describe the role of contract accountability during the implementation of the contract? Has this changed as the contract evolved? Discussed briefly earlier in the dissertation, all of the respondents stated the role of contract accountability and performance measurement during the implementation of the project was, "A very big issue". Respondents

agreed on the premise of the county's right to inspect the work that was being performed by the FRU. A high level of contract accountability has continued throughout the evolution of the contract. As additional funding streams have been added to the Scope of Work, accountability for the performance of the work continued. The section below will describe the methods used for the performance of the contract.

What methods are used for performance management of the contract? Have these methods changed as the contract evolved? Contract language in all three periods of the contract documents the FRU's deliverables to the county. Throughout all periods of the contract, the primary method used to manage the performance of the contract are deliverables, typically in the form of reports documenting the FRU's activities and results at predetermined intervals. The contract deliverables include activities, results in accessing the funding streams, and revenues for the county. The reports are distributed to multiple county management and staff. Other methods of managing the performance of the contract include meetings, on-going communication, and email.

During period one, meetings with Deputy Director Hunn and weekly and monthly reports were the primary methods for measuring the performance of the contract. Dr. Kuhns met weekly with Deputy Director Hunn to review the previous week's activities.⁵⁰ In addition to the weekly meetings, Dr. Kuhn's provided monthly reports documenting the project's progress, the Title IV-E access rate, and reimbursements to the county. One respondent stated, "David Hunn scrutinized the work in a good way."

During period two of the contract the contract documented additional reporting methods that incorporated activities and results for the Title IV-D funding stream. During

⁵⁰ The discussion would include information about the case reviews; the number of cases reviewed by each staff and explanation of reasons why one staff may review more cases than another.

period two, a provision was added to the contract for the FRU to continue the preparation and distribution of the Annual Report to county management and staff.

During period three, the contract's performance measures documented acceptable timeframes for performing the work. This represented a shift from measuring the performance of the work from being goal oriented (maintaining the funding access rates identified by prior contracts as benchmarked access rates) to process oriented performance measures with acceptable goals to screen all of the children entering foster care for applicable funding streams within a certain timeframe of their entry into care.

Additionally, during period three, contract provisions increased the number and types of reports (during contract year 2005-2006) and then decreased the number and types of reports (during contract year (2007-2008). One respondent contended, "As the contract evolved the methods of performance management became more 'multi-faceted'; deliverables were added as funding responsibilities were added". In addition, as the capacity and the sophistication in the county's data management systems increased, the number and types of reports included in the FRU's deliverables decreased.

One respondent stated, "Over time, the county has gotten smarter about the process. We know there are factors the FRU has little or no influence or control over, and we realize we may saturate the access rate of available funds for the children."

What is important to note here is the significant role contract accountability and performance measurement has played from the beginning of the contract. Contract accountability and performance measurement in social/human services contracts are very challenging. Adding to the challenges in measuring such contracts is the difficulty in

identifying acceptable outcome measures. The contract documents the performance measures on which the project is evaluated.

Importance of Trained and Qualified Staff

To understand the role of trained and qualified staff and the important role it played during the implementation of the project, the interviewees were asked to *describe the importance of having trained and qualified staff to implement this program*. From the beginning of the project and through its evolution, the creation of the FRU removed many administrative activities the county staff had once been responsible. Dr. Benton and Dr. Loeffler communicated to county management the importance of having a dedicated staff or specialized unit that had the goal of collecting information and documents relevant to the application for federal revenues. Social workers were not dedicated to activities related to the application of federal funds, but instead they were dedicated to caring for the children. The value added is having a staff with a specific goal to pursue appropriate funding sources (including Title IV-E, Title II, Title XVI, and IV-D). One respondent indicated, “County employees could be performing these activities, but could be ‘dragged off’ to perform other activities and this work would not be performed. A contract keeps the roles more clearly defined than if a social worker was performing the tasks.” Another respondent replied, “The FRU’s performance is tied to the completion of the tasks; this was not occurring with the line level staff.”

All of the respondents stressed the vital importance of having trained and qualified staff to implement this program. Comments from the respondents included: “Virginia Tech had the expertise to perform these activities.” “Trained staff is crucial for this work.” “The staff has to know what they are doing; the unit cannot be in a position where the supervisor

has to continue to check on their performance to verify the work is being performed.” “This is crucial because each FRU role has a set of tasks they must perform accurately and timely. The staff needs to understand how their tasks relate to other aspects of the program.” “The work is not rocket science, but it has to be done right; if the work is not done right, then the federal money will not come in.” And finally “It ain’t gonna happen if the staff is not trained.”

Information learned in the interviews and in contract records documents the extensive training that each FRU staff received during the beginning of the contract and as each additional funding stream was incorporated into the contract. For example, Dr. Benton and his staff created the FRU staff manual for the Title IV-E and SSA funding streams during period one of the contract. Also in period one when the Title IV-D funding stream was added, Dr. Benton and the Fairfax District Office of the DCSE aided in the training for the activities as the child support process was very complex. Evaluation comments from the social workers and their supervisors responded that it was “great to have experts apply and follow through” and “I’m glad Fairfax County was able to contract such capable staff to handle the financial aspect of our jobs.” During period two of the contract, when Title XIX funds were added to the contract the DMAS provided training and they continue to regularly provide training.

On-going training continues to occur as federal and state legislative changes, modifications and policy interpretations affect the funding streams. Changes to the county’s policy and processes also occur and affect the processes within the FRU. When these changes or modifications occur, the FRU processes and procedures must be updated and the staff trained on the changes. For example, during period two and three of the contract state

interpretation and federal legislation created changes to Title IV-E. Some of the FRU's processes had to be modified, while others had to be eliminated and new processes created and implemented. Period three also saw changes to the process in accessing Title IV-D funds and new processes were created and implemented. Throughout periods two and three, the processes for accessing Title XIX funds continually changed and new processes were continually being developed and implemented as changes at DMAS continue to occur.

“They are the ‘masters of the streams’”, one respondent affirmed referring to the FRU team. Trained and qualified staff is important in all periods of the contract and remains vital for the FRU as they work to maximize revenues for the county.

What is important to note here is in order for the FRU to perform the work as documented in the Scope of Work and the university meet the contractual obligations to the county, the management and staff must know how to pursue appropriate funding sources. County staff does not have the knowledge that is needed to apply complex eligibility criteria to access federal and state resources. New legislation or changes in the interpretation of federal and state policy contributes to the need to have a team dedicated to reacting and implementing the required changes in policy to ensure the county maximizes the available funding. The FRU fills a niche for the county in maximizing revenues that were not being tapped prior to the implementation of the project as their role is to complete tasks that were not being completed by county line staff.

Over the years, the county identified new funding opportunities. For example, additional funding opportunities in accessing Title XIX funds, and based on the FRU's involvement in other federal and state funding streams, the FRU was poised to expand their Scope of Work to access these funds. The work the FRU performed with this funding stream

also removed administrative activities the county staff had once been responsible. By having a trained dedicated team or staff, the county line worker could continue to care for the children without having to perform many functions related to maximizing the county's revenues.

Examining Culture Changing Strategies

Although not predicted by the model, one of the major findings was the transformation in the culture of the county spearheaded by Director Manzo. The implementation of the FRU played a role in the culture change that was taking place at the county. Despite favorable evaluation results from the FRU survey conducted at the close of the second contract year documenting the strong belief that the FRU has increased federal funding for children in the county's foster care system and decreased the administrative burden for the program staff, there were significant transitional challenges experienced by the FRU management and staff in accomplishing the Scope of Work and their responsibilities. For example, it was imperative for the FRU to receive timely information and documentation from the county's line level staff to perform the activities and tasks related to the Scope of Work and meet the university's contractual obligations to the county. Receiving information and documents from the county's line level staff was a large challenge the FRU faced. With the challenges in obtaining the information and the documentation from the line level staff, the researcher conducted further investigation through the supplemental interviews to identify if there were any steps or measures taken to obtain the required information and documents, and if so, what were they?

To understand the culture changing strategies employed by the FRU and the important role it played during the implementation of the project, supplemental interviews

were conducted and the interviewees asked to *describe how the work activities were accomplished*. The supplemental interviews offered insight on how the FRU management and staff resolved the challenges that were created with the implementation of the project in order to accomplish the work to access the multiple funding streams. A former FRU Project Director⁵¹ stated that during the implementation of the contract, the county's work involving the Title IV-E funding stream was a new role for county management and staff. It was her understanding that the Foster Care program was told by Deputy Director Hunn they would cooperate with the FRU as increased revenues was the primary goal for the county and the work the FRU performed.

The county line staff responsible for the Title IV-E work was not social workers, but staff from the county's Self-Sufficiency Department.⁵² One of the primary roles of this department was to approve or decline welfare benefit applications through the former Aid to Families with Dependent Children (AFDC) and current Temporary Assistance for Needy Families (TANF) program, both welfare programs had very stringent eligibility requirements. The eligibility rules for Title IV-E benefits were less stringent than the AFDC and TANF benefits.

With the implementation of the Title IV-E funding stream and the responsibility for approving or declining AFDC or TANF applications as well as Title IV-E, the Self-Sufficiency staff was now required to "wear two hats". The interviewee stated, "This was a clashing of two cultures, AFDC/TANF with stringent rules and Title IV-E with less stringent rules, and county management not completely aware of the nuances between the two benefit programs."

⁵¹ Prior to becoming FRU Project Director, this person served as a Graduate Research Assistant and Case Analyst

⁵² Formerly the Benefit's Department

This respondent also suggested the county's foster care social workers were highly skilled, earning professional salaries, and perhaps saw themselves as clinicians. She believed the social workers did not understand how the multiple benefits actually helped the children not only while in foster care, but the benefits also "could follow" the child when they left foster care contributing to the family's financial stability and continuing to receive benefits the child was eligible for.

Describing one of the methods used to resolve the transitional challenges in accomplishing the contract's Scope of Work, the respondent stated that establishing communication and a relationship with the social workers to obtain the required information and documentation was imperative. Early in the project, a realization was made that the Foster Care and Adoptions workers did not have the information or documents, and they needed to be obtained from a second program area, Child Protective Services (CPS). A "soft sell" approach was used to get the required documents and information because the initial contact with the foster care social workers did not yield the necessary information or documents, and a hard sell would not yield results. The program manager for CPS was finally involved and aided the FRU with obtaining the information from the CPS program. The change in the process remains in place today.

This respondent was the initial FRU staff who established the FRU's process for the Title II and Title XVI funding streams in the very early days of the contract. A relationship was established with the local SSA office, and SSA staff was more than willing to help the children obtain the disability benefit, unlike attempting to obtain a TANF or AFDC benefit. FRU staff would actually take specific cases over to the SSA office and obtain

recommendations from SSA staff regarding the relevant documents and information that were needed for the submission of an application for approval of benefits.

During period two of the contract, these challenges continued. Rather than wait for the required information and documentation to come to the FRU, “work arounds” included the on-going activities to establish and maintain relationships and contact the county line level staff to obtain the information. FRU staff stated that a former FRU Project Director emphasized for them to “serve the county but avoid conflict.” According to the respondents, a former FRU Project Director “chastised” them for being “assertive” in their attempts to obtain documents and information from county staff. This created on-going and multiple “work arounds” in the FRU processes in balancing the need to complete the work, accomplish the contract’s Scope of Work, and meet the university’s contractual obligations to the county without “rocking the boat” while working to avoid conflict.

In addition to the establishment of relationships and communication with the county line level staff, the FRU staff physically accessed the child’s foster care case file in order to obtain the required material to accomplish the Scope of Work. Contract documents and training presentation material dating back to the implementation of the contract through period three of the contract identify FRU activities such as creating of job aids and participation in county training sessions to educate county management and staff in understanding the relevant information and documents needed for evaluating the eligibility and accessing the benefits.

The newest funding stream, accessing Title XIX, was initiated at the beginning of period two in the contract. The activities related to accessing this funding stream continue to be fluid, evolving even today. Because the implementation of Title XIX funds were new,

and processes needed to be created, many of the job activity “work arounds” became established as routine process for the FRU to perform the work. To access this funding stream, multiple county programs must provide documents and information which must be completed within very specific timeframes (even stricter than the other funding streams the FRU is responsible for) and contain very specific language and documentation.

As with the other funding streams, to aid in obtaining the correct information and documents in the required timeframe, during period two and three of the contract, the Medicaid Case Analyst along with FRU and county management and staff created and modified documents to aid in educating county management and staff by establishing standardized language and information needed in the required documents. When “gaps” in the county’s processes were brought to county management’s attention, many times the “gaps” were addressed and additional processes were established, thus “work arounds” were reduced or eliminated.

Nearly ten years after accessing these funding streams, the activities associated with the Title XIX funding continue to evolve as the county’s internal processes change and additional populations of children (in addition to children in foster care) access these resources. “Work arounds” continue currently as the process for securing resources for the new populations in non-foster care programs has not yet been established and standardized. The county continues to explore funding opportunities involving additional county programs, and with their involvement and processes to be established, “work arounds” will likely continue.

What is most significant in this period is the persistence of the FRU management and staff as they created “work arounds” throughout the evolution of the contract in order for the

university to meet the contractual obligation to the county. The FRU management and staff created many “work arounds” rather than wait for the necessary information and documentation to arrive to the unit and the work to begin. Throughout the evolution of the contract, “work arounds” became formalized and incorporated into routine practices. “Work arounds” continue as new opportunities for maximizing revenue are pursued. With the new funding opportunities, the FRU is not the only organization that is creating and refining processes to effectively and efficiently perform the work. The process involved in the completion of the work remains fluid and continues to change and will likely remain fluid.

Structural Changes

In order to understand the changes in the structure at the beginning of and through the evolution of the project, the interviewees were asked to *describe the structural changes that were necessary in order to implement the contract? Did these changes continue as the contract evolved? Describe these changes.*

Describe the structural changes that were necessary in order to implement the contract? The respondents stated the structural changes were necessary throughout all periods of the contract. During period one, Virginia Tech had to hire managers and staff in order to implement the project. From the county’s perspective, implementation of the FRU created a new piece of organizational structure as a separate unit was hired to assume functions that were being performed to a to a limited extent by county staff. The FRU was not “taking over anyone’s job at the county”, only supplementing and supporting the work that was being performed, but not being performed to its highest level resulting in accessing available federal funds.

Did these changes continue as the contract evolved? If there were changes, describe the changes. Changes to the contract over the years, allowed increases and decreases in staff, and created flexibility. This is much easier than hiring county staff or transferring county staff in and out of positions. The FRU added new management and staff during the first two periods of the contract. Additions to the FRU were typically made when additional funding streams were added to the contract and when the job activities of existing positions increased or decreased. For example, in period one of the contract, the a new position was created when the Title IV-D funding stream was added in 1997, and in period two, two new positions were created when the Title XIX funding stream was implemented in 2000 and the Scope of Work was expanded to study the Title IV-E access rate for the Healthy Families program. Additional staff was added in period two of the contract with the increased activities Project Coordinator in 2000 and second fulltime Court Specialist in 2003.

Decreases to the FRU staff have also occurred. During period three of the contract, the position for the Graduate Research Assistant and the Project Coordinator was eliminated from the contract with the work performed by the two positions reallocated to other FRU management and staff. The position of the FRU Principal Investigator was also eliminated with the retirement of Dr. Loeffler and the work performed by this position absorbed by the Project Director.

Co-location of FRU Staff

As previously discussed, it was important to county management that the FRU be physically embedded and located “on-site” in the county facilities, and for the FRU to become “part of the process”. In order to meet the university’s contractual obligations, the FRU staff is located in three different locations. Staff performing the Title IV-D activities is

located in the JDRC as previously discussed. Not only was the staff embedded in the operations of the DFS, but also into the operations of the JDRC.

Staff working exclusively with the CSA program is embedded in the CSA program area where that work activity occurs. During periods two and three of the contract, the location of this FRU staff has relocated between the CSA program area to the FRU program area on multiple occasions.⁵³

What is most significant in this period is the flexibility in staff has occurred throughout the evolution of the contract. This flexibility has included both increased and decreases to the FRU management and staff in order to meet the demands in the contract's Scope of Work. The co-location of staff at the JDRC allows FRU staff ready access to county staff as the Title IV-D work is performed. FRU staff responsible for the Title IV-D work would face significant challenges to meeting the university's contractual obligations to the county if they were not co-located.

Elements of NPM and Collaboration

In order to understand the role that elements of NPM and collaboration played at the beginning of and through the evolution of the project, the interviewees were asked *if characteristics of NPM techniques and collaboration were combined to implement this contract among state agencies for an innovative pilot program. What role did interagency collaboration play in the implementation of the program? Describe the collaborative activities that occurred during the implementation of the contract. Was interagency collaboration a common activity during this time?*

⁵³ These two work areas are located in the same county building, but are on separate floors.

Elements of NPM

Entrepreneurial Activities

Respondents discussed entrepreneurial activities undertaken by Dr. Wolf as he had to “Sell the university management to take on a very non-traditional role.” This project opened up multiple projects for the university and increased the university’s involvement in non-traditional activities and opportunities. For example, the project enabled students and Graduate Research Assistants to be hired thus gaining practical experience. Also, through the involvement in this project, the university obtained non-traditional financing. One respondent reported, “This was a ‘wholly new’ concept for the university.”

Respondents also detailed several of the entrepreneurial activities that took place within the DFS in efforts to contain costs in dealing with the county’s fiscal challenges. Director Manzo exhibited unprecedented new leadership in the county’s human services agency’s redesign for the department to conduct business differently for better outcomes. Agencies in the county were merging and changes were taking place down to the program levels, not just at the department levels of the agency. Director Manzo utilized consultants in forming a leadership team and included faculty from Virginia Tech, including Dr. Wolf and Dr. Benton via a subcontract with Virginia Tech.

Two of the respondents detailed that social workers previously assumed leadership roles in the department. There was an innate belief among those in the human/social services sector that only management and staff with Master of Social Work degrees could perform this work. Under Director Manzo’s leadership and vision in the restructured department, she broke the traditional roles of the DFS agency as well as placing management and staff that had different backgrounds to include public administration, management and budget. One

respondent described, “These activities ‘cut against the department culture’. There had been a ‘close grip’ on the human services program until this point and a long held belief that only management and staff with a background in social work/human services were able to conduct the business of the department.” This paradigm was significantly changed during Director Manzo’s tenure.

All of the respondents commented that this innovative project established non-traditional financing for county programs. This project focused emphasis on cost avoidance and revenue maximization rather than program cost cutting.

In period one of the project, Dr. Benton’s entrepreneurial activities included the addition of activities to incorporate Title IV-D funding streams into the contract between the university and the county. One respondent stated, “This was a ‘wholly new’ concept. University management was very concerned regarding the potential activities involved in the enforcement and collection of Title IV-D funds. The university did not want to be involved in any Title IV-D activities other than the establishment of the Title IV-D obligations. Dr. Wolf envisioned university staff “going door to door” to collect Title IV-D funds and the university wanted no part of this.

What is noteworthy about the relevance of entrepreneurial characteristic as it pertains to this research is that this project was a new venture for the university as well as the county. The entrepreneurial activities to involve the university in participating in activities that were very non-traditional for an institution whose operations are primary academic. As the contract evolved and funding streams were added to the Scope of Work, particularly the

Title IV-D funding stream, there was a very real concern from the organizational players the university may become involved in activities, the collection and enforcement of Title IV-D funds, that it may not want to pursue.

From the perspective of the county, relationships with outside organizations was a new phenomenon as traditionally internal programs had provided delivery of services. The fiscal challenges and new leadership in the human services agency were catalysts for the county to explore an innovative relationship with the university.

Cost Benefit Analysis

Another NPM characteristic of the project was a cost benefit analysis or results oriented project during period one and two of the contract. The project was outcome, rather than process, driven. Through results that could be quantified, the county had the ability to document the number of cases the FRU reviewed, the increase in the access rates across all funding streams, and the increase in the county's revenues. One respondent stated, "The FRU was able to document the increased access rate and was able to 'show the numbers'". The university was able to identify children that were previously determined not eligible for a benefit(s), but after research conducted by the FRU, was entitled to the benefit(s) and the county could obtain that funding to offset the cost of foster care expenditures. The cost benefit to the county came when the revenues the county could bring in on behalf of the work performed by the FRU far outweighed the FRU's operating expenses. This continued throughout all three periods of the contract. Throughout the tenure of the contract, for every dollar the county spent, the FRU returned between eight to twenty-three dollars on an annual basis.

Performance Management and Accountability

Another NPM characteristic identified in the contract included performance measurement and accountability. All of the respondents spoke about performance measurement and accountability being a significant part of the contract between the university and the county during all three periods of the contract. Two respondents spoke about the significance of performance measurement and accountability. “It was a big issue; David Hunn scrutinized the work in a good way.” The contract documents provided detailed information regarding the types of information the university reported to the county regarding the FRU activities as they accessed the multiple funding streams. Performance measurement methods included written reports at predetermined intervals, meetings and on-going communication between university and county management. Additional information discussing the role of performance measurement and accountability is forthcoming.

The Role of Collaboration

What role did interagency collaboration play in the implementation of the program?

All of the interviewees confirmed that interagency collaboration played a large role since the beginning of the project. Collaboration between the university and the county also continued throughout the evolution of the contract. In the beginning the organization players worked to implement the project. As the project evolved, collaboration continued between university and county management and staff. For example, as additional funding streams were added to the Scope of Work, collaborative activities occurred to establish policies and processes between and within the organizations involved in the specific funding stream. In establishing the policies and processes when the Title IV-D funding stream began, management and staff from the university, county as well as relevant JDRC management collaborated in order for

these resources to be maximized by establishing judicial support orders in the juvenile court. The work required to access other funding streams does not require the involvement of management from the juvenile court, but from other organizations. All of the respondents emphasized interagency collaboration had to take place in order to “get things done”, and strongly agreed that, “Without collaboration, this project would not have happened.”

Describe the collaborative activities that occurred during the implementation of the contract? During period one of the contract, entrepreneurial activities that occurred not only with the university, the county and private sector organizations, but also at the VDSS as well. Deputy Director Goodwin was very instrumental in advocating collaboration between universities and state and local public agencies. Deputy Director Goodwin believed state and local governments could learn a great deal from the state’s universities and should take advantage of their knowledge and expertise.

Was interagency collaboration a common activity during this time? During the county’s *Family Service Refinancing Initiative* and implementation of the FRU contract, interagency collaboration was fairly new to the county and Virginia’s child welfare field. The county was just beginning their human services redesign activities; these included breaking down the stove pipes between organizations such as the courts, family services, and the community services board as revenue maximization crossed multiple agencies. In describing the collaborative activities that occurred during the implementation of the contract, three of the respondents said prior to the implementation of the FRU, county programs operated as “silos within silos” and many programs had the mindset that it was not part of their job to do “x” function.

During period one of the contract, the county increased their awareness for public agencies to increase their contracting opportunities. Contracting to maximize county revenue was quite new, and several of the respondents agreed this project “Spoke to Director Manzo’s vision of having non-social workers conduct this type of work.” The Title IV-E work, and subsequent activities with the additional funding streams, became semi-privatized and cut against the department’s culture to do “in house”. The activities that took place during period one of the contract changed the culture of the county’s DFS, particularly the Self-Sufficiency Dept. and the Foster Care and Adoptions program.

During all periods of the contract, interagency collaboration has continued. FRU management and staff have collaborated with the county on additional initiatives and funding streams to maximize county revenues and streamline current DFS processes. Most recently, during period three of the contract, FRU management has participated with multiple county programs to review and streamline the county’s Title IV-E process.

What is most significant in this period is the extensive collaboration that took place with the initial organizational players from the university and county management to implement the project, but also the on-going collaboration that continued as the contract evolved. Collaborative activities remain to be a dominant element in the contract even today. One respondent stated, “This project is unique no other state or county was doing this.”

Were characteristics of NPM techniques and collaboration combined to implement this contract among state agencies for an innovative pilot program? All of the respondents agreed that characteristics of NPM techniques and collaboration were present when this project was implemented. The interviewees listed multiple characteristics of NPM and collaborative activities that took place at the beginning of the contract and as the contract

evolved. The respondents affirmed that characteristics of NPM as contended by Osborne and Gaebler (1992) included the utilization of entrepreneurialism and innovative activities, contracting, cost benefit analysis, outcome vs. process driven, performance measurement, and accountability.

The project was implemented by entrepreneurialism and innovative activities initiated by county, university and private sector management as the county explored methods to maximize revenues during fiscal stress. Implementing the project was cost beneficial to the county as via a contract as the project could be implemented quickly, and the county could begin receiving revenues quickly. Upon the implementation of the contract the contract was evaluated on outcomes, the access rate for the funding streams, rather than process. However, as the contract evolved, the contract was changed to process driven-screening each child entering foster care for all applicable funding streams. All interviewees acknowledged performance measurement and accountability played significant roles from the beginning of the project and as it evolved to present day.

The Relationship Between NPM and Collaboration

In examining the characteristics of NPM and collaboration and their relevance to this research, the interviewees stated there was a correlation between the two. For example, one of the collaborative activities that the stakeholders from the university, county, and private sector management engaged in was the entrepreneurial actions undertaken to implement the project. The implementation of the contract broke new ground for the university as well as the county. Next, Director Manzo with collaboration from the stakeholders through the implementation of the project worked to contain county costs and maximize county revenue as this project not only contributed to the county's human services redesign activities, but

paid for itself in multiple ways previously discussed. Thus the project was a cost benefit to the county both in the direct as well as through indirect funds. Through collaborative activities, the contract was implemented and the university was able to show the results and outcomes of their work as there was an increase in the access rates across all of the funding streams and thus the county's revenues increased.

Implications of Findings for Other Models Based on the FRU

There have been several attempts based on the FRU model to implement other programs dedicated to maximizing federal revenues for states and localities. Dr. Benton utilized some of the characteristics and their elements identified in the model of the FRU project to pilot other revenue maximization initiatives. The pilot initiatives included a state-wide project in Virginia, California, and Hawai'i. The primary characteristics for the initiatives include the environment, relationship, contract accountability, and structural changes. This section gives a brief description of these initiatives.

In the late 1990s, partially as a result of the successful implementation of the FRU, a pilot study spearheaded by Dr. Benton was conducted in Virginia for the VDSS. In this study, a team of the FRU management and staff conducted case reviews in multiple localities across the state with the goal of increasing Title IV-E funding for children in foster care.

As a result of the successful pilot study, the VDSS contracted with faculty and staff from Virginia Tech located in Blacksburg to conduct on-site case reviews in localities across the state. Like the pilot study and the FRU that operated in Fairfax County, the goal of this team was to assist the VDSS in their efforts to determine Title IV-E eligibility more timely and accurately and train local DSS staff. This group was different in many ways from the FRU that operated in Fairfax County. Primarily, the localities did not have staff solely

dedicated to accessing multiple federal funding and the newly created team conducted case reviews in localities across the state. Once the case reviews were completed, the team conducted exit meetings, left documents and instructions for the locality to follow up in order that federal funding could be obtained. This team did not carry out the necessary on-going and extensive administrative activities as the child's Title IV-E reimbursability changed. Staff in the locality was responsible for these activities.

As the federal government increased their scrutiny of state's Title IV-E activities, the team conducted activities related to preparing localities for Virginia's federal audit. This team also explored the potential expansion of funding streams to include Title XVI and Title IV-D and conducted pilot studies for these funding streams, but no permanent team was established to perform the necessary administrative activities that the FRU performed. The contract with the VDSS ended in early 2005, and, thus, without the ongoing efforts, this model could not be sustained.

In 2004, the Fairfax FRU was used as a model to create a similar unit in the Central Valley of California. The state of California partnered with Fresno State University and explored revenue maximization efforts to finance child welfare. The tenure of this unit was very short lived and is no longer in existence.

Over the past four years, Dr. Benton has collaborated with Hawai'i's Department of Human Services (DHS) through an MOU work in partnership with the University of Hawai'i's Myron B. Thompson School of Social Work to create a the University of Hawai'i Federal Eligibility Quality Assurance Center. The goal of this project is to identify federal funds, to include Title IV-E and Title IV-A EA, to finance the state's child welfare programs. Changes in federal court decisions to include the Rosales case, federal legislation,

particularly the Budget Deficit Reduction Act of 2005, and the state's Department of Human Services is making incorrect funding determinations regarding a child's eligibility. Incorrect funding determinations subject the state to fiscal sanctions from the federal government or losses of federal funding if underclaiming occurs.

Currently, the project's activity to increase accessing the Title IV-E and Title IV-A EA funding streams is in its infancy and the case review process just beginning. Accessing additional federal funding streams to include Social Security benefits and Title IV-D funds are planned in the future. Yet, this experiments make one cautious as one respondent made this observation of the Fairfax FRU, "This project is unique; no other state or county was doing this. The project would probably not work everywhere."

CHAPTER 6-ANALYSIS, SUMMARY, IMPLICATIONS, AND SUGGESTIONS FOR FUTURE RESEARCH

Government reform activities have created changes in the way organizations conduct business; organizations must collaborate within and outside their organizations to a degree never seen in history. The PRWORA created the impetus for drastic changes in providing social service delivery and is the current catalyst for the contracting activities in today's human service environment (Winston et al., 2002). Devolution has transferred authority and fiscal responsibility from the federal level to the states and to local governments to provide public services. Public administration's traditional bureaucratic hierarchies are no longer adequate in dealing with societies' "wicked problems". This dissertation supplements the public management literature on NPM principles and collaboration by examining how contracts evolve over time through a case study.

The primary focus of this dissertation was to explore how contract relationships evolve over time by studying the evolution of a long-term contract created to maximize federal resources for a child welfare program between Virginia Tech and a local government. The research is pertinent in today's public administration dialogue because of a lack of understanding about long-term contract relationships and how they evolve.

In initiating this research, my primary focus was how did this model program contract evolve? I explored the dimensions of this long-term contract in coping with fiscal stress in foster care. I studied specific dimensions related to the implementation and evolution of the program.

I also investigated how do the elements of NPM and collaboration contradict or complement each other in this long-term contract? I explored the role interagency collaboration played in the implementation of the program, and how characteristics of NPM

techniques and collaboration combined to implement this contract for an innovative pilot program?

Creswell (1994) reports that a qualitative study should conclude with statements identified from the analysis. The current chapter provides a summary of the research by discussing the central themes and findings as the research questions were explored. The chapter will also discuss how the research is linked to the public management literature and the significance for public managers as they grapple with government reforms and changes in the way the public's business is conducted. The chapter closes with a discussion on areas for future research.

Research Themes and the Literature

Several central themes were identified from the research. This section describes the themes and findings from the research as related to the relevant literature in order to assess how the findings contribute to knowledge of the dimensions of long term contracts identified from previous studies.

Specific Findings on Evolution of the Elements of the Model

Environmental Factors

While there was no new federal, state or, local legislation that led to the implementation of the project, there were several significant activities taking place within the county's internal environment. First, the county was experiencing unprecedented economic challenges and reduced revenues due to a significant business slow down in the early 1990's. The budget shortfall along with an increase in county taxes greatly concerned county taxpayers.

Historically, the county had been able to rely on local resources and staff rather than actively pursue outside resources to fund high quality programs using county staff. The county's fiscal crisis was so dire that programs around the county were at jeopardy of being eliminated as well as pending layoffs of county staff. County management saw this project along with several other projects as a way to save county programs. Next, the county's foster care population was reaching 800 children and the resources needed to provide services were very expensive.

To combat the fiscal crisis, citizen outcry, prevent the loss of county programs and serve the large foster care population, a number of cost-containment strategies and revenue maximization activities were occurring throughout the county. Scholars to include Warner and Hefetz (2008) and Agranoff and McGuire (2003) write that managers realize traditional bureaucratic processes may need to be replaced with collaborative managerial activities in efforts to reduce the size of government, operate more efficiently and reduce fiscal stress. Problem areas and society's "wicked problems" are ripe for collaborating across agency and departmental boundaries. In the case of this contract, Nylen (2007) contends interagency collaboration in the field of human/social services is a factor in improved quality and/or reducing costs. The county realized that resources were not being maximized and wanted to increase resources from the federal government for the foster care program. The foster care case reviews taking place with the *Family Service Refinancing Initiative* and the implementation of the FRU were one of the many county wide strategies implemented to contain costs and maximize revenue in the DFS.

Driven by record fiscal stress, unprecedented restructuring strategies to increase efficiency contain costs, and efforts to maximize resources and revenues influenced the

county's decision to contract with Virginia Tech after the completion of the *Family Services Refinancing Initiative*. By contracting with the university rather than a private, for-profit organization, the university brought additional dynamics, many in the form of additional savings to the county. There were several dynamics that influenced the county to contract with Virginia Tech. First, by contracting with Virginia Tech, a lengthy and expensive RFP process could be avoided. This was a contract between two public organizations. Virginia Code allows local governments to contract with higher educational institutions, particularly a public education organization without going through the RFP process. The project could be implemented with MOU because of both parties being government agencies. This was beneficial for the county as they wanted to implement the project right away.

As the contract evolved, only once during the tenure of the contract, has an RFP been issued. As stated previously, the annual contracts have been renewed via contract amendment thus saving county resources by not going through the bidding process. The funding mechanism established between the university and the county was also beneficial to the county. The university waived indirect costs thus reducing the county's expense for the project. Also, the university was not involved in this contract to make a profit, nor were there incentive payments or pay for performance compensation. This also reduced expenses for the county.

Thus, the findings reported above support the research literature. For example, the primary motivating factors for the move toward privatization by local sites experiencing fiscal stress include cost containment strategies and savings in efforts to maximize resources, increase efficiency, and reduce the size of government (DeHoog, R., 1984). New strategies are required to adapt to rapidly changing environments to address social welfare problems

and respond to citizen demands. Auger (1999), Moore (1997), and Vinson (1999) point out that there is an increase in privatizing human/social service programs to include child welfare. A motivating factor for contracting is administrative utility: the need to secure staff and expertise, the ability to quickly implement new programs and staffing flexibility as necessary (Auger, 1999; Hodge, 1999; Warner, M. et al., 2003; Winston et al., 2002).

University and County Organizational Players, Leadership and Political Support

The literature addresses the vital role that political support and leadership play in the implementation of programs not only when the program is introduced, but also after implementation (Rogers-Dillon & Skrentny, 1999; Weikart, 2001); this project was no exception. Public management literature documents that successful contracting includes the involvement of at least one political leader to introduce or sustain privatization efforts (Blendermann et al., 2004; Klingner et al., 2002; Savas, 2005; Winston et al., 2002). The implementation of the FRU had the political support and leadership from Fairfax County's Board of Supervisor's and County Executive early in the project.

There were multiple organizational players from the university, county, and private sector that were involved in the implementation of the project. The literature speaks to the need to have leaders and managers in search of efficiency and maximizing productivity utilize resources to include funds and staff in innovative ways (Domberger & Jensen, 1997; Frederickson, 1996; Osborne & Gaebler, 1992). This utilization occurred here also. Most of the same players also represented leadership and political support at the university, local, and private sector for the project. At the university, Dr. Loeffler, Dr. Wolf and Dr. Kuhns provided initial political support and leadership, with Dr. Loeffler and Dr. Kuhns providing continued support and leadership as the contract evolved. At the county level, Deputy

Director Heywood, Director Manzo, Deputy Director Hunn, and later Director Paige provided instrumental leadership when they realized the potential revenues to the county. Dr. Benton provided the leadership representing the private sector. The leadership from all three organizations aided in the stability of the contract during implementation and facilitated the formation of a long-term partnership between the university and the county as the contract evolved.

While not involved in as intimate level that other county leaders were, the Fairfax County Board of Supervisors and the County Executive played key roles as the contract was implemented. In the early years of the contract, the Board of Supervisor's annually approved the county resources needed for the implementation of the contract while the County Executive made presentation to the Board of Supervisors apprising them on the outcomes of the project.

Also providing indirect political support and leadership at the state level, VDSS former Commissioner Carter and Deputy Commissioner Goodwin encouraged public agencies to take advantage of state university's knowledge and expertise to aid the state's localities.

The county's Department of Human Development administrative and operations management took the lead in implementing the project. Program management and line level staff were not involved when the contract was implemented. As the contract evolved, program management played roles as funding streams were added to the contract. For example, program management was very involved with the addition of the Title IV-D and Title XIX funding in 1997 and 2000.

Relationships Among the University, County and Private Sector

Many variations of relationships between university faculty, and the county and private sector management existed, beginning prior to the implementation of the initial case reviews of the *Family Service Refinancing Initiative* and evolving to the formal implementation of the FRU. They also continued throughout all three periods of the contract. Throughout the interviews with the respondents, they repeatedly focused on the professional, academic, and often personal relationships between the faculty of the university, and managers from the county and private sector. As the contract evolved, relationships continued to increase with the continuing interaction and communication between university and county management and staff as well as the FRU becoming embedded in county facilities and the JDRC.

The development of these relationships supports the discussion in the public management literature of the importance of taking time to develop relationships and trust among collaborators and document the importance of these elements in implementing a program (Agranoff & McGuire, 2001; Bardach, 1998; Cheever, 2006; Ehrle et al., 2004; Emison, 2006; Linden, 2002; Thomson & Perry, 2006) with no one “correct” way to collaborate (Maccoby, 2006; McGuire, 2006; Nylén, 2007). Managers in public and private organizations and the private sector need to work together to develop strategies, produce goods and services on behalf of their organizations. Multiple scholars contend “One of the strongest incentives to collaborate is the potential to secure additional funding” (Ehrle et al., 2004; Moore, S., 1992; Wimpfheimer et al., 1990). This was certainly evident in the implementation and evolution of the FRU as illustrated by the responses from the interviews and analysis of contract documents.

Trust

It appears from the information revealed during the interviews and multiple project documents, trust between the university and the county existed before the project was implemented as opposed to there being conscious strategies to build trust during the implementation of the project. As previously examined, relationships between the university and county management existed prior to the implementation of the contract. The high level of trust that existed even before the implementation of the contract indicates a uniqueness present in this contract that may prove difficult to replicate or that may never exist with other contracts.

The interview respondents firmly believed that the implementation of the contract was largely due to the multiple relationships that existed. The high level of trust between the university and the county continued in all three periods of the contract as multiple FRU Project Directors were involved in activities through the expansion of work to increase the access to funding streams (Title IV-D and Title XIX), to implement multiple evaluation studies (welfare reform and child support), and to establish the Title IV-E access rate for the Healthy Families Program, and most recently the Title IV-E Process Improvement Project. Also, the quality and performance of past work in which the FRU had been involved contributed to the trust between the university and the county.

The themes of trust and collaboration were substantiated by the results above in this case study. Members of multiple organizations may have goals that conflict with the goals and vision of the collaborative organization. Once the individuals begin to trust one another, they can take additional steps toward more ambitious activities, but trust building is a continuous activity (Bryson et al., 2006; McGuire, 2006). One collaborative group attributes

their results to the trust the members have with one another on interpersonal as well as interorganizational levels (Thurmaier, 2006).

Communication

On-going communication throughout the evolution of the contract was crucial between the university and the county. Multiple contract documents and correspondence created during all three periods of the contract illustrate the vital importance communication played in the contract. As technology evolved, the methods of communication between the stakeholders also evolved. Early in the contract, communication was largely through face to face meetings, telephone, and faxes and advanced to email, personal communication devices, and video conferencing. This finding is similar to scholars' emphasis on the importance of communication with all stakeholders (Bradshaw, 1997; Goldsmith & Eggers, 2004; Gray, 1989; Horwath & Morrison, 2007; Yandle, 2006).

Contract Accountability and Performance Measurement

From the inception of the contract through present day, accountability and performance management are very important components to both the university and the county. Interview respondents as well as multiple contract documents detailed the performance measurement for the project. Performance measurement techniques include auditing and monitoring of the work through the contract's deliverables, as well as through routine communication between university and county management. Throughout the evolution of the project, contract language documented specific performance measures and the county's right to inspect the work. As the contract evolved the methods used to measure the performance of the contract became multifaceted as funding responsibilities were added and as technology advanced.

Although contract accountability and its importance has been extensively researched (Bardach & Lesser, 1996; Behn, R. D. & Kant, 1999; Johnson & Romzek, 1999; Ott & Dicke, 1999, 2000), the accountability described here contributes to the idea that contract accountability in human/social services is just as relevant as contracting in other areas of public service delivery. The evolution of the performance measures contribute to the work of scholars who have investigated the design of a contract in establishing accountability or performance measures (Heinrich & Choi, 2007; McCullough & Lee, 2007; Van Slyke, 2002).

Changing the Outcomes

During the first two periods of the contract, the contract measured outcomes- maintaining the baseline percentage for the Title IV-E and Title II, and Title XVI access rates (provided the demographics of the children remained constant) for the funding streams for which the FRU was responsible. Beginning in period three of the contract, the measurement in the contract's Scope of Work for three of the funding streams, Title IV-E, Title II, and Title XVI changed from being measured by outcomes (*accessing* as many federal funding streams for each child in foster care) to a different outcome, focused on the *screening* of all children for each of the funding streams (all children are screened for the *potential* of accessing federal funds). This contradicts the literature as now the focus is on the *process* (making sure each child is screened for each of the funding streams) rather than the achievement of *outcomes* and *outputs*. Previous research repeatedly contends that contracts should measure outcomes rather than focus on the process of performing the work (Behn, R. D. & Kant, 1999; Romzek, B. S. & J. Johnston, 2005; Unruh & Hodgkin, 2004).

As the contract evolved, county management realized there are factors over which the FRU had little or no influence or control. For example, resources from all of the funding

streams cannot be accessed for each child in foster care for multiple reasons. Examples include not meeting stringent eligibility criteria (which varies by funding stream) to include judicial language requirements, citizenship/alien status, resources, income and work requirements for Title IV-E and Social Security Benefits to the identification and location of non-custodial parents for Title IV-D funds. Once found eligible and the county receives benefits for the child, the benefits may stop either temporarily or permanently depending upon whether or not the criteria for the funding stream continues to be met. For example, collection of Title IV-D stops when the child is on runaway status or placed in detention. Title IV-E reimbursements must be stopped when required court hearings are not conducted in a timely fashion or if the child is placed in a non-reimbursable placement such as a hospital or on runaway status.⁵⁴ Title XIX funding will stop if the child no longer meets the medical necessity criteria. The county acknowledges that through the FRU's work in ensuring each child is screened for each of the five funding sources, the county, through the FRU's activities, may saturate the access rate to the available funds for the children.

Relevance of Trained and Qualified Staff

Throughout the interviews and review of contract documents, it was unmistakable that Virginia Tech had the expertise to perform these activities not only during the initial case reviews, but also as the contract evolved throughout all periods of the contract. The FRU's performance is tied to the completion of the tasks associated with the application for federal and state funds; this was not occurring with the line level staff. The creation of the FRU removed administrative activities from the county's line level staff as the FRU provided management and staff completely dedicated to collecting relevant information and

⁵⁴ There are other reasons why Title IV-E reimbursement may be stopped; those listed are only a sample.

documents and dedicated to the application of complex eligibility criteria to access federal and state resources to maximize revenues for the county. These FRU activities are in support of the importance of trained and qualified staff (GAO, 1997; Winston et al., 2002).

Several scholars stress the importance of clearly defined roles and boundaries (Bryson et al., 2006; Flaherty et al., 2008; Thomson & Perry, 2006). Interview responses as well as contract documents illustrate the clear definition of roles and boundaries. Each position of the FRU team is responsible for a set of tasks that have to be performed timely and accurately. As previously stated, the implementation of the FRU relieved the county's line level staff from additional complex administrative burdens so they could continue to devote their time to their primary responsibility of caring for the children, not dedicated to activities related to the application of federal funds.

Additionally, it was not feasible during the county's fiscal crisis for the county to hire staff to perform these functions. By contracting with the university, Virginia Tech management and staff provided administrative utility that regular county staff could not. Similar to other findings that view government contracting as an effort to compensate for an agency's lack of capacity to deliver services (Cooper, 2003). In addition, the position(s) of the Graduate Research Assistants provided opportunities for students to be hired and gain practical experience in public service and how the delivery of public services takes place. The Graduate Research Assistants were responsible for specific contract deliverables and provided a valuable contribution to the university meeting its contractual obligation to the county in addition to the financial savings to the county. In addition, the employment of the Graduate Research Assistants provided a pool of FRU managers and staff throughout the evolution of the contract. Three of the Graduate Research Assistants went on to become full

time FRU team members to include FRU Project Directors. This provided uninterrupted and constant “boots on-the-ground” project management to complement the uninterrupted senior university management that was involved in the project as well as much relied on institutional memory as the contract evolved.

Characteristics of New Public Management

There were multiple NPM elements that were identified in the implementation and the evolution of the FRU contract. One of the predominant NPM elements was the entrepreneurial and innovative activities taking place in the county’s DFS under the leadership of Director Manzo and her efforts to combat the county’s fiscal crisis and conduct business to achieve different outcomes.

The importance of entrepreneurship, leadership and leadership style has been researched extensively in the literature and previously addressed in this paper (Agranoff & McGuire, 2001; Horwath & Morrison, 2007; Linden, 2002; Osborne & Gaebler, 1992). Linden (2002) asserts that leadership is very important to collaboration. Leadership characteristics include, but are not limited to having the vision to design the strategy and facilitate coordination of the collaboration, seeking political support, building trust among the participants, and guiding the collaborative activities toward the goals and objectives (Bardach, 2001; Kadel, 1993; Majumdar, 2006; O’Leary & Bingham, 2007). Director Manzo brought together representatives from other public organizations (the university) as well as enlisted the services of the private sector (Benton & Associates, Ltd.). Dr. Wolf and the university were involved in entrepreneurial activities as this contract represented a new business venture for the university.

The literature also addresses “collaborative champions”, leaders who are committed, energized, have high levels of credibility, influence, integrity, boundary spanning, recognized by other agencies and have networking and a high quality of interpersonal skills (Cheever, 2006; O’Leary & Bingham, 2007). In reviewing case documents and the interview statements, it appears there were two “collaborative champions”, Director Manzo and Dr. Benton.

The entrepreneurial “spirit” and innovative methods employed by the county to implement the contract, for executing the mission and goals of the DFS by seeking to increase the efficiency and effectiveness of their organizations is a dominant theme in the literature (Bernier & Hafsi, 2007; Frederickson, 1996; Osborne, 1998; Osborne & Gaebler, 1992). There were multiple methods identified during the research that illustrated county activities for greater efficiency and resources more wisely. Contracting with Virginia Tech produced direct as well as indirect savings to the county in contracting with Virginia Tech to perform revenue maximization activities. As university and county management realized the fiscal impact in increased county revenues that resulted from the contract, and compared the revenues to the cost of the FRU, the cost benefit to the county was instantly recognizable.

As part of the entrepreneurial and innovative activities, the county implemented a second NPM element by semi-privatizing the work that was formerly the responsibility of the county’s line social workers. Semi-privatization efforts included the creation of the contract between the county and the university. Again, this went against the traditional culture of the DFS. Director Manzo also broke with existing culture by employing staff from outside the county and with experience in different disciplines such as business and public administration.

As examined previously, county line staff was wary and curious about the newly created positions particularly during a time the county was experiencing a large fiscal crisis. Also, county line staff was concerned that the activities of the FRU project would increase their workload. Dr. Kuhns assured county line workers their workload was being reduced.

Collaboration

A recurring theme in this research was the significant amount of collaboration that took place between the university, county and private-sector management. The collaboration was present not only during the implementation of the contract, but as it evolved throughout all periods of the contract. The literature observes that managers work together to produce goods and services on behalf of their organizations (Ehrle et al., 2004; Moore, S., 1992; Wimpfheimer et al., 1990). Through the implementation and evolution of this project, all three organizations, the university, county and private sector, advanced the goals and objectives of their organizations. Multiple scholars find that the potential to secure additional funding is a very strong incentive to collaborate (Ehrle et al., 2004; Moore, S., 1992; Wimpfheimer et al., 1990). The collaborative activities between the two organizations that took place to implement this project not only directly increased the revenues for the county via accessing the multiple funding streams, but also through indirect savings by avoiding the RFP process over the years, and not paying performance incentives to the university.

Through the implementation and evolution of the project, Bardach's Craftsmanship Theory suitably applies to this case study. His definition of interagency collaboration is as discussed previously,

Any joint activity by two or more agencies...intended to increase *public value* (emphasis added) by their working together rather than separately (1998:8)

In the course of the contributions made by the three organizations, the university, county and private sector representatives working in concert with one another, public value was increased. The increases to the public value were most obviously observed by the direct revenues that the county gained through the implementation of the project in efforts to finance their child welfare program. Second, from the university's perspective, this project also served Virginia Tech as it involved the university in new and non-traditional activities and opportunities in which it had not previously been involved. Opportunities, such as the implementation of the project, provided methods for the faculty to obtain outside funding for the university. The county also increased their awareness of public agencies available to become involved in contracting opportunities.

This research previously discussed core characteristics involved in collaborative activities to include leadership, a shared vision of the mission, goals, and roles with clearly defined boundaries, communication, a baseline for measuring the project's progress, and methods for accountability and performance measurement. All of these core characteristics were present in the implementation and evolution of the FRU. Without collaborative activities the FRU project would not have taken place, nor would it have continued throughout the years.

Relationship Between Collaboration and New Public Management Techniques

This dissertation examined selected NPM elements and explored the collaborative activities that occurred in the FRU contract. Conflict between NPM and collaboration is present at the theoretical level as these terms are often seen as contradictory. In a long-term contract such as the FRU project, however, practices evolved that combined some of the characteristics of collaboration and New Public Management. For example, the preexisting relationships and the high level of trust that existed between Director Manzo, Dr. Wolf, and Dr. Benton facilitated a collaboration of the entrepreneurial activities (NPM) leading to the implementation of the project.

Also, as the contract evolved, collaboration also occurred at the level the work was being performed such as during negotiations between county and university management. These activities included the identification and implementation of modifications to the contract to include changes to the Scope of the Work, contract deliverables, and to the goals of the contract. These activities contribute to our understanding to long-term contracts as these examples are an illustration of how practices evolve that may accommodate theoretical elements that seem contradictory.

Application of Stewardship Theory and Culture Changing Strategies

To meet the challenges described above, stewardship theory in which one's behavior has a "higher utility than individualistic, self-serving behaviors" could be applicable for the FRU management and staff accomplishing the Scope of Work and being accountable to the university's contractual obligations. Previously, Dicke and Ott (2002) explored stewardship theory as a means in ensuring contracting accountability. In establishing "work arounds" by communicating with county line social workers, building and maintaining relationships with

county line social workers, developing job and training aids, and involving program management when necessary, FRU employees saw that processes evolved as the contract evolved.⁵⁵ One respondent stated, “I perform the activities and do what it takes to get the job done- whether it’s contacting the workers to remind them to get their documents submitted on time and with the correct information, or perform quality assurance activities by contacting appropriate county management when the submitted documents do not meet the stringent required criteria.”⁵⁶ Also, “It’s part of my personal makeup. I don’t feel like I am doing a complete job if I don’t do all I can to help the county.”

This case study does not fit the stereotype of contract workers that are not dedicated to the organization’s mission, but just the opposite. Throughout the evolution of the contract, the FRU management and staff created strategies to perform the activities in the contract’s Scope of Work. Strategies to complete the work were modified and recreated as necessary for the university to meet the contractual obligations to the county. It is anticipated that strategies will continue to be developed as necessary.

Blurring Organizational Boundaries

One of the visions for one of the county managers involved in the implementation of this project was for the FRU to become embedded into the operations of the program. The physical location of the FRU in the county’s facilities is an evident example. Locating the FRU in the county facilities provide opportunities for relationships to develop between the FRU and county management and staff. Also, this provides access to the foster care case files.

⁵⁵ It is important to note that while the FRU’s activities and accomplishment of the Scope of Work rely on information and documents from multiple county programs, the number of management and staff in the programs is over two hundred. Coupling the large program staff size with the turnover of management and staff, FRU management and staff are continually establishing relationships.

⁵⁶ In these cases, the county management was former CSA Manager Dr. Ledford.

The unit itself is referred to as the FRU; most county management and staff do not know that the unit is not a county program. They are surprised to learn the FRU is a contract between Virginia Tech and Fairfax County. The FRU operates quite seamlessly with multiple county programs in performing the contract's Scope of Work.

Many social workers join the county and work with the FRU for many years and do not realize the FRU management and staff is not county staff. The FRU management and staff utilize the county's email system with county email addresses thus furthering an outward appearance of being employed by the county. Correspondence such as data or reports sent from the FRU to outside organizations such as the provider community is on county letterhead, rather than university letterhead. Recently changes were made in the submission of the FRU contract deliverables from university letterhead to county letterhead and memorandum templates.

During period three of the contract, the FRU contract contains specific documentation the instruction of the FRU to follow the county's communication standards. The FRU management and staff have business cards issued by the county in addition to business cards issued by the university. Everyone in the FRU has a county issued photograph identification badge and building access card. In late 2008, the FRU's offices relocated to a different floor and county staff located near the FRU was very surprised to learn the FRU were contractors.

These examples remind us that the management of many organizations, particularly the management of delivering social/human services, has required

adapting to new methods in order to serve society's most vulnerable citizens.

Organizational boundaries have become increasingly permeable and management as well as line staff has modified their methods of conducting business. Literature suggests collective activities may be needed to provide much needed services to for hard to serve populations services (McGuire, 2006).

Revisiting Our Model as Applicable to the Case Study

Our original descriptive model illustrated four implementation contract characteristics as identified from the literature. They included environment, relationship, contract accountability, and structure. These characteristics were also present in the FRU contract. In exploring these characteristics as they were applicable to this project, the research identified specific elements that played a more dominant role than others. The initial model has been modified to illustrate the elements as they are most relevant to this project. See Figure 3 for the revised model.

Dimensions Added to the Model

Through this research, two new characteristics and a new element were identified as important insights to the FRU project. They are added to the descriptive model illustrated in Figure 3 that was created from the literature. These elements had not been projected, but became apparent because they were very important to the longevity of this long-termed contract. The first of the additional characteristics are change of culture, to include the element of worker strategies. The second characteristic identified during this research is the blurring of boundaries.

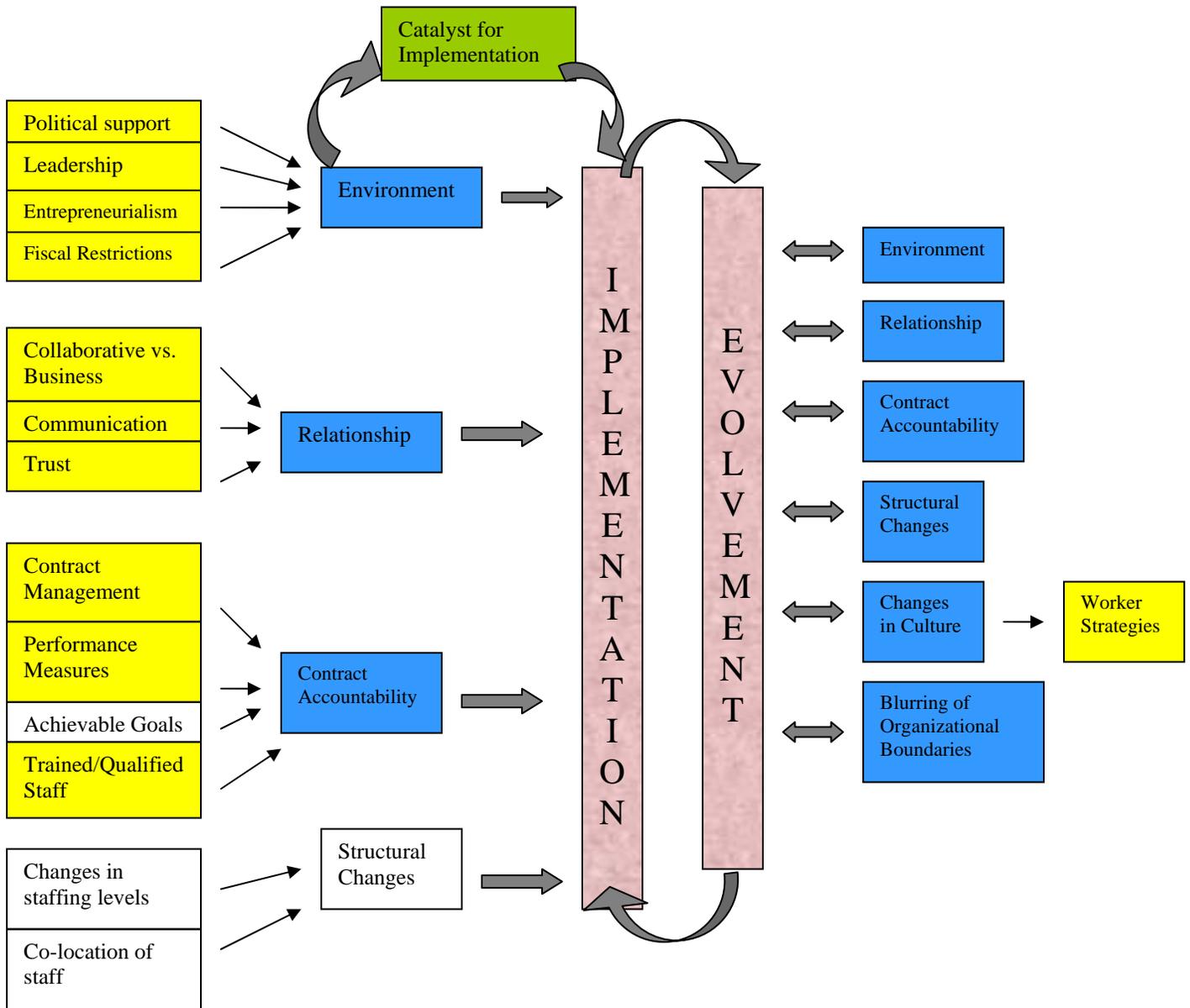
Change in culture contributed significantly to this contract. The change in culture at the county contributed to the establishments of the ethos of stewardship among the FRU

management and staff. In order for the university to meet their contractual obligations to the county and perform the activities in the Scope of Work, “work arounds” or additional work strategies were established. Most frequently the work strategies included creative and proactive approaches in obtaining the required documents and information required to make an eligibility recommendation or file an application for SSA benefits. The work strategies enabled the accomplishment of the Scope of Work while avoiding conflict and not “rocking the boat”. The work strategies continue to evolve as the county continues their pursuit to maximize revenues.

The second new characteristic identified during this research, the blurring of boundaries adds an important insight to the research. The research explored the co-location of the FRU and being physically embedded into the county facilities, this element partially played a role in the blurring of boundaries between the two organizations-the FRU and the county. One of the factors that played a larger role in the blurring of the boundaries was the seamlessness of the FRU’s interactions and activities in performing the activities to accomplish the Scope of Work the FRU was responsible for. Another factor was the integration of the FRU into the county’s processes and practices. FRU management and staff are issued county email addresses, business cards, and are issued county issued photograph identification badge and building access cards. Deliverables are distributed to county management and staff using county letterhead and not Virginia Tech letterhead.

Over time, particularly with the turnover of county line staff, county employees come into contact with the FRU and unless told otherwise, believe the FRU are county staff whose role is to maximize county resources. Figure 3 illustrates the revised FRU model including the contributions from the research.

Figure 3: Revised FRU Model



The highlighted areas in the modified model illustrate the characteristics identified during the research that offer a unique perspective to government contracting. The environment contains numerous elements that, working in concert, laid the foundation for the implementation of the contract between the university and the county. While the county's fiscal crisis was a primary element, leadership and political support coupled with entrepreneurial activities were also catalysts for the implementation of the FRU contract and other initiatives to maximize county resources. Based on the research, one of the more striking characteristics evidenced in the contract that contrast with the literature is the characteristic of relationship, coupled with the key elements of collaboration, trust and communication between university and county management, and management from a private, for-profit organization. Along with the pre-existing relationships present in this contract, trust was also already present early in the implementation of the project.

As the model notes, communication between the university and the county is ongoing and occurs in many venues between university management and staff and county management and staff. The preexistence of the relationship and strong interconnectedness of collaboration, trust and communication between the organizations offer uniqueness to this contract. In addition, the model shows a second dominant contract characteristic, contract accountability, combined with the key elements of contract management and performance measures and the contractual obligations the university had to the county. From the implementation of the contract, contract management and performance measurement played a large role.

Summary Comments on the Revised Model

To summarize, many of my research findings support the literature. The elements of political support, leadership, fiscal restrictions, trust, and performance measures are supported by the literature. University, county and private sector leadership coupled with political support from multiple county stakeholders played a large role in this contract from the inception of the project and as the contract evolved. The literature emphasized the importance and the role these elements play in contractual relationships.

Second, contracting as a method to reduce fiscal stress is well documented in the literature and was one of the reasons this project was implemented. In the early-mid 1990's the county was facing a "doomsday" budget. This fiscal stress was an important catalyst for the implementation of the initial foster care case review. As a result of its success, the FRU was implemented to continue with the maximization of revenues that were started with the initial case study. Fiscal challenges in the county continued throughout the evolution of the contract as the county sought to provide high levels of services for the children in foster care. As this research concludes, the county faces unprecedented fiscal challenges, even greater than those when the project began.

Third, the element of trust among the organizational stakeholder's is emphasized in the literature. The element of trust among the organizational players and the role it played in this project and subsequent research cannot be emphasized enough. Trust is difficult to achieve in contracting relationships, but was present from the beginning of this contract. In this study, the relationships among the university, county and private sector management was a solidifying factor in the university performing and perhaps continuing with the work over the years. This is in contrast to the literature that states relationships require time and must

be developed. Unlike the current literature on collaboration, the collaborative activities exhibited by university, county and private sector management were present at the earliest stages of the contract.

Fourth, the literature discusses the importance of building performance measures into the design of the contract. Measuring outcomes are very challenging particularly in human/social services contracts. Because of the complexity of measuring outcomes in human/social service contracts, often processes are measured. The literature illustrates that outcomes should be a measure of contract performance. The FRU contract originally measured performance by the outcomes in increasing the access rate for the funding streams. However, the current performance measurements evaluate the process of evaluating the children for funding rather than accessing the funding streams.

Fifth, contract accountability and performance management were important during the implementation of the contract and remains at a high level with modifications made, typically with the addition of funding streams. The county wants to ensure their resources are being used wisely, and the university welcomes the opportunity to communicate the accomplishments of the Scope of Work, funding stream access, and the revenues to the county.

Sixth, on-going communication between the university and the county keeps county management continually updated on the performance measures and any challenges encountered during the accessing of the funding streams. Advances in technology as the contract evolved provide the tools that promote increased and ease of communication as well as venues to communicate activities taking place with the contract.

Seventh, the research identified two new characteristics in this study. The first one was the change in culture resulting in the ethos of Stewardship as demonstrated by FRU management and staff shaped creative work strategies in efforts to perform the activities to accomplish the Scope of Work. The work strategies continue as the contract evolves. The second was the alterations in the boundaries showing how traditional organizational structures become blurred. FRU management and staff are embedded in the county's structure- housed in county buildings, assigned county email addresses, business cards, and are issued county issued photograph identification badge and building access cards. The physical locations of the FRU alone provide environments that relationships can be built and sustained regardless of whether the location is in one of the government center complex buildings or at the JDRC. Over the years, the seamlessness of performing the work has led to many county management and staff not knowing that the FRU team is not county staff and is surprised upon learning the FRU are university employees.

Finally, the research results in this study conclude that over time, processes are constructed that allow elements of NPM and collaboration to be complementary rather than contradictory. The joint activity of the university, county, and private sector management, working together to contain costs, maximize the federal funding access rates, and increase the county's revenues as they struggled with huge foster care caseload and significant fiscal stress provided the increased public value that round out Bardach's Craftsmanship Theory.

Implications for Public Management

As the first decade of the twenty first century comes to a close, the role of government and public managers has a vastly uncertain future. Government at all levels is working to increase efficiency and revenues, and contain costs as they face unprecedented

fiscal stress while struggling with increased demand for services, particularly human/social services. The current and continuing economic crisis present at all levels of government-federal, state, and local-have public managers making many fiscal choices they never dreamed they would have to make. Many public services and programs are threatened to be eliminated, terminations of public servants are taking place, and increased taxes and government furloughs do not begin to make a dent in the billions of dollars of debt that society currently finds itself. The time is ripe for public managers to adopt proactive strategies and continue to look for entrepreneurial and innovative methods in the delivery of services as they execute public policy and provide smart management techniques, but also retain their orientation to public service

Devolution allows state and local governments to make decisions in the delivery of services and traditional bureaucratic hierarchies are no longer capable of successfully tackling our “wicked problems” without collaboration within and outside their boundaries. Interagency collaboration is a relatively new tool in the public management tool box, and may not have been a priority until the past few years. However, as illustrated in this research, interagency collaboration is common in our era of new governance.

Interagency collaboration is not quickly achieved and requires a shared vision for addressing society’s “wicked problems”; it cannot be achieved without sharing resources and expertise. For many reasons today’s public managers must develop relationships and work in collaboration with other multi-organizational and multi-sector organizations in capacities like never before.

Universities, to include Virginia Tech, are committed to serve individuals and society, and have much to offer society as attempts are made to grapple with today’s issues. This

dissertation explored the implementation and evolution of a unique long-term contract between Virginia Tech and a local government as one county's response to significant fiscal stress, efforts to contain costs, and maximize the county's recovery of federal and state resources for the provision of vital services to our society's most vulnerable population.

Through a single case study, my dissertation contributes to an emerging public management literature on NPM principles and collaboration by examining how one long-term contract evolved. The researcher recognizes the limitations with this single case study and does not make generalizations between this contract and other long-term contracts. It is the researcher's purpose and intent to contribute to scholarly research in the area of child welfare policy as well as public management about the evolution of long term contracts. Through an examination of a long-term contract, this research also contributes to public policy practice by describing one method localities employ to confront fiscal challenges to finance their child welfare programs.

Areas for Future Research

Contracting in the social/human services sector is widely used at all levels of government to provide numerous types of services. This long-term contract between the university and local government has continued to evolve throughout the life of the contract. In exploring this contract, perhaps a foundation for future research on long-term contracts may be built. This study has illustrated the contract itself is not static as it continues to evolve.

The literature identifies many attributes to NPM management tools to include contracting, outcome vs. process, contract accountability and performance measurement contracting and the many facets surrounding each. However, the literature does not provide a

great deal of information on the evolution of long-term contracts. Recognizing that contracting activities are so widespread with many facets yet to be investigated there are many opportunities for future research. Below are samples of questions generated by this research.

- Why were similar projects not successful? Could collaborative characteristics present in this research been applied to those projects and affect their success?
- What role do these characteristics play in other long-term contracts?
- Since pre-existing relationships and trust among the stakeholders existed such a high level in this contract, to what extent do relationships and trust exist with other long-term contracts?
- What role, if any, does the ethos of Stewardship Theory play in other long-term contracts?
- Would this contract have existed as long as it did if the relationships between the university, county and private sector did not exist?
- Does contract accountability and performance management in this contract affect the funding access rates and measure the goals of the contract or merely document the activities and efforts made to access the funding streams?
- With the elimination of the Graduate Research Assistants, with their ability to retain the project's institutional memory and provide a pool of future staff and management, how well will the project's institutional memory and pool of potential staff and management be affected?
- Had this project been implemented by a for-profit organization, what dynamics would be present? How would the contract differ?

CONCLUDING REMARKS

During this research, I have gained additional insights to the application of public management and in particular social/human services. First, it was very surprising to me to learn in the literature about the lack of collaboration that took place between agencies and programs all while serving much of the same vulnerable populations. The issues that affect a child and/or their family often involve multiple programs from food stamps, medical benefits, protective services, substance abuse, and mental health issues. While scholars state that collaborative activities are fairly new to the field of public administration, collaboration to serve children in Fairfax County's foster care system to access federal and state funds have taken place for over a dozen years with this project being one of the first collaborative efforts undertaken with the DFS.

Second, having come from other positions where interorganizational and collaborative activities took place without fanfare and were part of the normal course of business, I was stunned to learn that it was routine for programs within the same department to not routinely communicate all while serving many of the same populations. I have a better understanding of how "stove pipe" organizations exist and the need to eliminate the way in which this type of business is conducted. In this environment, everyone knows a little bit about something, but involving others in solving problems may result in improved decisions.

Third, this research and its results give me a larger appreciation for all of the hard work and collaboration that went into the implementation of this project and other projects and activities that involved extensive collaboration. Each member of the stakeholders must set aside their own personal agenda which can be difficult to do, and have a shared vision of the mission and goals of the project. Turf battles and one-upmanship do not have a healthy

role in collaboration in society's "wicked problems". Having said this, nor is it good to have groupthink where different and even conflicting ideas are not shared and explored, thus hampering the possibilities that might be.

And last, today's current environment with the economic crisis exponentially increasing each day, provide an excellent environment for all public managers to collaborate to provide services that are needed more than ever before to provide vital social/human services. Public managers have barely tapped into the potential that exists in working with other public organizations, to include universities, and the private sector. Universities have vast untapped resources to help governments at all levels meet the demands of rapidly changing environments, provide services that are efficient, maximize resources, and achieve their vision and mission to serve the public with increasing demands to handle society's "wicked problems". Universities, particularly Virginia Tech, are eager for the challenge.

Bibliography

- Agranoff, R. (2005). Managing Collaborative Performance Changing the Boundaries of the State? *Public Performance & Management Review*, V29(1), 18-45.
- Agranoff, R. & McGuire, M. (2001). Big Questions in Public Network Management Research. *Journal of Public Administration Research and Theory*, 11(3), 295-327.
- Agranoff, R. & McGuire, M. (2003). *Collaborative Public Management: New Strategies for Local Governments*. Washington, D.C.: Georgetown Press.
- Ammons, D. & Rivenbark, W. (2008). Factors Influencing the Use of Performance Data to Improve Municipal Services: Evidence from the North Carolina Benchmarking Project. *Public Administration Review*, 68(2), 304-318.
- Argyle, N. J. & Marlowe, B. (2002). Reinventing Government: A Preliminary Examination of the Georgia Initiative for Children and Families. *Public Administration Quarterly*, 26(2), 174-198.
- Auger, D. A. (1999). Privatization, Contracting, and the States: Lessons From State Government Experience. *Public Productivity & Management Review*, 22(4), 435-454.
- Bardach, E. (1998). *Getting Agencies to Work Together: The Practice and Theory of Managerial Craftsmanship* (1 ed.). Washington, D.C.: Brookings Institution Press
- Bardach, E. (2001). Developmental Dynamics: Interagency Collaboration as an Emergent Phenomenon. *Journal of Public Administration Research and Theory*, 11(2), 149-165.
- Bardach, E. & Lesser, C. (1996). Accountability in Human Services Collaboratives—For What? and To Whom? *Journal of Public Administration Research and Theory*, 6(2), 197-224
- Barzelay, M. (2001). *The New Public Management: Improving Research and Policy Dialogue*. (1 ed.). New York: Russell Sage Foundation.
- Bass, S., Shields, M. K. & Behrman, R. E. (2004). Children, Families, and Foster Care: Analysis and Recommendations. *The Future of Children*, 14(1), 4-29.
- Behn, R. (2003). Why Measure Performance? Different Purposes Require Different Measures. *Public Administration Review*, 63(5), 586-606.
- Behn, R. D. & Kant, P. A. (1999). Strategies for Avoiding the Pitfalls of Performance Contracting *Public Productivity & Management Review*, 22(4), 470-489.
- Benton, B. (1997). National Invitational Conference on Access to Supplemental Security Income on the Part of Children in Foster Care (pp. 23). Columbia, MD.
- Bernier, L. & Hafsi, T. (2007). The Changing Nature of Public Entrepreneurship. *Public Administration Review*, 67(3), 488.
- Berry, C., Hrutz, G. S., Langner, B. E. & Budetti, P. (2008). Jump-Starting Collaboration: The ABCD Initiative and the Provision of Child Development Services Through Medicaid and Collaborations. *Public Administration Review*, 68(3), 480-490.
- Berry, J. M. (2002). Validity and Reliability Issues in Elite Interviewing. *PS: Political Science & Politics*, 35(4), 679-682.
- Bissell, M., Miller, J. & Cmons, M. (2007). *Time for Reform: Fix the Foster Care Lookback*. Washington, D. C.. The Pew Charitable Trusts.
- Blasi, G. (2002). Government Contracting and Performance Measurement in Human Services. *International Journal of Public Administration*, 25(4), 519-538.

- Blasi, G. J. (2002). Nonprofit Organizations, Government Contracting, Performance Measurement, and Accountability *International Journal of Public Administration*, 25(4), 419-422.
- Blendermann, R. W., Ormsby, R., Sharp, J. & Zimmerman, E. (2004). Is Contracting Out In New York City Tinkering Or Reinventing Government? *Journal of Public Procurement*, 4(1), 67.
- Bloomfield, P. (2006). The Challenging Business of Long-Term Public–Private Partnerships: Reflections on Local Experience *Public Administration Review*, 66(3), 400-411.
- Box, R. C. (1999). Running Government Like a Business: Implications for Public Administration Theory and Practice. *American Review of Public Administration*, 29(1), 19-44.
- Bradshaw, L. K. (1997). *Boundary Spanning and Communication Patterns in Interagency Partnerships*. San Diego, CA: Annual Meeting of the American Evaluation Association.
- Bruhn, C. M. (2004). Children with Disabilities: Abuse, Neglect, and the Child Welfare System. *Journal of Aggression, Maltreatment & Trauma.*, 8(1-2), 173-203.
- Brundney, J., Fernandez, S., Ryu, J. E. & Wright, D. S. (2004). Exploring and Explaining Contracting Out: Patterns among the American States. *Journal of Public Administration Research and Theory*, 15(3), 393-427.
- Bryson, J. M., Crosby, B. C. & Stone, M. M. (2006). The Design and Implementation of Cross-Sector Collaborations: Propositions from the Literature. *Public Administration Review*, 66(special), 44-55.
- Cheever, K. (2006). Collaborations in Public Service: Memphis Experience. *International Journal of Public Administration*, 29(7), 533-555.
- Conrad, C. (2006). Measuring Costs of Child Abuse and Neglect: A Mathematical Model of Specific Cost Estimations. *Journal of Health and Human Services Administration*, 29(1/2), 103-123.
- Cooper, P. J. (2003). *Governing By Contract: Challenges and Opportunities for Public Managers*. Washington, D.C.: CQ Press.
- Crabtree, B. & Miller, W. (Eds.). (1992). *Doing Qualitative Research* (3rd ed.). Newbury Park: Sage Publications, Inc.
- Craig, C., Kulik, T., James, T. & Nielson, S. (1998). *Blueprint for the Privatization of Child Welfare*. Los Angeles: The Reason Foundation.
- Creswell, J. (2003). *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches*. Thousand Oaks: Sage Publications.
- DeHoog, R. (1984). *Contracting Out for Human Services*. Albany: State University of New York Press.
- DeHoog, R. H. (1990). Competition, Negotiation, or Cooperation: Three Models for Service Contracting. *Administration Society*, 22(3), 317-340.
- Denzin, N. K. & Lincoln, Y. S. (Eds.). (2005). *The SAGE Handbook of Qualitative Research* (3rd ed.). Thousand Oaks: Sage Publications, Inc.
- Dias, J. J. & Maynard-Moody, S. (2007). For-Profit Welfare: Contracts, Conflicts, and the Performance Paradox. *Journal of Public Administration Research and Theory*, 17(2), 189-211.

- Dicke, L. (2002). Ensuring Accountability in Human Services Contracting: Can Stewardship Theory Fill the Bill? *American Review of Public Administration*, 32(4), 455-470.
- Dicke, L. & Ott, J. S. (2002). A Test: Can Stewardship Theory Serve As A Second Conceptual Foundation for Accountability Methods in Contracted Human Services? *International Journal of Public Administration*, 25(4), 463-487.
- Dicke, L. A. (2004). Street-Level Leadership in the Public Sector: A Case Study of the Challenges. *International Journal of Organization Theory and Behavior*, 7(2), 231-252.
- Domberger, S. & Jensen, P. (1997). Contracting Out by the Public Sector: Theory, Evidence, Prospects. *Oxford Review of Economic Policy*, 13(4), 67-79.
- Eagle, K. & Cowherd, P. (2006). Collaborative Capital Planning in Charlotte-Mecklenburg County, North Carolina. *Public Administration Review*, 66, 146-147.
- Ehrle, J., Andrews Scarcella, C. & Geen, R. (2004). Teaming Up: Collaboration Between Welfare and Child Welfare Agencies Since Welfare Reform. *Children and Youth Services Review*, 26(3), 265-285.
- Emison, G. A. (2006). The EPA Bureaucrat Who Could. *Public Administration Review*, 66, 152-153.
- Feild, T. (2004). The Child Welfare Funding Problem: The Title IV-E Straitjacket vs. the Medicaid Roadblock. *The Social Work Forum*, 37(Spring), 5-42.
- Flaherty, C., Collins-Camargo, C. & Lee, E. (2008). Privatization of Child Welfare Services: Lessons Learned From Experienced States Regarding Site Readiness Assessment and Planning. *Children and Youth Services Review*, 30(7), 809-820.
- Frederickson, H. G. (1996). Comparing the Reinventing Government Movement with the New Public Administration. *Public Administration Review*, 56(3), 263.
- GAO. (1997). *Privatization Lessons Learned by State and Local Governments*. (Report to the Chairman, House Republican Task Force on Privatization, GAO/GGD-97-48). Washington, D. C. United States General Accounting Office.
- Gazley, B. (2008). Beyond the Contract: The Scope and Nature of Informal Government-Nonprofit Partnerships. *Public Administration Review*, 68(1), 141-154.
- Gleeson, J. P. (1996). Kinship Care as a Child Welfare Service: The Policy Debate in an Era of Welfare Reform. *Child Welfare*, 75(5), 419-449.
- Goldsmith, S. & Eggers, W. (2004). *Governing by Network: The New Shape of the Public Sector*. Washington, D.C.: Brookings Institution Press.
- Gray, B. (1989). *Collaborating: Finding Common Ground for Multiparty Problems*. San Francisco: Jossey-Bass.
- Griffin, T. (1998). *Federal Reimbursement Unit Report of Third Contract Period* report. Falls Church: Center for Public Administration and Policy, Virginia Tech.
- Grimm, B. & Tanner, S. (2005). Child Welfare Demonstration Projects, Part I: Child Welfare Waivers Underutilized by States; States with Waivers Report Mixed Results. *Youth Law News*, 26(1), 1-13.
- Guttman, D. (2003a). Contracting United States Government Work: Organizational and Constitutional Models. *Public Organization Review*, 3(3), 281-299.
- Guttman, D. (2003b). Privatisation, Public Purpose and Private Service: The Twentieth Century Culture of Contracting Out and the Evolving Law of Diffused Sovereignty. *OECD Journal on Budgeting*, 2(4), 89-160.

- Halfon, N., Berkowitz, G. & Klee, L. (1992). Mental Health Service Utilization by Children in Foster Care in California. *Pediatrics in Review*, 89, 1238-1244.
- Halfon, N., English, A., Allen, M. & DeWoody, M. (1994). National Health Care Reform, Medicaid, and Children in Foster Care. *Child Welfare*, 73(2), 99-115.
- Harbert, A. S., Finnegan, D. & Tyler, N. (1997). Collaboration: A Study of a Children's Initiative. *Administration in Social Work*, 21(3/4), 83-107.
- Harknett, K., Garfinkel, I., Bainbridge, J., Smeeding, T., Folbre, N. & McLanahan, S. (2005). Are Public Expenditures Associated with Better Child Outcomes in the U.S.? A Comparison Across 50 States. *Analyses of Social Issues and Public Policy*, 5(1), 103-125.
- Heinrich, C. J. & Choi, Y. (2007). Performance-Based Contracting in Social Welfare Programs. *American Review of Public Administration*, 37(4), 409-435.
- Hodge, G. A. (1999). Competitive Tendering and Contracting Out: Rhetoric or Reality? *Public Productivity & Management Review*, 22(4), 455-469.
- Horwath, J. & Morrison, T. (2007). Collaboration, Integration and Change in Children's Services: Critical Issues and Key Ingredients. *Child Abuse & Neglect*, 31(1), 55-69.
- Humphrey, K. R., Turnbull, A. P. & Turnbull, H. R., III. (2006). Perspectives of Foster-Care Providers, Service Providers, and Judges Regarding Privatized Foster-Care Services. *Journal of Disability Policy Studies*, 17(1), 2-17.
- Jee, S. & Simms, M. D. (2006). Health and Well-Being of Children in Foster Care Placement. *Pediatrics in Review*, 27(1), 34-36.
- Johnson, J. M. & Romzek, B. S. (1999). Contracting and Accountability in State Medicaid Reform: Rhetoric, Theories, and Reality. *Public Administration Review*, 59(5), 383.
- Johnston, J. M. (1995). Frustrated Federalism: Rx for State and Local Health Care Reform. *Public Budgeting & Finance*, 15(3), 95-98.
- Johnston, J. M. (1997). The Medicaid Mandates of the 1980s: An Intergovernmental Perspective. *Public Budgeting & Finance*, 17(1), 3-34.
- Johnston, J. M. & Duncombe, W. (1998). Balancing Conflicting Policy Objectives: The Case of School Finance Reform. *Public Administration Review*, 58(2), 145.
- Johnston, J. M. & Romzek, B. S. (1999). Contracting and Accountability in State Medicaid Reform: Rhetoric, Theories, and Reality. *Public Administration Review*, 59(5), 383.
- Kadel, S. (1993). *Interagency Collaboration: Improving the Delivery of Services to Children and Families* report. Greensboro, Tallahassee: UNC- Greensboro, Florida State University.
- Kassel, D. (2008). Performance, Accountability, and the Debate Over Rules. *Public Administration Review*, 68(2), 241-265.
- Kirk, J. & Miller, M. (1986). *Reliability and Validity in Qualitative Research*. (Vol. 1). Newbury Park: Sage Publications.
- Klingner, D. E., Nalbandian, J. & Romzek, B. S. (2002). Politics, Administration, and Markets: Conflicting Expectations and Accountability. *American Review of Public Administration*, 32(2), 117-144.
- Kuhns, C. (1997). *Federal Reimbursement Unit, Report of Second Project Year*. Falls Church: Center for Public Administration and Policy, Virginia Tech University.
- Lamothe, M. (2004). Issues of Contract Implementation and Management: The Case of Performance Contracting in Florida Human Services. *International Review of Public Administration*, 8(2), 59-75.

- Leidinger, W. J. (1996). *County Efforts to Maximize Federal and State Revenues*. Fairfax, VA.
- Libby, A. M., Leslie, L. K., O'Connell, J., Wood, P. A., Rolls, J. A. & Landsverk, J. (2006). Child Welfare Systems Policies and Practices Affecting Medicaid Health Insurance for Children: A National Study. *Journal of Social Service Research*, 33(2), 39-49.
- Light, P. (1997). *The Tides of Reform*. New Haven: Yale University Press.
- Linden, R. M. (2002). *Working Across Boundaries: Making Collaboration Work in Government and Nonprofit Organizations*. (1 ed.). San Francisco: Jossey-Bass.
- Lipsky, M. (1980). *Street-level Bureaucracy: Dilemmas of the Individual in Public Services*. New York: Russell Sage Foundation.
- Maccoby, M. (2006). Creating Collaboration. *Research Technology Management*, 49(6), 60-62.
- Majumdar, D. (2006). Collaboration Among Government Agencies with Special Reference to New Zealand: A Literature Review. *Social Policy New Zealand* (27), 183-198.
- Marshall, C. & Rossman, G. (1995). *Designing Qualitative Research*. (2nd ed.). Newbury Park: Sage Publications Inc.
- Martin, L. L. (2005). Performance-Based Contracting for Human Services: Does It Work. *Administration in Social Work*, 29(1), 63-77.
- Marvel, M. & Marvel, H. (2007). Outsourcing Oversight: A Comparison of Monitoring for In-House and Contracted Services. *Public Administration Review*, 67(3), 521-530.
- McCullough, C. & Lee, E. (2007). *Program and Fiscal Design Elements of Child Welfare Privatization Initiatives*. U. S. Department of Health and Human Services Office of the Assistant Secretary for Planning and Evaluation.
- McGuire, M. (2006). Collaborative Public Management: Assessing What We Know and How We Know It. *Public Administration Review*, 66(special issue), 33-43.
- Moore, A. T. (1997). Privatization on a Roll (Privatization as a Tool to Reduce the Size of Government). *The American Enterprise*, 8(6), 68-72.
- Moore, S. (1992). Case Management and Integration of Services: How Service Delivery Systems Shape Case Management. *Social Work*, 35(5), 418-423.
- Nightingale, D. & Pindus, N. (1997). *Privatization of Public Social Services*. Washington, D. C.: The Urban Institute.
- Nylen, U. (2007). Interagency Collaboration in Human Services: Impact of Formalization and Intensity on Effectiveness. *Public Administration*, 85(1), 143-166.
- O'Conner, M. (2001). *A Guide to SSI and Social Security Benefits for Children and Youth in Out-of-Home Care*. Seattle: Casey Family Programs.
- O'Leary, R. & Bingham, L. B. (2007). Conclusion: Conflict and Collaboration in Networks. *International Public Management Journal*, 10(1), 103-109.
- O'Sullivan, E. & Rassel, G. R. (1995). *Research Methods for Public Administrators*. (2 ed.). White Plains: Longman
- Osborne, D. (1998). Reinventing Government. *Public Productivity & Management Review*, 16(4), 349-356.
- Osborne, D. & Gaebler, T. (1992). *Reinventing Government: How the Entrepreneurial Spirit is Transforming the Public Sector*. Reading: Addison-Wesley.
- Ott, J. S. & Dicke, L. (1999). Public Agency Accountability in Human Services Contracting. *Public Productivity & Management Review*, 22(4), 502-516.

- Ott, J. S. & Dicke, L. (2000). Important but Largely Unanswered Questions about Accountability in Contracted Public Human Services. *International Journal of Organization Theory and Behavior*, 3(3/4), 283-317.
- Ott, J. S. & Dicke, L. A. (2001). Challenges Facing Public Sector Management in an Era of Downsizing, Devolution, Dispersion and Empowerment--and Accountability? *Public Organization Review*, 1(3), 321.
- Page, S. (2003). Entrepreneurial Strategies for Managing Interagency Collaboration. *Journal of Public Administration Research and Theory*, 13(3), 311-340.
- Patton, M. (1987). *How to Use Qualitative Methods in Evaluation*. (2nd ed.). Newbury Park: Sage Publications Inc.
- Prager, J. (2008). Contract City Redux: Weston, Florida, as the Ultimate New Public Management Model City. *Public Administration Review*, 68(1), 167-180.
- Price-Rhodes, M. A. (2007). *Virginia Tech University Federal Reimbursement Unit Annual Report of Fiscal Year 2007*. Fairfax, VA: Virginia Tech University, Institute for Policy and Governance, Federal Reimbursement Unit.
- Price-Rhodes, M. A. (2008). *Virginia Tech University Federal Reimbursement Unit Annual Report of Fiscal Year 2008*. Fairfax, VA: Virginia Tech University, Institute for Policy and Governance, Federal Reimbursement Unit.
- Prince, J. & Austin, M. J. (2005). Inter-Agency Collaboration in Child Welfare and Child Mental Health Systems. *Social Work in Mental Health*, 4(1), 1-16.
- Riccucci, N. M. (2005). Street-Level Bureaucrats and Intrastate Variation in the Implementation of Temporary Assistance for Needy Families Policies. *Journal of Public Administration Research and Theory*, 15(1), 89-111.
- Riccucci, N. M. & Meyers, M. K. (2008). Comparing Welfare Service Delivery Among Public, Nonprofit and For-Profit Work Agencies. *International Journal of Public Administration*, 31(12), 1441-1454.
- Rittell, H. & Webber, M. (1973). Dilemmas in a General Theory of Planning. *Policy Sciences*, 4(2), 155-169.
- Rogers-Dillon, R. H. & Skrentny, J. D. (1999). Administering Success: The Legitimacy Imperative and the Implementation of Welfare Reform. *Social Problems*, 46(1), 13-29.
- Romzek, B. S. & Johnston, J. (2005). State Social Services Contracting: Exploring the Determinants of Effective Contract Accountability. *Public Administration Review*, 65(4), 436-450.
- Romzek, B. S. & Johnston, J. M. (1999). Reforming Medicaid Through Contracting: The Nexus of Implementation and Organizational Culture. *Journal of Public Administration Research and Theory*, 9(1), 107-139.
- Romzek, B. S. & Johnston, J. M. (2002). Effective Contract Implementation and Management: A Preliminary Model. *Journal of Public Administration Research and Theory*, 12(3), 423-454.
- Romzek, B. S. & Johnston, J. M. (2005). State Social Services Contracting: Exploring the Determinants of Effective Contract Accountability. *Public Administration Review*, 65(4), 436-450.
- Sanders, D. L. (2002-2003). Toward Creating a Policy of Permanence for America's Disposable Children: The Evolution of Federal Foster Care Funding Statutes from 1961 to Present *Journal of Legislation*, 29, 51-88.

- Sanders, D. L. (2003). Toward Creating a Policy of Permanence for America's Disposable Children: The Evolution of Federal Funding Statutes for Foster Care from 1961 to Present *International Journal of Law, Policy and the Family*, 17(2), 211-243.
- Sanger, M. B. (2003). *The Welfare Marketplace: Privatization and Reform*. Washington, D.C.: Brookings Institution Press.
- Savas, E. S. (2005). *Privatization in the City: Successes, Failures, Lessons*. Washington, D.C.: CQ Press.
- Schor, E. L., Erickson, C. G., Evans, B., Hammer, S., Keathley, S., Miller, P., et al. (1994). Health Care of Children in Foster Care. *Pediatrics*, 93(2), 335-338.
- Schwartz, A. E. (2002). Societal Value and the Funding of Kinship Care. *Social Service Review*, 76(3), 430-461.
- Simms, M. D. & Halfon, N. (1994). The Health Care Needs of Children in Foster Care: A Research Agenda. *Child Welfare*, 73(5), 505-524.
- Sinclair, T. (2001). Implementation Theory and Practice: Uncovering Policy and Administration Linkages in the 1990s. *International Journal of Public Administration*, 24(1), 77-94.
- Smith, B. & Mogro-Wilson, C. (2008). Inter-Agency Collaboration: Policy and Practice in Child Welfare and Substance Abuse Treatment. *Administration in Social Work*, 32(2), 5-24.
- Smith, J. (2002). Foster Care Children with Disabilities. *Journal of Health & Social Policy*, 16(1-2), 81-92.
- Stake, R. (1995). *The Art of Case Study Research*. Thousand Oaks: Sage Publications, Inc.
- Swann, C. A. & Sylvester, M. S. (2006). The Foster Care Crisis: What Caused Caseloads to Grow? *Demography*, 43(2), 309-326.
- Thomson, A. M. & Perry, J. L. (2006). Collaboration Processes: Inside the Black Box. *Public Administration Review*, 66(special), 20-31.
- Thomson, A. M., Perry, J. L. & Miller, T. K. (2007). Conceptualizing and Measuring Collaboration. *Journal Public Administration Research Theory*, 1-34.
- Thurmaier, K. (2006). High-Intensity Interlocal Collaboration in Three Iowa Cities. *Public Administration Review*, 66(6), 144-145.
- Unruh, J. K. & Hodgkin, D. (2004). The Role of Contract Design in Privatization of Child Welfare Services: The Kansas Experience. *Children and Youth Services Review*, 26(8), 771-783.
- Usher, C. L. & Gibbs, D. A. (1995). A Framework for Planning, Implementing, and Evaluating Child Welfare Reforms. *Child Welfare*, 74(4), 859-877.
- Van Slyke, D. M. (2002). The Public Management Challenges of Contracting with Nonprofits for Social Services. *International Journal of Public Administration*, 25(4), 489-517.
- Van Slyke, D. M. (2003). The Mythology of Privatization in Contracting for Social Services. *Public Administration Review*, 63(3), 296-316.
- Vinson, E. (1999). *Performance Contracting in Six State Human Service Agencies*. Washington, D.C.: the Urban Institute.
- Virginia. (2007). Monthly Snapshot of Children in Foster Care [Electronic Version], 2. Retrieved 2007 from http://localagency.dss.virginia.gov/support/oasis/files/reports/fc/2007/monthly_snapshots/Hot_Snapshot_Children_In_Foster_Care_-_20070601.xls.

- Warner, M., Ballard, M. & Hefetz, A. (2003). *Contracting Back In: When Privatization Fails* Washington, D. C.: International City/County Management Association.
- Warner, M. E. & Hefetz, A. (2008). Managing Markets for Public Service: The Role of Mixed Public-Private Delivery of City Services. *Public Administration Review*, 68(1), 155-166.
- Waterson, J. (2000). Balancing Research and Action: Reflections on an Action Research Project in a Social Services Department. *Social Policy and Administration*, 34(4), 494-508.
- Weber, E. P. & Khademian, A. M. (2008). Wicked Problems, Knowledge Challenges, and Collaborative Capacity Builders in Network Settings. *Public Administration Review*, 68(2), 334-349.
- Weikart, L. A. (2001). The Giuliani Administration and the New Public Management in New York City. *Urban Affairs Review*, 36(3), 359-381.
- Wimpfheimer, R., Bloom, M. & Kramer, M. (1990). Inter-Agency Collaboration: Some Working Principles. *Administration in Social Work*, 14(4), 89-103.
- Winston, P., Burwick, A., McConnell, S. & Roper, R. (2002). *Privatization of Welfare Services: A Review of the Literature*. Washington, D.C.: Mathematica Policy Research, Inc.
- Wood, D. & Gray, B. (1991). Toward a Comprehensive Theory of Collaboration. *Journal of Applied Behavioral Science*, 27(2), 139-162.
- Wulczyn, F. W. (2000). Federal Fiscal Reform in Child Welfare Services. *Children and Youth Services Review*, 22(2), 131-159.
- Wulczyn, F. W. (2005). *Linking Outcomes and Funding: Core Challenges and Approaches*. Chicago: Chapin Hall Center for Children at the University of Chicago.
- Yandle, T. (2006). The Challenger Scallop Enhancement Company: Collaborative Management of a Natural Resource Based in the Private Sector. *Public Administration Review*, 66, 148-150.
- Yin, R. K. (1994). *Case Study Research: Design and Methods* (2nd ed.). Thousand Oaks: Sage Publications, Inc.
- Zappala, M. (2007). *Title IV-E Waiver Demonstration Programs: Pointing the Way to Reform*. Alexandria: National Council For Adoption.
- Zullo, R. (2006). Is Social Service Contracting Coercive, Competitive, or Collaborative? Evidence from the Case Allocation Patterns of Child Protection Services. *Administration in Social Work*, 30(3), 25-41.

APPENDICES

APPENDIX A: LIST OF INTERVIEWEES

Dr. Bill Benton, Vice President, Benton and Associates, Ellicott City, MD

David Hunn, former Deputy Director, Fairfax County Virginia

Dr. Carole Kuhns, former Principle Investigator and Project Director, Center for Public Administration and Policy, Virginia Tech, Fairfax County VA

Dr. M. Gail Ledford, former Comprehensive Services Act Manager, Fairfax County Virginia

Dr. Renee G. Loeffler, former Principle Investigator, Senior Program Director, Virginia Tech Institute for Policy and Governance, School of Public and International Affairs, Office of Outreach and International Affairs, Fairfax County, VA

Supplemental Interviews

Tamela Griffin, former Graduate Research Assistant, former Case Analyst, and former FRU Project Director

Erin Mooney, Federal Reimbursement Unit, Case Analyst

Jennifer Newborn, Federal Reimbursement Unit, Case Analyst

Tami Watts, Federal Reimbursement Unit, Medicaid Case Analyst

APPENDIX B: INTERVIEW GUIDE AND QUESTIONS

FROM COLLABORATIVE CREATION TO IMPLEMENTATION: THE EVOLUTION OF A CONTRACT FOR A MODEL PROGRAM TO FINANCE CHILD WELFARE

I appreciate you allowing me to interview you. As you know, I am a doctoral candidate at the Center for Public Administration and Policy, of the Virginia Polytechnic Institute and State University (Virginia Tech), and am completing the last portion of my research for my dissertation.

Traditional bureaucratic structures no longer effectively tackle our social welfare problems. Organizations must work across traditional agency and department boundaries to implement reform efforts to reduce the size of government, operate more efficiently, reduce fiscal stress, and employ market-like mechanisms. Contractual relationships play a large role in government reform, and these relationships continue to increase. Virginia Tech, through the implementation of the Federal Reimbursement Unit (FRU), has had a long-term contractual relationship with Fairfax County, Virginia in implementing a model pilot program to address social welfare problems.

While contracts have played a major role in reform efforts for many decades, there is a current lack of understanding of long-term contract relationships. There is much more to learn about these relationships and their role in reform, specifically, how contracts evolve over time. Specifically, my study will focus on selected elements of the popular New Public Management form of governance, and interagency collaboration as they apply to this unique long-term project. Contracts such as this one represent a new world for public management, and increasing our understanding adds an important practical significance.

Through a case study methodology, my research examines how the contractual relationship between the university's FRU and Fairfax County evolved through the implementation and tenure of the model program.

This study will illustrate the evolution of this unique model program between a university and a local government. Also, with long-term contracts, the contract itself is not static as it continues to evolve. This program also offers the opportunity to understand how somewhat "contradictory" values are combined. It is "contradictory" in that the values surrounding contracting are often thought of as contradictory to elements of collaboration; this project combines both. Understanding how contracting and interagency collaboration are blended will assist us in understanding theoretically how relationships are built in long-term contracts.

I will not record the interviews via audio or video tape. I will take notes during the interview. After the interview, I will provide you with a written copy of my notes taken during the interview and send them to you so that you can ensure their accuracy. After the

interview and your review of the comments, you can indicate whether or not you want your responses to be anonymous.

I look forward to meeting with you,
Melony A. Price-Rhodes

PRIMARY FOCUS: How did this model program contract evolve?

Sub question one: What are the dimensions of this long-term contract in coping with fiscal stress in foster care?

Interview Questions:

- What federal, state or local legislation played a role in the implementation of the model project?
- Who were the organizational players involved in the program's implementation at the state, university or local level?
- Describe your role in the implementation of the program.
- Describe the pilot project with Virginia Tech in the early stages of implementation.
 - How/Why was Virginia Tech chosen to implement the program?
 - What is the current method of choosing a contractor for the continued existence of this program?
 - Has the method changed during the inception of the program?

Interview Questions:

- How did the **environment** contribute to the implementation of the program?
 - Describe the **political support and leadership** at the state, university, or local level and the role it played in the implementation of the program. How did it play a role in the implementation of the program?
 - How did the county's **fiscal environment** contribute to the implementation of the program?
 - How was the contract initially funded and has that changed as the contract evolved? If so, how?
 - Describe the role of **program management** when the program was implemented. How did it change as the contract evolved?
 - Describe the **role of the line level staff** during this time. How did it change as the contract evolved?
 - Discuss the importance of having **trained and qualified staff** to implement this program.
- Describe the **relationship that existed between the county and the university** prior to the contract, during the implementation and as the contract evolved.
 - Describe the role of **trust** between the two organizations. Did it change as the contract evolved?
 - Describe the **communication** structure between the organizations.
 - Were the methods of **communication** formal? Informal?
- Describe the **structural changes** that were necessary in order to implement the contract?
 - Did these changes continue as the contract evolved? Describe these changes.

Interview Questions:

- What was the role of **contract accountability** during the implementation of the contract? Has this changed as the contract evolved?
- What methods are used to **performance management** the contract?
 - What were the initial goals in implementing this model program? Did the goals of the contract change over time? If so, what were they?
 - Have these methods changes as the contract evolved?

Sub question two: How do the elements of NPM and collaboration contradict or complement each other in this long-term contract?

Interview questions:

- What role did interagency collaboration play in the implementation of the program?
- Describe the **collaborative activities** that occurred during the implementation of the contract.
 - Was interagency collaboration a common activity during this time?

Were characteristics of new public management (NPM) techniques and collaboration combined to implement this contract among state agencies for an innovative pilot program?

APPENDIX C: DETAILED CONTRACT PROVISIONS

The contract was divided into three distinct periods. The inception of the contract through 1999 when the county made a Request for Proposal (RFP) is included in period one.⁵⁷ This was the only time in the history of the contract that had a RFP. The years of the contract that include 2000-2004 are included in period two. The contract was renewed during this time without major renegotiation between the county and the university. Period three consists of the years 2005-present. During 2005, significant contract negotiations took place with many changes made to the contract in the Scope of Work and the staff responsible for performing the university's contractual obligations. The section below describes the pertinent contract provisions as they are relevant to this dissertation.

Period One (Inception to 1999)

In August 1994 the Fairfax County Board of Supervisors approved a recommendation for Virginia Tech to develop and implement revenue maximization strategies in support of county activities to redesign their Human Services. The goal of the FRU was to process claims and associated preparation of documents to ensure that all children in foster care in Fairfax County potentially eligible for Federal funds are identified and appropriate claims are made.

The FRU serves as a specialized team of university staff and faculty with in-depth expertise in each of the accessed funding sources. Because of the complexity of federal policy, individuals with expert skills in the eligibility criteria for each of the funding streams are necessary. For example, the receipt of SSI/SSA benefits may affect eligibility for Title IV-E funding or Title IV-D, and in turn, Title IV-E eligibility may affect a child's receipt of SSI/SSA benefits. A child's Title IV-E *eligibility* will not change throughout the child's

⁵⁷ Technical Proposal RFP99-277717-18

tenure in foster care. However, the child's Title IV-E is redetermined twice a year and the Title IV-E *reimbursability* may change.⁵⁸

The FRU was embedded within the DFS and staffed with employees of Virginia Tech. This preliminary review of Fairfax County DFS procedures indicated that the existing decentralized processes were unable to access all appropriate revenues available under Title IV-E⁵⁹ and Title XVI of the Social Security Act, and fragmented procedures for determining the child's eligibility hindered the ability to fully access these funds (Leidinger, 1996). As a result of implementation of the FRU, eligibility determinations of children in the county's foster care system "substantially improved" resulting in increased federal revenues and offset county costs (Leidinger, 1996). To address the issues revealed in the preliminary evaluation and to maximize federal revenue, DFS extended the original contract in order to extend the initial FRU contract through June 30, 1997.⁶⁰ Upon the approval of the county's purchasing agent, current contracts can be modified.

In May 1996, the contract was modified to continue the previous activities for the Title IV-E and SSI federal funding streams. Next, the amendment expanded the responsibilities of the FRU by establishing a process to coordinate and establish child support (Title IV-D) claims from non-custodial parents. Federal law (Title IV-D of the Social Security Act) requires that parents whose children are in foster care be obligated for

⁵⁸ Title IV-E reimbursability depends on a number of factors as defined by federal statute.

⁵⁹ Title IV-E funds are beneficial to the county as they offset both administrative and maintenance costs of the foster care program. The maintenance claims reimburse 100% of the county's maintenance costs for children meeting the complex eligibility criteria. The state provides approximately 50% and the federal government provides approximately 50%. Also, the county is eligible to receive federal funds to offset the cost of administering the foster care program in proportion to the Title IV-E eligibility rate. Social Security benefits may be used by DFS to offset expenditures for providing services to eligible children in care. The Social Security benefit further helps the children when they leave foster care as long as they continue to meet the eligibility criteria.

⁶⁰ The initial contract was for the period August 1994-May 15, 1996. The second period covered May 16, 1996- June 30, 1997.

providing financial and medical support in efforts to defray the foster care expenses. Virginia adopted State Senate Bill 999 in 1995 that provided increased efficiency for establishing child support obligations and collecting child support from non-custodial parents. This legislative change was significant in two ways. First, it allowed child support to begin from the date the child enters care, and second, judges can establish child support as early as the initial court hearing⁶¹.

An Interagency Agreement between Fairfax County and Virginia's Division of Child Support Enforcement created a model office intended to improve communication between the agencies and to centralize accountability. The interagency agreement between the two organizations created a model office to pursue child support on behalf of children placed in foster care. Additional FRU staff was hired⁶² and were co-located at the JDRC. The county hired additional staff, DFS Support Enforcement Specialists (DFS SES), dedicated to the enforcement and collections activities for the Judicial Support Orders established by the FRU staff.

The third contract, July 1, 1997-June 30, 1998, continued to be an amendment to the previous year's Interagency Agreement. The FRU continued their activities associated with the funding streams. There were no significant modifications to the Interagency Agreement from the previous year.

The fourth contract, July 1, 1998-June 30, 1999 continued to be an extension of the previous Interagency Agreement. During this time, the FRU began accessing SSA (Survivor's Benefits) and performing associated activities required for this funding stream.

⁶¹ This is typically the 5-day hearing. Federal legislation establishes the initial court hearing when children are removed from their home via Emergency Removal Orders.

⁶² According to the Amendment for the Interagency Agreement between Virginia Tech and Fairfax County, the FRU staff increased by two additional Case Reviewers, and a part time clerical staff.

Operational processes and procedures involving the Title IV-D activities continued to evolve as court related activities became part of the JDRC landscape. Also during this time, the county documented the provision of access to state and corporate data systems needed for the FRU to perform the work in the contract.⁶³

Period Two (2000-2004)

For the only time in the history of the FRU, in 1999 the county placed the contract up for bid.⁶⁴ Virginia Tech was the only organization that submitted a bid on the RFP.

Activities to maximize the revenues of federal funds from previous amendments were continued and additions were made continuing to operationalize the Title IV-D activities.

The contract established a process to maximize revenues from an additional funding stream, Title XIX, Medicaid, for Treatment Foster Care and Residential Treatment Services.

This contract established benchmarks documenting goals for accessing the funding streams. Assuming demographic characteristics for the children and their families remained the same as previous year; the university anticipated maintaining minimum eligibility goals. If such goals were not met, the university would document the reasons the goals were not met. Goals for Title IV-E access rates were expected to be a minimum of 50%, and 19% for SSI/SSA funding streams.

During this time, there were provisions for two pilot studies. A Child Support Evaluation Design and a Title IV-E study for the county's Healthy Families program. Additional staff members were hired to complete the Title IV-E study. In November 1996, the university submitted a Scope of Work to evaluate welfare reform in the county, and the county accepted the proposal.

⁶³ These included access to VACIS (Virginia Client Information System), OASIS (On-Line Automated Services Information System), and ADAPT (Application Benefit Delivery Automation Project).

⁶⁴ RFP99-277717-18

This contract created additional staff for the FRU. A FRU team member was hired and assigned to perform the newly created Medicaid position so the county could maximize federal resources for children residing in Treatment Foster Care and Residential Treatment placements. The proposal created the addition of a management team member, the Project Coordinator.

The next contract, July 1, 2000 through June 30, 2003, amended the current mutual agreement for two years. Provisions to the contract included the preparation and distribution of an annual report. During past contracts, the FRU Project Director and FRU Principal Investigator had prepared and distributed annual reports since 1998 without a contract requirement.

During the years, July 1, 2002 through June 30, 2003, amendments to the Scope of Work included the addition of a Court Specialist, increasing this position to two full time staff, and continuing to reallocate the staff from the Healthy Family study to support the CSA program.

Changes to the Scope of Work to the Title IV-D funding stream were made. These changes reflected changes to the DCSE performance responsibilities to the state regarding federal incentives made to the state for meeting established benchmarks.⁶⁵ Even though the FRU was performing activities related to the benchmarks, formal methods for documenting the benchmarks were established or modified that were acceptable to the DCSE.⁶⁶ See Appendix D for detailed information regarding the DCSE benchmarks for which the FRU was responsible.

⁶⁵ The FRU was not responsible for all of the established benchmarks that the DCSE was held accountable.

⁶⁶ These activities included the establishment of paternity and active medical support.

The next contract, July 1, 2003 through June 30, 2005, yielded no changes in the contract's Scope of Work.

Period Three (2005-current)

Prior to the beginning of the new contract period, contract negotiations began between the county and the university. Unlike previous years, the contract year did not begin on July 1st, but began October 1, 2005 and was a nine-month contract. The previous contract was extended on a monthly basis until the new contract was put into place. This contract,⁶⁷ valid until June 30, 2011,⁶⁸ made changes to the contract's Scope of Work, deliverables, performance measures, and communication structure between the university and the county.

The Scope of Work was no longer goal oriented, but process oriented. The contract's performance measures documented acceptable timeframes for performing the work. For example, activities related to Title IV-E are to be performed within 5 working days upon receipt of the documents and information required to make an eligibility recommendation.

The contract formalized activities that had not been documented in previous contracts, but had been a part of the workflow activities the FRU had performed.⁶⁹ Specific activities associated with the Title IV-E funding stream were eliminated.⁷⁰

This contract established periodic formal meetings and identified the timeframes for the meetings between county management and staff and university management.

Provisions in the next contract, July 1, 2006 through June 30, 2007, brought changes to the FRU staffing levels, and the communication between the county and university. The

⁶⁷ Contract number RQ-06-830879-32A replaced RQ99-277717-18A

⁶⁸ While the contract does not expire until 2011, the contract is renewed based on funding approved by the Fairfax County Board of Supervisors.

⁶⁹ The activity aided the social worker in accurately documenting Title IV-E information. The Foster Care and Adoptions Program liked the practice and incorporated it into the contract.

⁷⁰ In addition to the initial eligibility determination that is made for Title IV-E funds, there is an on-going redetermination process that occurs. The FRU had performed these activities in previous contracts, but no longer involved in this activity when this contract was put into place.

position for the full-time⁷¹ Graduate Research Assistant was eliminated with work reallocated to other FRU staff. Closely related to the work the FRU performed, but separate from the university's contract, the positions of two full-time DFS SES county positions became vacant and were not filled. The FRU team and the DFS SES were in constant communication discussing child support related issues.

The contract also included two provisions to the communication activities between the university and the county. First, meetings between the university and county were conducted to review the contract requirements and determine if changes to current contract provisions were needed. Second, the contract modified the periodic meetings between the two organizations.

The next contract, July 1, 2007 through June 30, 2008, amended by mutual agreement, made changes to the Scope of Work, levels of staff, and the contract deliverables. Primarily, reductions in the Scope of Work to Title IV-D responsibilities were made.

The level of FRU staff decreased. Specifically, the FRU's second management position, the Project Coordinator, was eliminated and the work performed by this staff member was reallocated to other staff. The county decided not to replace the DFS SES staff member after the two positions became vacant during the previous contract. The county created and implemented a new process for communication between the FRU and the local DCSE office.

The contract contained a provision instructing that the management and the staff from the FRU to follow the county's communications strategy. Specifically, communications procedures included utilizing the county's templates to include voice mail, written documents to include memos, fax cover sheets, and email standards. For example, FRU management

⁷¹ A full time Graduate Research Assistant works 20 hours per week.

and staff use standardized county letterhead and fax coversheets when corresponding with outside organizations such as the Social Security Administration, the DCSE, and the provider community to convey the correspondence is between the county personnel rather than a contractor.⁷²

And last, the current contract that expires June 30 2009, amended the contract by mutual agreement. Slight modifications were made to the Scope of Work for the Title IV-D funding stream

At the conclusion of the preparation of this dissertation the county faces record budget deficits at levels the county has never faced. Proposed budget reductions of 15% have been made across every county agency. Unprecedented cuts to services may likely take place as the county grapples with a budget shortfall of over \$450 million dollars for fiscal year 2010. The DFS FY10 proposed budget Line of Business (LOB) includes two proposals to reduce the FRU's budget by approximately \$165,000. The impact to the evolution of this contract is yet unknown.

⁷² When distributing the contract deliverables the FRU Project Director uses standardized Virginia Tech letterhead, fax cover sheets delineating the two organizations.

APPENDIX D: TITLE IV-D

Establishment of Paternity

In addition to establishing child support, the FRU team also works to establish paternity. Paternity must be established prior to the establishment of a child support obligation. This is achieved through the activities involved with the child support process. In addition to providing important personal benefits for the child(ren), such as family identity and health history, the establishment of paternity also creates a legal relationship between the father and his child(ren).⁷³ With the establishment of paternity, several important legal rights become available to the child. These include: rights to medical insurance, social security, and disability benefits.

An added benefit for children in foster care, the establishment of paternity also identifies a previously unidentified parent for potential reunification or potential placement for a child that is in foster care.

Establishment of Medical Support

The establishment of a child support order also requires the non-custodial parent to provide medical support for their child(ren) in foster care if it is available at a reasonable cost. Private health care providers should be accessed prior to services reimbursed by Medicaid. Should the parents have private insurance offered by their employers, employers are required to comply with the child support order and provide the medical support when ordered.⁷⁴

⁷³ Once paternity is established, the information documenting paternity is sent to the State Registrar of Vital Records, and a birth certificate is reissued reflecting the new information.

⁷⁴ Many employers offer employee's benefits to be changed during specified periods of the year (often known as open enrollment instead; this does not apply to medical support established as a result of a child support obligation.

APPENDIX E: SUMMARY OF INTERVIEW RESPONSES

Primary Focus: How did this model program contract evolve?

Sub Question One: What are the dimensions of this long-term contract in coping with fiscal stress in foster care?

Questions and sub-questions	Responses of University Management	Responses of County Management	Responses of Private Sector Management
<p>What federal, state or local legislation played a role in the implementation of the model project?</p>	<p>Do not know if there was any new legislation to include Title IV-E legislation.</p>	<p>There was no new federal legislation; the current legislation included the implementation of Title IV-A, Title IV-B, and Title IV-E.</p> <p>No federal, state or local legislation.</p> <p>There was local interest as a result of the state legislation that formed the CSA (CSA combined 16 separate funding streams into one “pot” of resources).</p> <p>Organization funds that were pooled included: foster care; public schools and certain special education dollars; some court/juvenile justice; some mental health, etc.</p> <p>The CSA passed in 1993; 1994 was the first full fiscal year of its implementation</p>	<p>There was no new federal, state or local legislation that played a role.</p> <p>Fairfax County had a history of funding their programs with local dollars and no special effort had been made to maximize state and federal dollars to be drawn down to finance their programs.</p> <p>There was a fiscal gap at the county level. The FRU was one of many recommendations that we made to help the County handle their fiscal crisis.</p> <p>The B&A/VPI team laid out a series of recommendation for the county consider as to how to maximize federal dollars. “There was a huge opportunity to conduct a review of the foster care case files and move the kids legitimately to Title IV-E with the initial case review performed for the county.</p>
<p>Who were the organizational players involved in the program’s implementation</p>	<p>At the county level: David Hunn first DFS Project Officer Verdia Haywood (do not remember to what extent he was involved in the implementation of the FRU) Sue Manzo Director of Department of</p>	<p>At the county level: Sue Manzo, Director of Department of Human Development Dana Paige, Office of Management and Budget Deputy Director Verdia Heywood Fairfax County Deputy</p>	<p>At the county level: David Hunn, DFS Deputy Director William J. Leidinger, County Executive Sue Manzo, Director of Department of Family Services (was a student of Dr. Benton’s in a course he taught at USC in</p>

<p>at the state, university or local level?</p>	<p>Human Development</p> <p>At the university level: Dr. Jim Wolf self (Principle Investigator) Dr. Carole Kuhns (Had just been hired for the FRU as the initial FRU Project Director)</p> <p>Private Sector: Dr. Bill Benton, Vice President, Benton and Associates “was the genesis of all this”</p> <p>At the county level: David Hunn, DFS Deputy Director William J. Leidinger, (colleague of Dr. Bill Benton), Sue Manzo, Director of Department of Human Development, Susan Alexander, Child Protective Service Program Manager (became involved when the child support portion was implemented) Susan Famellette (became DFS Project Director after David Hunn left the county) Carolyn Fowler (Foster Care and Adoptions Program Manager). Juani Diaz Fairfax County Self-Sufficiency Program Manager and selected staff from this department</p> <p>At the university level: Dr. Jim Wolf, Northern VA Center for Public Administration and Policy</p>	<p>Director William J. Leidinger, Fairfax County Executive (Approved various portions of the revenue maximization activities)</p> <p>At the university level: Dr. Jim Wolf Dr. Renee Loeffler Dr. Carol Kuhns</p> <p>Private Sector: Dr. Bill Benton, Vice President, Benton and Associates Had the expertise, and knowledge of the multiple Federal processes to revise the internal foster care eligibility process and to drawdown increased Federal revenues</p> <p>At the county level: Sue Manzo, DFS Director (until 1998) David Hunn, Deputy Director (until 1997) Suzanne Famellette, Fairfax County Management Analyst Dana Paige, Department of Management and Budget Deputy Director (until 1998) (held this position when project was implemented; became Fairfax County Dept. of Family Services Director in 1998 when Ms. Manzo left; retired from the county 2008) Verdia Heywood Fairfax County Deputy Director County Executive William J. Leidinger (Approved various portions of the revenue maximization activities.)</p>	<p>DC. She approached Dr. Benton during a break in the class to discuss a project that she had been given at work from Fairfax County Deputy Director Verdia Haywood. The project was to redesign the county’s human services programs.) Verdia Haywood, Fairfax County Deputy Director (was the initial client in the FRU Project) Dana Paige, Fairfax County Office of Management and Budget. (Dana Paige became involved later; he reviewed the initiative and said “go for it” and set it up with Virginia Tech)</p> <p>David Hunn “became our greatest champion by far; he was a very big player”</p> <p>At the university level: Dr. Jim Wolf (Dr. Benton and Jim received their DPAs together) Dr. Renee Loeffler, (Principal Investigator for the FRU contract) Tamela Griffin (was employed at the FRU during the initial case review and later as the FRU Project Director)</p> <p>At the state level: Clarence Carter, former VA Dept of Social Services Commissioner Ray Goodwin, former Deputy Commissioner VA Dept of Social Services (Ray and Dr. Benton had been counterparts when Bill worked</p>
---	--	---	--

	<p>(CPAP) Director Dr. Renee Loeffler, (Principle Investigator for FRU) self as the 1st FRU Project Director The dean of the College of Architecture and Urban Studies (was ‘cheerleading’ the project as he saw the benefit to the college)</p> <p>Private Sector: Dr. Bill Benton</p>	<p>Dr. Gail Ledford, Comprehensive Services Act Manager, (1993-2008)</p> <p>At the university level: Dr. Jim Wolf (prior 1995-1997) Dr. Renee Loeffler, Principal Investigator (1995-current) Dr. Carole Kuhns, FRU Project Director</p> <p>Private Sector: Dr. Bill Benton, Vice President, Benton and Associates (Had the expertise, and knowledge of the process to increase federal revenues) (Had previously worked closely with Deputy Director Verdia Heywood on county projects) Attended graduate school with Dr. Wolf and Sue Manzo)</p>	<p>for Maryland State Department of Human Resources and Ray with VA DSS, the two would contact each other for assistance . . . mostly Maryland learning from Virginia.)</p>
<p>Describe your role in the implementation of the program.</p>	<p>In 1995, held the position of Director of the Institute of Public Policy and Research VT IPPR) with the Center for Public Policy and Research at Virginia Tech</p> <p>Was involved in the decision</p> <ul style="list-style-type: none"> ▪ To hire Dr. Kuhns; working on the contract’s Scope of Work (Dr. Benton was involved in this also), and the budget. ▪ Involved in interviews for additional FRU staff positions (Court Specialists) <p>Held the 1st position of FRU Project Director</p>	<p>Led the county’s <i>Family Service Refinancing Initiative</i>; this was one of over 10 revenue maximization projects the county was implementing; this was one of the larger projects. The FRU one of the easier to implement in order to begin receiving revenues quickly.</p> <p>As the Program Manager for CSA,</p> <ul style="list-style-type: none"> ▪ Played a supportive role, ▪ As the project evolved to include VA Medicaid reimbursement played a more active role in amending the FRU contract <ul style="list-style-type: none"> • the county could add staff/expand staff capacity of program operations with the implementation of the RTC & TFC new Medicaid funding stream. 	<p>Dr. Benton’s position Vice President of Benton & Associates, Ltd., the private sector representative in the Family Services Refinancing Initiative.</p> <p>Dr. Benton and his staff suggested that the university be retained to do the work.</p> <p>Identified Title IV-E opportunities for Fairfax to access federal funds.</p> <p>Dr. Benton would be involved in meetings with VA DSS Director Carter and Deputy Director Goodwin discussing revenue maximization initiatives and how such a process could be implemented.</p>

	<ul style="list-style-type: none"> ▪ Dealt with the day to day challenges and activities <p>Had experience from previous positions in collaborating across organizational boundaries.</p> <p>Had experience with federal funding agencies</p> <p>FRU filled the gap between the Foster Care program and the Benefits Dept to obtain the documents and information required for a Title IV-E determination.</p> <p>At other levels: Some VA state Department of Social Services Title IV-E staff would contact her to review cases for quality control</p>		<p>The “project achieved everything I had in mind”.</p>
<p>Describe the pilot project with Virginia Tech in the early stages of implementation.</p> <p>How/Why was Virginia Tech chosen to</p>	<p>This project was a method for faculty to obtain outside funding which the university wanted</p> <p>The FRU project furthered the university’s mission and land-grant institution, the practice of academic knowledge and expertise to obtain funding;</p> <p>The relationship between Dr. Benton, Sue Manzo, and Dr. Wolf “clinched the deal”.</p> <p>Relationships between Dr. Loeffler, Dr. Benton, Dr. Wolf and Sue Manzo existed prior to the implementation of</p>	<p>Virginia Tech was able to do this work without going through the RFP and bidding process because VA Code allows public</p>	<p>The best bet was implementing the project through the university</p>

<p>implement the program?</p>	<p>the FRU contract.</p> <p>The university was not participating in the project for money such as a profit; there was no incentive payments vs. for-profit groups such as Maximus or other for profit organizations that are driven by profit</p> <p>The project also benefited the university as it created a working experience for Graduate Research Assistants</p> <p>This project was a method for faculty to obtain outside funding</p> <p>The funding mechanism that worked to make this project happen; the indirect costs were waived from the university</p>	<p>local governments in Virginia to contract with higher education institutions without an RFP (particularly a public education organization)</p> <p>Virginia Tech had the expertise to perform these activities; The FRU more than paid for itself by performing this work</p> <p>Hiring Tech was a benefit to the county in several ways:</p> <ul style="list-style-type: none"> ▪ No RFP was needed because this was a contract between two public organizations ▪ Significant cost savings as federal funds could also be drawn down for administrative activities to implement Title IV-E, not just the reimbursement to the county for the child’s expenditures (room & board) ▪ It was not feasible during the county’s fiscal crisis for the county to hire staff to perform these functions; the county could increase their capacity and be more flexible than if county staff performed these functions <ul style="list-style-type: none"> • This flexibility continued as contract evolved • Additional staff (Medicaid Case Analyst CSA Case Analyst) were hired in 2000 with the implementation of the Medicaid revenue to off set local costs for children meeting medical necessity requirements and draw down Virginia Medicaid 	<p>Financing was a great deal for the county; they got the full revenue benefit, the state received a little money, the federal government paid 50%, and the county paid a fraction of the cost for the Project.</p> <p>Dr. Benton had dealt with university financing in many other places</p> <p>Dr. Jim Wolf had to sell the university on a very non-traditional role for the university</p> <ul style="list-style-type: none"> ▪ This project opened up a number of projects and the university’s involvement in non-traditional activities and opportunities <ul style="list-style-type: none"> • Hiring Graduate Assistants and students • The funding mechanism that worked to make this project happen; the indirect costs were partially waived from the university <p>No RFP was needed at the beginning of the project, the project could be implemented with Memorandum of Understanding (MOU) because of both parties both being government agencies.</p> <p>The county wanted to implement the project right away.</p>
-------------------------------	--	--	---

<p>What is the current method of choosing a contractor for the continued existence of this program?</p> <p>Has the method changed during the inception of the program?</p>	<p>Current method is multiple year contracts renewed annually depending on available resources from the county.</p> <p>The current contract is valid until 2011</p> <p>One year- 1998 - the contract went up for bid.</p> <p>No, it is the same method</p> <p>unknown</p>	<p>Has not been involved in this process; left the county's employment in 1997</p> <p>There has been only one RFP (1999); contracts have been for multiple year periods providing the Board of Supervisors allocated the resources. RFP was at the request of a county Board of Supervisor member</p> <ul style="list-style-type: none"> ▪ The county wants to ensure its investment was optimized and their resources are wisely used <p>Overall, no</p>	<p>RFP</p> <p>yes</p>
<p>How did the environment contribute to the implementation of the program?</p>	<p>Number one reason was the county wanted to get more money (revenue maximization).</p> <p>The county realized after the initial case review that children in foster care were not getting the money they were entitled from the federal government</p> <p>Dr. Benton and Dr. Loeffler stated in discussions with county staff need to have dedicated staff/unit that viewed the collecting of information and documents as their goal, as social workers are not</p>	<p>There was a change in conducting the county's structure; managers were to conduct a Line of Business (LOB) review to identify their business scope.</p> <ul style="list-style-type: none"> ▪ For foster care, one items that was identified was the Title IV-E room & board maintenance subsidies and to claim the eligible resources <p>The county was under enormous fiscal constraints</p> <p>"Cost-cutting vs. cost avoidance"</p> <p>There was an entrepreneurialism element</p>	<p>It was new for Fairfax County not to be able to finance their programs without outside assistance.</p> <p>The county had always provided a high level of services and hired their own staff to provide these services.</p> <p>Not being able to rely on prior business practices (to continue to provide the high level of services) was a "real shocker" to the county; there were lay-offs of county staff pending.</p>

	<p>dedicated to activities related to the application of federal funds, but instead they were dedicated to caring for the children.</p> <p>County employees could be performing this activities, but could be ‘dragged off’ to perform other activities and this work not be performed.</p> <ul style="list-style-type: none"> ▪ A contract keeps the roles more clearly defined than if a social worker was performing the tasks. <p>Number two: the county’s fiscal pressures; they were anxious to bring in as much money as they could as foster care was expensive</p> <p>Number three: the county’s increased awareness for public agencies to be more involved in contracting opportunities</p> <p>This project was a method for faculty to obtain outside funding</p> <p>The county realized after the initial case review that children in foster care were not getting the money they were entitled.</p> <p>County wanted to claim as much money as they were able because of the high cost of foster care</p>	<p>occurring within the Department of Family Services in efforts to deal with their fiscal challenges</p> <p>DFS Director Sue Manzo exhibited new leadership in the department;</p> <ul style="list-style-type: none"> ▪ Efforts to redesign <ul style="list-style-type: none"> • Conduct business differently for better outcomes <p>Unprecedented leadership changes took place in the DFS when Sue Manzo redesigned the department</p> <ul style="list-style-type: none"> ▪ Previously, social workers assumed leadership roles in the department, now other management and staff with different skills were being placed in the positions; these activities “cut against the department culture”; there had been a “close grip” on the human services program until this point and a long held belief that only management and staff with a background in social work/human services were able to conduct the business of the department; also by contracting out for these activities, it was cutting against the department’s culture to do “in house” <p>Enormous fiscal constraints</p> <p>“Cost-cutting vs. cost avoidance”</p> <p>Entrepreneurialism element occurring in the county in efforts to deal with their fiscal challenges</p>	
--	---	--	--

<p>Describe the political support and leadership at the state, university, or local level and the role it played in the implementation of the program. How did it play a role in the implementation of the program?</p>	<p>The emphasis at the university to bring in more money for indirect costs</p> <p>The county Board of Supervisors had to approve the funds on an annual basis</p> <p>Dr. Benton approached Virginia Tech. Dr. Loeffler knew Dr. Benton as a result of previous work both had done for the state of VA (Title IV-E work both had conducted elsewhere). Dr. Benton and Dr. Loeffler had worked previously on foster care case reviews for Fairfax County approximately in 1995 when the <i>Family Services Refinancing Initiative</i> was conducted.</p> <p>Dr. Benton organized these case reviews as there was a sense that Fairfax County was failing to make claims for Title IV-E entitlements on the children in their foster care program. The results of the study benefited Fairfax County to go ahead and build a team to draw down these entitlements from the federal government.</p> <p>There were several advantages to the county to contract to Virginia Tech:</p> <ul style="list-style-type: none"> ▪ Dr. Benton emphasized the first contract be a no bid contract between the two organizations. The county would not have to bid the contract because this was not needed for contracts between a local government and a public university. As long as 	<p>Fairfax County Deputy Director Verdia Heywood and DFS Director Sue Manzo saw this project as an opportunity to save other programs when they realized the potential revenues that could be achieved with a team dedicated to revenue maximization activities</p> <p>Cuts vs. revenue maximization</p> <p>Significant size of the county’s foster care program</p> <p>The county needed to conduct business differently for better outcomes</p> <ul style="list-style-type: none"> ▪ Unprecedented leadership changes took place in the DFS when Sue Manzo redesigned the department ▪ Previously, social workers assumed leadership roles in the department, now other management and staff with different skills were being placed in the positions; ▪ These activities “cut against the department culture”; ▪ There had been a “close grip” on the human services program until this point and a long held belief that only management and staff with a background in social work/human services were able to conduct the business of the department; also by contracting out for these activities, it was cutting against the department’s culture to do “in house” <p>Led the county’s <i>Family Service Refinancing Initiative</i>. This initiative was developed as a</p>	<p>Previously mentioned the political support and leadership from the county in dealing with the county’s fiscal stress</p> <p>The “champions” at the county level included Verdia (he was the client), William J. Leidinger the County Executive</p> <p>At the Sate level: Commissioner Carter, who said “do the project”.</p> <p>At the university level: Dr. Jim Wolf who got the university to become involved in non-traditional activities</p> <p>Our (Benton and Associates, Ltd) job was to “deliver the goods, maximize the revenues”.</p>
---	---	---	---

	<p>the county was comfortable with this process, no RFP was required.</p> <ul style="list-style-type: none"> ▪ Because the university was not asking for profits from the project, costs would be lower for the county. This would be ‘indirect’ cost savings to the county. ▪ A state statute allows public agencies to contract with one another without performing the bid process. <p>Once the contract was in place, the first FRU Project Manager was hired, Dr. Carole Kuhns</p> <p>Previously mentioned the political support and leadership from the county in dealing with the county’s fiscal stress</p> <p>At the university level: The dean was “cheerleading” the project as he saw the benefit to the college. Dr. Wolf as the Northern VA, CPAP Director supported the effort</p> <p>At other levels: Some VA state Department of Social Services Title IV-E staff would contact her to review cases for quality control</p>	<p>means to identify additional revenue from Federal sources in order to reduce the local County costs of providing services to children in foster care.</p> <p>One of over 10 revenue maximization projects the county was implementing; this was one of the larger projects, and was one of the easier to implement in order to begin receiving revenues quickly.</p> <p>The foster care population was over 700 at that time.</p> <p>Dr. Bill Benton was hired as a consultant to help the county think through various options to contain their costs.</p> <p>Dr. Benton helped the county understand the federal flexibility that existed in financing child welfare. This “showed a new light” to the county and they could change or modify their current processes to take advantage of the flexibility by the federal government.</p>	
<p>How did the county’s fiscal environment contribute to the implementation of the program?</p>	<p>County was facing a fiscal challenge and revenues were not as expected</p> <p>Number two: the county’s fiscal pressures; they were anxious to bring in as much money as they could as foster care was expensive</p>	<p>The county was facing one of the worst fiscal environments (1992-1994) since the recession; there was a significant business slow down in the county taking place; county was making attempts to contain costs, maximize revenues, even cuts were taking place.</p>	<p>David Hunn has the most information on this. He was good at getting the budget amended, operationalized the term “fungibility” (foster care program, Comprehensive Services Act (CSA), and Title IV-E) putting the money into different funding streams where it can be</p>

	<p>Money was tight in the county</p> <ul style="list-style-type: none"> ▪ Initially, the county Board of Supervisors had to approve the funds on an annual basis ▪ Currently, the Board of Supervisors had to approve the funds on an annual basis <p>Economic factors at the local level; revenues were not as expected, the county was struggling with a rise in taxes and tax payer concerns with the tax increase, county had great deal of fiscal stress</p> <p>County officials were anxious to bring in as much money as they could as foster care was expensive</p> <p>Fiscal stress to the county and response to the tax payers</p> <p>The county realized after the initial case review that children in foster care were not getting the money they were entitled.</p>	<p>Fairfax County Deputy Director Verdia Heywood and DFS Director Sue Manzo saw this project as an opportunity to save other programs when they realized the potential revenues that could be achieved with a team dedicated to revenue maximization activities</p> <p>Cuts vs. revenue maximization</p> <p>The county was under enormous fiscal constraints</p> <p>Focused emphasis on cost avoidance and revenue maximization VERSUS program cost cutting.</p> <p>Significant size of the county's foster care program</p> <p>The initial year, the county absorbed the cost; for subsequent years the county budgeted the project,</p> <p>The Board of Supervisors had to take action before the costs of the project were rolled into the budget</p> <p>The county was facing one of its worst fiscal situations in the early 1990's ("doomsday budget"); county was making attempts to contain costs, maximize revenues, even cuts were taking place</p> <p>Enormous fiscal constraints</p>	<p>used by the county.</p> <p>County reviewed their LOB's and earned revenues were placed in their appropriate budget line items.</p>
--	--	--	---

		<p>“Cost-cutting vs. cost avoidance” Local resources funded the project with the benefit of federal resources to pay the overhead</p> <p>County was maximizing revenues to decrease primarily the local costs, but state expenditures as well</p> <p>Foster care caseload for the county was approaching 800 children; moving the administrative burden from the front line (social worker) staff so they could better manage their foster care case loads</p> <p>County leaders were looking across the county “landscape” for methods to minimize local expenditures for CSA expenses. This project was one of many cost containment strategies for the CSA that included:</p> <ul style="list-style-type: none"> ▪ Increased revenues ▪ Credits to expenditures ▪ Alternatives to offsets ▪ Expenditure offsets <p>There was a 5-pronged approach to increase/ “bring in” revenues/fees and reduce costs</p> <ul style="list-style-type: none"> ▪ Title IV-E ▪ Child support ▪ SSI ▪ Parental co-payments for children receiving CSA services ▪ Medicaid, but not the Medicaid reimbursement for treatment and residential foster care that is currently implemented. 	
--	--	---	--

		<ul style="list-style-type: none"> ▪ This initiative was developed as a means to identify additional revenue from Federal sources in order to reduce the local costs of providing services to children in foster care. <p>A “nexus of events” were occurring</p> <ul style="list-style-type: none"> ▪ CSA creation ('93) ▪ Local human services design ▪ Need to maximize resources from the federal government <ul style="list-style-type: none"> • SSI • Title IV-E • Child support 	
<p>How was the contract initially funded and has that changed as the contract evolved? If so, how?</p>	<p>Initially, the county Board of Supervisors had to approve the funds on an annual basis</p> <p>Currently, the Board of Supervisors had to approve the funds on an annual basis</p> <p>The county Board of Supervisors had to approve the funds on an annual basis; Dr. Kuhns, possibly Dr. Benton attended these meetings with David Hunn and Sue Manzo and was prepared to answer question if they inquired</p> <p>Half of the funds came from the state, the other half from the county</p> <p>Initially this project was not part of the county budget, but was funded by a specific vote of the Board of Supervisors. That is, a supervisor made a motion to contract with VA Tech to</p>	<p>The initial year, the county absorbed the cost; for subsequent years the county budgeted the project,</p> <p>The Board of Supervisors had to take action before the costs of the project were rolled into the budget</p> <p>The FRU more than paid for itself by performing this work</p> <p>Local resources funded the project with the benefit of federal resources to pay the overhead</p>	<p>The higher the indirect cost, the higher the university could match. The original financing was a combination of Federal funds (50%), University contributed indirect, and the balance from County funds (to be repaid by reduced CSA funding).</p>

	operate the FRU and the BOS then voted. It is my understanding that currently the project is part of the county's annual budget for Human Service's Dept which then solicits a contractor via a competitive RFP.		
Describe the role of program management when the program was implemented. How did it change as the contract evolved?	<p>The program management was not involved;</p> <p>David Hunn, Carolyn Fowler (Foster Care and Adoptions Program Manager), Susan Alexander (Child Protective Services Program Manager)</p>	<p>Program management was not involved when the project was implemented</p> <p>CSA took the lead with Medicaid for children placed in TFC and RTC placements in 2000</p> <p>The administrative/operations side of DHD was the most involved and the "driving force" in</p> <ul style="list-style-type: none"> ▪ framing, ▪ coordinating, ▪ setting the tone for cooperation with the programs ▪ performance management and contract accountability 	<p>Gail Ledford was supportive as this project freed up CSA resources.</p> <p>The Foster Care Program Manager, was very supportive.</p> <p>The Benefits Dept. Manager, Juana Diaz and many of her staff were supportive.</p> <p>There were challenges with getting the court orders (1997); it was programmatically the right thing to do (advocating parental responsibility).</p>
Describe the role of the line level staff during this time. How did it change as the contract evolved?	<p>There was no contact with the line level staff</p> <ul style="list-style-type: none"> ▪ Dr. Kuhns dealt with the day to day challenges and activities <p>The county staff was wary, curious with the implementation of newly created positions.</p> <p>County staff wondered if they would be required to do more work.</p>	<p>It was important for the FRU to be embedded into the operations of the program so there would be ready access to the foster care case files in addition to providing close communications between FRU staff and line social workers.</p> <p>The FRU is dedicated to a function; maximizing the funding streams, and they are "masters of the streams"</p> <p>The creation of the FRU removed a great</p>	<p>The county staff and the social workers, were not very involved; they were briefed on the program.</p> <p>David Hunn, Juani Diaz and select staff from her program were involved.</p> <p>The state implemented the child support process through the passage of VA S 999 that authorized the court to order child support for children in foster care at the initial court hearing.</p>

	<p>When they found that FRU would help to get info (for example, birth certif.) that they hadn't been able to get at intake, they were very supportive.</p> <p>Dr. Kuhns attended foster care and adoptions staff meetings communicated to the workers and Benefits Dept. workers they were being relieved of work as the FRU was doing the work; they became supportive of the FRU's efforts</p>	<p>deal of administrative activities from the staff (social workers and the Benefits Dept. staff) The FRU's performance is tied to the completion of the tasks; this was not occurring with the line level staff</p> <p>The line level staff were not involved in the implementation of the program</p> <ul style="list-style-type: none"> ▪ There was no accountability at the line level (social workers); no aggregate responsibilities and quality improvement ▪ The programs (foster care and child protective services) benefited from the implementation of the activities; their role was to <i>cooperate</i> rather than <i>collaborate</i> with the project's activities. <ul style="list-style-type: none"> •Child support activities 1997 •Medicaid activities 2000 <p>The program's roles are to provide documents and information that are required; without these, the project would not be successful.</p>	
<p>Discuss the importance of having trained and qualified staff to implement this program.</p>	<p>Dr. Benton and Dr. Loeffler stated in discussions with county staff need to have dedicated staff/unit that viewed the collecting of information and documents as their goal, as social workers are not dedicated to activities related to the application of federal funds, but instead they were dedicated to caring for the children.</p> <p>County employees could be performing this activities, but could be 'dragged off' to perform other activities and this work</p>	<p>Virginia Tech had the expertise to perform these activities;</p> <p>It was important for the FRU to be embedded into the operations of the program so there would be ready access to the foster care case files in addition to providing close communications between FRU staff and line social workers.</p> <ul style="list-style-type: none"> ▪ By embedding the FRU in county facilities, relationships with the program staff could be established and maintained ▪ With Dr. Kuhns and Dr. Loeffler at the 	<p>Trained staff is crucial for this work; "ain't gonna happen if the staff are not trained".</p> <p>The work is not rocket science, but it has to be done right; if the work is not done right, then the federal money will not come in.</p> <p>The value added is having a staff with specific goal to pursue appropriate funding sources (incl. SSI, IV-E, and IV-D).</p>

	<p>not be performed.</p> <p>A contract keeps the roles more clearly defined than if a social worker was performing the tasks.</p> <p>This is crucial because each role have a set of tasks they have to perform accurately and timely. The staff needs to understand how their tasks relate to other aspects of the program.</p> <ul style="list-style-type: none"> ▪ The staff has to know what they are doing; the unit cannot be in a position where the supervisor has to continue to check on their performance to verify the work is being performed. <p>Trained staff is crucial for this work</p> <p>Dr. Benton and his partner created the FRU staff manual (Title IV-E and SSA) and worked to make the staff feel comfortable in making a decision</p> <p>The Fairfax District Office of the Division of Child Support aided in the training.</p> <ul style="list-style-type: none"> ▪ Involvement in the child support process was very complex 	<p>university holding senior management positions, there was stable leadership on the contractors end</p> <p>The use of Graduate Research Assistants gave students experience in public service and how the delivery of services could take place</p> <p>The FRU is dedicated to a function; maximizing the funding streams, and they are “masters of the streams”</p> <p>The creation of the FRU removed a great deal of administrative activities from the staff (social workers and the Benefits Dept. staff)</p> <p>The FRU’s performance is tied to the completion of the tasks; this was not occurring with the line level staff</p>	
<p>Describe the relationship that existed between the county and the university prior</p>	<p>As the project was being implemented, relationships became closer because there was more interaction. The interaction involved the FRU staff, not the university’s Office of Sponsored Programs or Dr. Wolf.</p>	<p>Dr. Wolf and Sue Manzo had previous professional experience as they were involved in a number of restructuring strategies for the county’s Department of Human Development and Department of Manpower service prior to the initiation of</p>	<p>The initial relationships were with 1) Verdia and Jim, and “off we went” and between Dr. Benton, Dr. Wolf and Sue Manzo.</p> <p>Dr. Benton had been involved in an</p>

<p>to the contract, during the implementation and as the contract evolved.</p>	<p>Dr. Benton and Dr. Wolf had a close relationship (went to graduate school together) and the two of them knew Sue Manzo through other work with the county the university had performed with Dr. Orion White and Dr. Wolf.</p> <p>Relationships between Dr. Loeffler, Dr. Benton, Dr. Wolf and Sue Manzo existed prior to the implementation of the FRU contract.</p> <p>The county's increased awareness for public agencies to be more involved in contracting opportunities.</p>	<p>the FRU</p> <p>There was a personal relationship between Dr. Wolf and Dr. Benton</p> <p>The relationships and human factors that were involved between county and the university's management; for example: Dr. Wolf, Dr. Benton and Sue Manzo had previous professional experience</p> <ul style="list-style-type: none"> ▪ The relationship between Dr. Benton and the creation of the Department of Human Development <p>The contract has sustainability regardless of the personnel involved.</p>	<p>organizational development project with Dr. Wolf and David Hunn.</p>
<p>Describe the role of trust between the two organizations. Did it change as the contract evolved?</p>	<p>The relationships and trust that existed between Dr. Benton, Dr. Wolf, Dr. Loeffler and Sue Manzo led to the discussion for public/public contracting between the two organizations and making the contracting easy.</p> <p>Trust between the two organizations was seen as a 'high level'. The county could come to Virginia Tech for additional projects.</p> <ul style="list-style-type: none"> ▪ Example: former FRU Project Director, Eric Austin's involvement in the foster care prevention initiatives in the early 2000's. ▪ Dr. Kuhns' transition from the FRU staff to work on a project with the county's welfare reform (the VIEW) 	<p>Dr. Wolf and Sue Manzo had previous professional experience as they were involved in a number of restructuring strategies for the county's Department of Human Development and Department of Manpower service prior to the initiation of the FRU</p> <p>There was a personal relationship between Dr. Wolf and Dr. Benton</p> <p>There was trust with Tech management before the contract, specifically between Sue Manzo and Dr. Wolf as well as between David Hunn and Dr. Loeffler</p> <p>Quality and performance of past work adds and contributes to the trust between the organizations</p>	<p>Dr. Benton had a good relationship with Verdia Haywood</p> <p>The county was very impressed with Dr. Wolf (organizational development background) and Dr. Loeffler (at the university level)</p> <p>Dr. Benton's knowledge with revenue maximization; Verdia "loved them".</p>

	<p>is an example of the county liking what was taking place with the FRU's activities and the value the county saw in the work being performed and the fact that they recognized Carole was a highly capable person</p> <ul style="list-style-type: none"> ▪ Dr. Kuhns also became involved in additional studies the county wanted to perform, such as the child support visitation study. <p>There was a trust early in the project that was due to the relationship between a group of people Dr. Benton, Dr. Loeffler, Dr. Wolf and Sue Manzo.</p> <p>Most recently a meeting with county staff and management, someone commented the "FRU was the sharpest group around"</p> <p>The most recent Title IV-E Process Improvement project in which the current FRU Project Director participated in for over two years is an example of continuing trust.</p> <p>There was a trust early in the project that was due to the relationship between a group of people Dr. Benton, Dr. Loeffler, Dr. Wolf and Sue Manzo. Later, Susan Famellette was as supportive as David Hunn was when she assumed his role. I found Sharon to be very supportive initially as well.</p>	<p>There has been additional scopes of work due to the trust between the two organizations</p>	
--	--	--	--

	<p>David Hunn was very respectful of Dr. Kuhn's and knew that she was very knowledgeable in accomplishing the activities the university was contracted</p> <ul style="list-style-type: none"> ▪ The County's Title IV-E process Improvement Project included the current FRU Project Director <p>David Hunn would set up meetings between university and county management and staff and rely on Dr. Kuhns to attend without his presence</p>		
<p>Describe the communication structure between the organizations.</p>	<p>Hard copy documents Meetings Phone mail Early communication did not include email Currently instant messaging Electronic list-serves Shared network access- LAN based</p> <p>Hard copy documents Meetings each week and Weekly Report with David Hunn Reviewed the number of cases that were reviewed Reviewed the number of Title IV-E cases Reviewed the number of non-Title IV-E cases Reviewed the number of cases each Case Reviewer reviewed Phone mail Shared network access- LAN based data management systems</p>	<p>Communication was by phone There were monthly reporting mechanisms in place to report the project's progress and case reviews status Fax correspondence</p> <p>Currently the university and the county need to engage in a more proactive dialogue, specifically regarding the annual budget as the state and county's budget cycles are not on the same timeframe</p>	<p>David Hunn was the original DFS Project Officer</p> <ul style="list-style-type: none"> ▪ Reports went to him; ▪ He helped to show the savings to the county and show the outcomes of the project and the measurement of the work, held the project accountable.

<p>Were the methods of communication formal? Informal?</p>	<p>Informal and formal Meetings, telephone conversations</p> <p>Informal and formal Meetings, telephone conversations</p>	<p>Had meetings with Dr. Kuhns on a regular basis</p> <p>Implementation challenges were handled between Dr. Benton, Dr. Loeffler and David Hunn</p> <p>There is formal and informal communication</p> <p>Conduct periodic meetings; semi-annual (in previous contract) and currently quarterly</p>	<p>Distribute the Weekly Report to David Hunn. The distribution of the Weekly Report was expanded as the contract evolved.</p>
<p>Describe the structural changes that were necessary in order to implement the contract?</p>	<p>Hire Case Reviewers</p> <ul style="list-style-type: none"> ▪ Court Specialists positions (97) <p>From the Virginia Tech side, staff had to be hired and trained</p> <p>From the county's side, this created a new piece of organizational structure as a separate unit was hired to assume functions that were being performed to a certain extent</p>	<p>Changes to the contract to increase or decrease staff allow flexibility as this is much easier than moving county staff in and out of positions</p> <p>Over the years the staffing for the contract changed as the scope of work changed; specifically the addition of the Court Specialists positions (97) and then the Medicaid staff (2000)</p>	<p>From the Virginia Tech side, staff had to be hired and trained</p> <p>The initial training was conducted by Dr. Benton</p> <p>The county had to provide the space for the FRU and computer accesses.</p> <p>It was important to David Hunn the FRU be located "on-site" at the county facilities; he used the term "embedded" was used repeatedly. The FRU was to become "part of the process"</p>
<p>Did these changes continue as the contract evolved?</p> <p>Describe these changes.</p>	<p>New staff was hired when additional funding streams were added to the contract as well as when the job activities of existing positions increased or decreased.</p> <p>Examples include:</p> <ul style="list-style-type: none"> ▪ Court Specialists (there was originally a full-time Court Specialist and a full-time, 20 hours per week Graduate Research Assistant, then a 	<p>The Title IV-E funds increased as well as the penetration rate</p> <ul style="list-style-type: none"> ▪ The child support funding stream was added (late 1997) <p>Changes to the contract to increase or decrease staff allow flexibility as this is much easier than moving county staff in and out of positions</p> <ul style="list-style-type: none"> ▪ Specifically the addition of the Court 	<p>unknown</p>

	<p>half-time Court Specialist position was added, and eventually a second full-time Court Specialist was hired).</p> <ul style="list-style-type: none"> ▪ The project originally began with four Case Reviewers, there are currently two Case Analysts ▪ In 2000, when an additional source of funding was created, Medicaid, two full-time staff was hired by the FRU to perform new tasks. These are the Medicaid Case Analyst and the CSA Case Analyst ▪ The creation of a Project Coordinator in approx 1998 (eliminated in 2005) ▪ The positions of the full-time Graduate Research Assistant and the Project Coordinator were eliminated in 2005 in efforts by the county to reduce costs ▪ DCSE SES creation in 1977 and elimination in 2005 <p>From the Virginia Tech side, staff had to be hired and trained</p> <p>From the county's side, this created a new piece of organizational structure as a separate unit was hired to assume functions that were being performed to a certain extent</p> <ul style="list-style-type: none"> ▪ The FRU was not "taking over anyone's job at the county, only supplementing and supporting the work that was being performed, but not being performed to its highest level resulting in accessing available 	<p>Specialists positions (97) and then the Medicaid staff (2000)</p>	
--	---	--	--

	<p>federal funds</p> <ul style="list-style-type: none"> It was important to David Hunn the FRU be located “on-site” at the county facilities; he used the term “embedded” was used repeatedly. The FRU was to become “part of the process” <p>New staff were hired when addition funding streams we added to the contract</p> <ul style="list-style-type: none"> Examples include: Court Specialists (there was originally a full-time Court Specialist and a full-time, 20 hours per week Graduate Research Assistant, The project originally began with 3 FTEs –2 full time case reviewers and 2 half time Grad Assistants 		
<p>What was the role of contract accountability during the implementation of the contract? Has this changed as the contract evolved?</p>	<p>Not directly involved in this</p> <p>Performance management and accountability was a big issue</p> <p>not aware of the change in contract accountability as the project evolved</p>	<p>The university provided monthly reports documenting the IV-E penetration rate and reimbursements to the county</p> <p>The university provided monthly reports documenting the penetration rate and reimbursements to the county (contract deliverables)</p> <p>Over time we have gotten smarter about the process; we know there are factors the FRU has little or no influence or control over; we may saturate the penetration of available funds for the children.</p>	<p>Performance management and accountability was a big issue; “David Hunn scrutinized the work in a good way</p>
<p>What methods are used to performance</p>	<p>Performance management and accountability was a big issue</p>	<p>Reports and meetings with Dr. Kuhns</p> <p>There were monthly reporting mechanisms in</p>	<p>Weekly meetings with David Hunn</p>

<p>management the contract?</p>	<p>Deliverables</p> <p>Contract language documenting specific performance measures</p> <p>County's right to inspect the work</p>	<p>place to report the project's progress and case reviews status</p> <p>The university provided monthly reports documenting the IV-E penetration rate and reimbursements to the county</p> <p>Was not present beyond 1997</p> <p>Meetings, deliverables; daily communication, email, documents</p> <p>The university provided monthly reports documenting the penetration rate and reimbursements to the county (contract deliverables)</p>	
<p>Have these methods changes as the contract evolved?</p>	<p>Contract initially was to maintain a certain penetration rate for Title IV-E (50%- see page 31 of the Technical Proposal dated May 19, 1999).</p> <p>Currently, the contract states that all children will have their eligibility criteria reviewed and a Title IV-E recommendation made to county staff within 15 days of the child's entry into foster care, provided all of the information and documents are obtained</p> <p>Weekly meetings with David Hunn</p> <p>Discussions of the case reviews; the number of cases reviewed by each staff</p>	<p>Was not present beyond 1997</p> <p>As the contract evolved these methods became more "multi-faceted"; deliverables added as funding responsibilities added; the advancement of technology (email, etc.)</p>	<p>unknown</p>

	<p>and explanation of reasons why one staff may review more cases than another</p> <p>Dr Kuhn's is not aware of changes in the performance management of the contract as it evolved.</p>		
<p>What were the initial goals in implementing this model program? Did the goals of the contract change over time? If so, what were they?</p>	<p>Number one reason was the county wanted to get more money (revenue maximization).</p> <p>The county realized after the initial case review that children in foster care were not getting the money they were entitled from the federal government</p> <ul style="list-style-type: none"> ▪ For the county, #1 maximize federal funds the county received for foster care; Title IV-E, SSA benefits for children who qualify, establish child support orders, collect child support money for those parents with an order ▪ For the university, bring in indirect monies for CPAP and the college and support the fiscal well-being of the university <p>Project Director's purpose was to maximize federal funds the county received for foster care; find alternate sources of funding such as SSA benefits for children who qualify, establish child support orders, collect child support money for those parents with an order</p> <p>Facilitate a process to increase revenues for the county; there was a sense that revenue resources were not being</p>	<p>Increase the Title IV-E foster care caseload penetration rate and maximize revenues for the county as they struggled with huge foster care caseload and significant fiscal stress (previously discussed); these were the goals throughout the duration of his involvement with the project</p> <p>Increase the Title IV-E penetration rate and maximize revenues for the county as they struggled with huge foster care caseload and significant fiscal stress (previously discussed)</p> <p>Foster care social workers were overburdened and could not effectively accomplish their administrative responsibilities</p> <p>The goals stayed the same; to maximize the revenues and relieve the administrative burden from the county staff</p> <ul style="list-style-type: none"> ▪ As each new funding stream was added to the contract 	<p>Initial goals during the pilot project to review foster care cases, evaluate for Title IV-E potential.</p> <p>Maximize federal funds for the county to reimburse their foster care expenses.</p> <p>The goals of the contract have not changed.</p>

	<p>accessed.</p> <p>Initial goals to review foster care cases, evaluate for Title IV-E potential and gather relevant documents</p> <p>Additional goals were added in 1997 with the implementation of the child support portion of the FRU's activities</p>		
--	--	--	--

Sub Question Two: How do the elements of NPM and collaboration contradict or complement each other in this long-term contract?

<p>What role did interagency collaboration play in the implementation of the program?</p>	<p>Without collaboration, this project would not have happened</p> <p>There are deep interactions between the FRU and the county</p> <p>The FRU is physically enmeshed in the county to provide the services the FRU is responsible for. Information is needed by the FRU to perform their activities, and return to the county through the contract deliverables.</p>	<p>This has been discussed previously</p> <p>This has been discussed previously; DHD at the county; Dr. Wolf representing the university; Dr. Benton representing the private sector</p>	<p>Established a partnership between two public organizations (Virginia Tech and Fairfax County) and a private (Benton & Associates, Ltd.) organization.</p> <p>Interagency collaboration involving the foster care program and the CSA program to maximize their revenues.</p>
<p>Describe the collaborative activities that occurred during the implementation of the contract.</p>	<p>Without collaboration, this project would not have happened</p> <p>There are deep interactions between the FRU and the county</p> <p>The FRU is physically enmeshed in the county to provide the services the FRU is responsible for. Information is needed by the FRU to perform their activities, and return to the county through the contract deliverables</p>	<p>The county was just beginning their human services redesign activities; these included breaking down the stove pipes between organizations such as the courts, family services, and the community services board as revenue maximization crossed multiple agencies.</p> <p>The CSA had recently been created pooling the funds from multiple programs and organizations that had been stove-piped now had to work together.</p>	

		<p>Agencies in the county were merging and changes were taking place down to the program levels, not just at the department levels of the agency</p> <p>This has been discussed previously; DHD at the county; Dr. Wolf representing the university; Dr. Benton representing the private sector.</p>	
<p>Was interagency collaboration a common activity during this time?</p>	<p>These type of activities were fairly new to the child welfare field</p> <p>Ray Goodwin former VA DSS Deputy Commissioner was very instrumental in advocating that public agencies should take advantage of a university's knowledge and expertise</p> <p>Dr. Kuhns had extensive experience in collaborative types of work. Her previous experience included working in a variety of interagency collaboration.</p> <p>In general, projects often broad-based with multiple issues. However, individuals have focused areas of expertise and organizations have highly defined areas of work so collaboration is essential to have the highest level of expertise addressing comprehensive broad based programs.</p>	<p>The county was just beginning their human services redesign activities; these included breaking down the stove pipes between organizations such as the courts, family services, and the community services board as revenue maximization crossed multiple agencies</p> <p>The CSA had recently been created pooling the funds from multiple programs and organizations that had been stove-piped now had to work together</p> <p>Agencies in the county were merging and changes were taking place down to the program levels, not just at the department levels of the agency</p> <p>There was creativity/creative ideas, program expertise and experience with Dr. Benton and the university from the human services redesign</p> <p>There is ongoing coloration between the county and the university Haven't you guys had involvement with the state around IV-E audits, etc. and with</p>	<p>Interagency collaboration had to take place in order to "get things done"</p> <p>Prior to the implementation of the FRU, county programs operated as "silos within silos" and many had the mindset that it was not part of their job to do 'x' function.</p> <p>This project is unique "no other state or county was doing this".</p> <p>The Fairfax FRU as the model for a similar unit at the State and a (short-lived) entity in the Central Valley of California (in partnership with Fresno State University), and currently with a new unit being established in Hawai'i (in partnership with the University of Hawai'i).</p> <p>The project would probably not work everywhere.</p>

		training on changes to Medicaid over time, etc.?	
<p>Were characteristics of new public management (NPM) techniques and collaboration combined to implement this contract among state agencies for an innovative pilot program?</p>	<p>Entrepreneurialism:</p> <ul style="list-style-type: none"> ▪ example: Child support portion of the project was Dr. Benton’s idea and added after the initial implementation of the project. <p>This was a ‘wholly new’ concept.</p> <p>There was significant concern by Dr. Wolf, Dr. Loeffler, and Dr. Kuhns regarding the potential activities involved in the enforcement and collection of established child support orders. The university did not want to be involved in any child support activities other than the establishment of the child support obligations. Visions by Dr. Wolf were that VT staff would be ‘going door to door’ collecting money.</p> <p>Cost benefit analysis</p> <ul style="list-style-type: none"> ▪ FRU expenses vs. the revenues the county could bring in <p>Contracting</p> <ul style="list-style-type: none"> ▪ County’s increased awareness for public agencies to be more involved in contracting opportunities <p>Entrepreneurial/Innovative activities</p> <ul style="list-style-type: none"> ▪ Bill Benton’s company as private sector entrepreneur ▪ Sue Manzo’s management and 	<p>Entrepreneurialism occurring within the Department of Family Services in efforts to deal with their fiscal challenges</p> <ul style="list-style-type: none"> ▪ DFS Director Sue Manzo exhibited unprecedented new leadership in the redesigned the department • Conduct business differently for better outcomes • Leadership changes took place in the DFS when Sue Manzo • Previously, social workers assumed leadership roles in the department, now other management and staff with different skills were being placed in the positions; these activities “cut against the department culture”; there had been a “close grip” on the human services program until this point and a long held belief that only management and staff with a background in social work/human services were able to conduct the business of the department <p>Contracting</p> <ul style="list-style-type: none"> ▪ Cut against the department’s culture to do “in house” <p>Semi-privatization of the Title IV-E work</p> <ul style="list-style-type: none"> ▪ Broke the traditional roles of the DFS agency as well as the management and staff. There was an engrained belief among those in the human/social services sector that only management and staff with MSW degrees could 	<p>University and county partnership</p> <p>Non-traditional financing for county programs</p> <p>Entrepreneur/ Innovative way of doing business</p> <p>Performance measurement and accountability rather than simply administering a process</p> <p>If cases were found ineligible for Title IV-E we researched to make them eligible if possible</p>

	<p>redesign philosophy</p> <ul style="list-style-type: none"> ▪ This activity was quite new to contract for activities such as this, speaks to Sue Manzo’s vision of having non-social workers conduct this type of work. People with business and public administration background ▪ These type of activities were fairly new to the child welfare field ▪ Ray Goodwin former VA DSS Deputy Commissioner was very instrumental in advocating that public agencies should take advantage of a university’s knowledge and expertise <p>Outcomes vs. process driven activities</p> <p>Entrepreneur/ Innovative</p> <ul style="list-style-type: none"> ▪ This activity was quite new to contract for activities such as this, speaks to Sue Manzo’s vision of having non-social workers conduct this type of work. People with business and public administration backgrounds. <p>Performance measurement and accountability</p> <ul style="list-style-type: none"> ▪ Quantitative Results- had the ability to document the increase in the penetration rates and the increase in the county’s revenues; in a position to “show the numbers” ▪ “getting the cases reviewed” ▪ Identify children that are entitled to 	<p>perform this work. This paradigm was significantly changed during Sue Manzo’s tenure. Sue Manzo incorporated staff that had backgrounds to include public administration, management and budget.</p> <ul style="list-style-type: none"> ▪ Activities took place that changed the culture of the Benefits Dept. and the foster care program <p>Changes in conducting the county’s structure; managers were to conduct a Line of Business (LOB’s) review to identify their business scope.</p> <ul style="list-style-type: none"> ▪ For foster care, one items that was identified was the Title IV-E room & board maintenance subsidies and to claim the eligible resources ▪ Focused emphasis on cost avoidance and revenue maximization VERSUS program cost cutting. ▪ The county was just beginning their human services redesign activities; these included breaking down the stove pipes between organizations such as the courts, family services, and the community services board as revenue maximization crossed multiple agencies ▪ The CSA had recently been created pooling the funds from multiple programs and organizations that had been stove-piped now had to work together ▪ Agencies in the county were merging and changes were taking place down to the program levels, not just at the 	
--	--	---	--

	<p>the benefits and getting them changed so the benefit can be drawn down</p> <ul style="list-style-type: none"> ▪ Was chosen because of the high level of expertise and worked under the premise of “what we can do to help” <p>Interagency Collaboration</p> <ul style="list-style-type: none"> ▪ There was a lot of interagency collaboration going on for a variety of reasons. Generally, projects often broad-based with multiple issues. However, individuals have focused areas of expertise and organizations have highly defined areas of work so collaboration is essential to have the highest level of expertise addressing comprehensive broad based programs. ▪ A specific person or organization has a history in a particular type of area and looks for other organizations to partner with to work on the activity together. Cooperative agreements yield themselves to collaborative agreements. 	<p>department levels of the agency</p> <p>A redesign in the county’s human services agency</p> <ul style="list-style-type: none"> ▪ Sue Manzo created the Department of Human Development <ul style="list-style-type: none"> • Utilized consultants in forming a leadership team; the consultants included faculty from Virginia Tech (Dr. Orion White), Dr. Jim Wolf and Dr. Benton via a subcontract with VA Tech. • Director Manzo knew Dr. Benton and Dr. Wolf from graduate school. <p>Entrepreneurialism activities in efforts to deal with county’s fiscal challenges</p> <ul style="list-style-type: none"> ▪ Sue Manzo-Was visionary and entrepreneurial in cost containment activities ▪ There was no accountability at the line level (social workers); no aggregate responsibilities and quality improvement ▪ The programs (foster care and child protective services) benefited from the implementation of the activities; their role was to <i>cooperate</i> rather than <i>collaborate</i> with the project’s activities. The program’s roles are to provide documents and information that are required; without these, the project would not be successful <p>There was cooperation among the stakeholders (partnering)</p>	
--	---	--	--

		<p>There was creativity/creative ideas, program expertise and experience with Dr. Benton and the university from the human services redesign</p> <p>There is ongoing collaboration between the county and the university</p>	
--	--	--	--