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The New Jersey Fee-For-Service Model: Evidence of Social Entrepreneurship in a New Public/ Private Business Relationship

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THE NEW JERSEY FEE-FOR-SERVICE MODEL: EVIDENCE OF SOCIAL ENTREPRENEURSHIP IN A NEW PUBLIC/ PRIVATE BUSINESS RELATIONSHIP

by

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ABSTRACT

This dissertation focuses on a shift in the case management function in New Jersey's Division of Developmental Disabilities. The shift, predicated on the state operating within the Medicaid Home and Community Based Model, resulted in a restructuring from exclusively state operated services to a new public/private relationship. The focus of this study was the unique market opportunity that resulted and the engagement of social entrepreneurs. Using the framework developed by Dees (1998), the characteristics of a social entrepreneur were explored. Through semi-structured interviews with individuals who initiated new for-profit businesses in social services, data were collected that evaluated and compared their expressed motivations with the framework as a means of formally defining them as social entrepreneurs.

DEDICATION

I dedicate this capstone dissertation first and foremost to those people who accepted the challenge of leadership in both the government and private sector making possible the transformation to a Medicaid based, fee-for-service platform which today delivers high quality, outcomes based services to adults with developmental disabilities in New Jersey. Early adapters were visionaries who recognized the opportunity to improve the lives of almost 25,000 residents living with lifelong disabilities. The individuals themselves, their families and those that support them deserve recognition for their advocacy efforts.

I also want to recognize Dan Keating, Ph.D. and dedicate this work in his memory. His mentorship and encouragement created the foundation of my dreams to create an organization that strives to promote the best in people. He helped me recognize that through our differences we draw strength and everyone, regardless of their ability, deserves an opportunity to live life to its fullest.

Yes, Dan, the early years were like flying a plane while it was being built. I hope you'd agree that we've all done a great job piloting this plane.

Finally, I want to recognize my family for their encouragement. My parents have always been my greatest fans and my greatest inspiration despite some pretty quirky ideas at times. Their dedication to hard work and diligence has been my guide. For my daughter, Laura, you are my inspiration. Thank you for walking with me on this journey called "life".

ACKNOWLEDGEMENTS

My thanks go to those who helped make this work possible. I am deeply grateful for my doctoral committee, especially Joel Adler, chair of my committee. His steadfast faith and curiosity inspired me to create this work and labor on despite times of self-doubt. His generous investment of time and encouraging words were greatly appreciated. Larry Starr provided me with sage advice that led to a richer experience for me as I pursued my doctoral studies. He provoked my thinking and challenged me academically. For this I am eternally grateful. My dissetation is all the better for it. Donna Bouclier was more than my outside advisor for this dissertation. I am proud to call her a friend and a collegue. Her dedication to this field is unparralled. She is a gifted, insightful individual who has generously guided me through not only this work, but my entire career.

Special thanks go to my long time friend and editor of this dissertation, Jane Bliss. Despite personal challenges, Jane was a steadfast supporter, spending long hours combing through this document with the goal of making it look polished and professional. Her hard work paid off. I would have never managed to figure out the quirky nature of formating this lengthy document without her.

Finally, I want to acknowledge those who volunteered to contribute to the interview process for this dissertation. I believe that we all have a valuable story to tell. I treasure their willingness to share their experience with me. The field of social services is vast and there is plenty of work to be done. It is my hope that this dissertation, together with their experiences and insights, becomes a valuable resource to others who are considering the idea of social entrepreneurship.

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LIST OF ACRONYMS

DDD – NJ Division of Developmental Disabilities

DHS – NJ Department of Human Services

HCBS – Home and Community-Based Settings

I/DD – Intellectual/ Developmental Disabilities

CMS – Center for Medicare and Medicaid Services

FFS – Fee-For-Service

CFR – Code of Federal Register

CCW – Community Care Waiver

CCP – Community Care Program

ICF/ID – Intermediate Care Facility/ Intellectual Disability, otherwise known as Institutional Facility or Developmental Center

NJ – New Jersey

CO– Conflict of Interest

CASE – Center for the Advancement of Social Entrepreneurship

CHAPTER 1
INTRODUCTION

New Jersey Division of Developmental Disabilities Programs for Adults with Intellectual /Developmental Disabilities

Starting in 2012, New Jersey began to change how the state supports resident adults with intellectual or Developmental Disabilities (I/DD). The state instituted new programs and policies in response to the Center for Medicare and Medicaid Services (CMS) mandate through Home and Community-Based Services (HCBS). There have been many changes as the state shifted from disparate contract-based programs to more uniform Fee-For-Service (FFS) programs and person-centered service delivery models. This dissertation focuses on one of these changes, a shift in the case management function from the public to private domain and the nature of the entrepreneurial opportunity that developed at this time.

It is important to define Intellectual/ Developmental Disability (I/DD) to understand the benefits from these programs. According to a publication in June 2016, United Healthcare, a leading health insurance provider, stated in one of their publications that nearly 5 million people in the US have I/DD. (United Healthcare, 2016) This is a significant number of people. For this dissertation, the term Intellectual/ Developmental Disability (I/DD) is defined according to the New Jersey Department of Human Services criteria for eligibility in New Jersey. The definition is found in the publication, A Quick Guide For Families, published by the New Jersey Division of Developmental Disabilities (DDD), dated March 2020.

To be determined eligible for DDD services in New Jersey, an individual must:

- Be a New Jersey resident.
- Be Medicaid eligible.

- Meet the functional criteria of having a developmental disability and must document that s/he has a chronic physical and/or intellectual impairment that
    - Manifested in the developmental years, before age 22;
    - Is lifelong; and
    - Substantially limits the individual in at least three of the following life activities: self-care; learning; mobility; communication; self-direction; economic self-sufficiency; and the ability to live independently.

(NJ Division of Developmental Disabilties, 2020)

Medicaid Home and Community-Based Programs and the Waiver System

The Medicaid waiver system under CMS is essential for people with I/DD. Waivers are a federal statutory authority used for Medicaid HCBS services. They permit states to waive specific Medicaid requirements for how and where services are delivered. HCBS waivers make it possible for states to use federal Medicaid funding to offset the cost of non-institutional, community-based support services, giving states greater flexibility to design services that meet the unique needs of their population. (Fact Sheet: Home and Community-Based Services , 2014) (Lulinski, Jorwic, Tanis, & Braddock, 2018)

As part of the Affordable Care Act, CMS finalized service delivery requirements for states using waivers for federal Medicaid assistance under HCBS. HCBS rules guided overhauling the state's public welfare programs servicing adults with I/DD in New Jersey. (NJ Department of Human Services Home and Community-Based Services Final Regulation's Setting Requirements Frequently Asked Questions) Sweeping changes for those with I/DD occurred in program areas such as residential care, day services, employment support, case management.

The Importance of Federal Medicaid Matching Funds

In a press release dated October 4, 2012, Governor Chris Christie announced the new Medicaid reforms that launched these system changes. His positive and inspirational outlook foreshadowed financial relief. The press release noted:

> ‘We are showing once again that New Jersey is a national leader when it comes to reforming Medicaid to serve our most vulnerable residents in a more compassionate, effective, and complete manner,’ said Governor Chris Christie. ‘With federal approval of our reforms, we are now able to build on the strong record we’ve established in New Jersey of providing care to as many people as possible in-home and community-based settings so they can live and thrive as independently as possible among family, friends, and loved ones. These reforms not only strengthen the focus on treating and serving the individual first, but do so in a way that is cost-effective and sustainable for our state over the long run.’ (Christie Administration Gains Federal Approval for Medicaid Reforms to Bring More Compassionate Care to Most Vulnerable New Jerseyans, 2012)

It should not surprise the reader that public welfare systems are under much financial strain and scrutiny. For example, an online position paper by the Center on Budget and Policy Priorities, a nonpartisan research and policy institute, notes that states need more fiscal relief in the shadow of economic declines (Moffitt, 2015). States and the federal government have historically struggled with balancing the need for public assistance with budget constraints. Any effort to ease the strain on state budgets is viewed as a positive step.

Federal Medicaid is a critical part of the mix for programs to support people with I/DD. Medicaid funding provides states with matching funds for public welfare programs, thereby easing the financial burden on state tax dollars. The desire to have these matching funds in New Jersey and the benefits it would bring bound the state to adherence to federal CMS rules. This was the catalyst to creating the market opportunity examined in this research, the establishment of a public/ private relationship between the state and private for-profit and non-profit companies providing support coordination as a service that provides case management to people with I/DD.

Introduction of Conflict Free Case Management and Support Coordination

The shift to Fee-For-Service (FFS) and the move from the 1915c CMS waiver to the 1115 CMS Comprehensive Demonstration Waiver beginning in 2013 required sweeping changes in New Jersey. For our purposes, we focus on how the state-run function of Case Management was moved into the private/ non-profit sector by outsourcing this function. This was done in response to an ongoing trend toward conflict free case management. A key area involved in restructuring the service delivery model in New Jersey and the subject of this study was a shift in the entity that provides case management and a new public/private relationship which opened a unique market opportunity for social entrepreneurs. The new service in New Jersey was called 'Support Coordination.'

The Medicaid rules that came into play at this time required that New Jersey's Division of Developmental Disabilities (DDD) develop a way of providing case management in a "Conflict Free" environment. New Jersey was now mandated by Medicaid to design their service options around a fee-for-service programs that allow for freedom of choice without any undue influence by parties with conflicting interests. State leadership responsible for developing the design of the new programs decided that the best way to address this would be to allow for the establishment of independent, third-party for-profit and non-profit companies to replace their workforce of state employees who acted as case managers. There was to be a clear delineation between the state employees, direct service providers and support coordinators especially with regards to ensuring that there would be no bias or opportunity for self-interest to get in the way of providing the service recipient with all available options.

Conflict of interest and the idea of conflict free case management was not a new concept. Beginning in the early 2000s, there was a growing trend toward greater control by the individual served though programs that promoted self-determination. People recognized the need to have a line of separation between State workers, service providers and the role of an entity that assists with service planning. (Lollar & Cooper)

In an article by Marisa Scala and Tom Nerney wrote:

> The linchpin to the success of creative, highly individual budgets and life plans is the function that is variously referred to as independent support coordination, personal agents, or independent brokering. What is important with regard to this function is addressing the potential for conflict of interest. The support coordinator is a person who may help with plan development, assist in organizing the unique resources that a person needs and even assist with ongoing evaluation of these supports. (Scala, p. 58)

Conflict free case management was a fundamental change in how case management was delivered previously and serves to govern the ethics of case management and support coordination. The case manager's role is to provide unbiased information and resources to individuals inclusive of all options and choices. Support services and resources should also be recommended based on individual preference and not based on any other outside agenda. For example, a support coordinator associated with a specific direct service provider may purposely or unconsciously steer individuals to their services. Also, in their role of monitoring service delivery, they might be put into a compromised position when overseeing their own company's performance. It is felt that a case manager associated with a direct service provider, or a state employee for that matter, may unduly influence service choice based on real or perceived self-interests. (Nerney, 2018, pp. 79-84)

Previous Case Management Structures

It is important to note that New Jersey had non-state worker case management before 2012, and they operated as conflict free case managers. However, the program was not delivered in the same manner as the new program initiated in 2012 and was not part of the 1115 waiver. In New Jersey, there were three “Support Coordination Agencies” in place starting early in 2000 operating within the state’s “Real Life Choices” model. They were funded by contract, and access to support coordinators was limited and not available to all people served by DDD. During this timeframe, approximately 600 of the people served by DDD had support coordinators assigned to their cases. The Support Coordination Agencies also had different rules of conduct, responsibilities, and policies, as noted by Amado (2008, p. 6).

The New Jersey’s Real Life Choices program allowed people with I/DD to purchase community support services from different sources. It excluded traditional congregated services such as group homes and day programs. The program was flexible, but not offered to everyone and had fewer controls than the one that is in place today. A few examples of differences in policies between the two programs were: new requirements for employees to have college degrees, the necessity of pre-approval for all services, mandated face-to-face visits, and service recipient/guardian signatures on all service plans before service delivery. In addition, the electronic record-keeping software used, e-Record, while acceptable as a document repository, did not have the comprehensive functionality available in its later replacement, the current i-Record database.

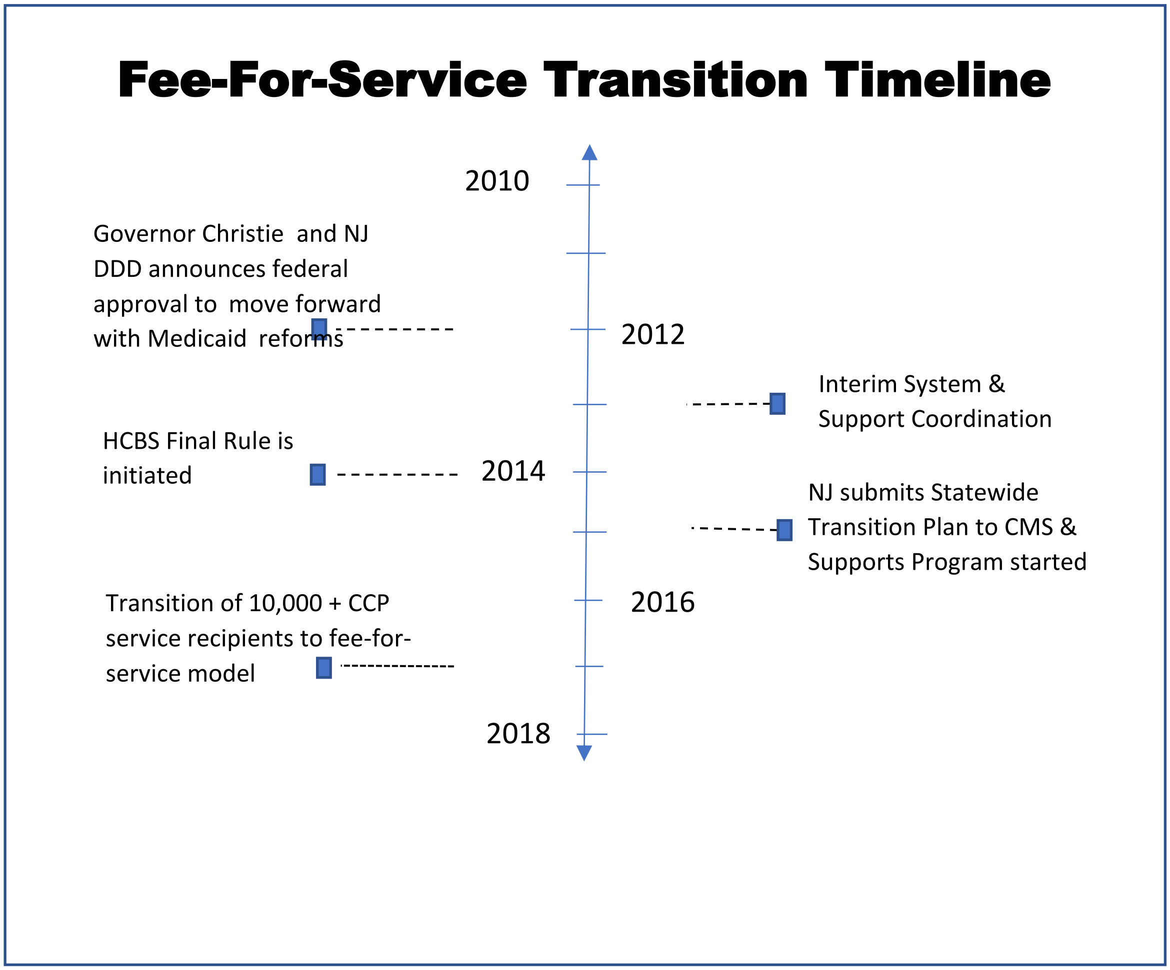
In the other legacy programs in New Jersey, state workers provided case management, frequently having caseloads of over 100 people, making it difficult to give individualized attention to each service recipient. Service providers were funded based on contracted rates and mandated capacity. Frequently, individuals served did not have a choice regarding their service provider. Services could not be easily customized. When a residential placement was needed, an individual often had no choice in the decision regarding the provider or location. Determinations were based on capacity, regardless of whether the placement fit the individual's needs beyond their health and safety.

The author is familiar with one case where a woman was placed in a group home or state-licensed home setting an hour and a half from her original home and family. She was well known in the town where she grew up and lived all her life. She often enjoyed walking to the local High School football games. The community knew her, and she felt comfortable and safe there. However, her placement, before the transition to fee-for-service and HCBS, did not include any choice in where she was placed. It is hoped that with the new programs in place, she will be able to go through the process of selecting a new group home closer to her family and friends.

Approval of the Fee-For-Service Model in New Jersey and Rapid Growth

Figure 1 presents a snapshot timeline of significant events and the transformation stage associated with the transition to FFS for New Jersey. It represents the timeframe pertinent to the events influencing this study.

Figure 1
Timeline for Fee-For-Service Transition in New Jersey



Interim System

In 2013, New Jersey DDD launched the “Interim System” in response to initial news about approval from the federal Centers for Medicare and Medicaid Services (CMS) for the Comprehensive Medicaid Waver (CMW) effective October 1, 2012. The reader may be interested in reviewing the initial announcements from the New Jersey Division of Developmental Disabilities in Appendix A and B for artifacts from this announcement.

The only people who were enrolled in the new “Interim System”, as it was called at the time, were those who were new to the DDD system. Eligible participants at this time were predominantly individuals who had just turned 21 and completed the transition period as part of their education entitlement. Some older adults who had never had any services before were eventually included as well. The Interim System became a sandbox for development of new protocols and procedures. Enrollment in the Interim System included a few thousand people. A new paradigm was launched. By excluding individuals already under services at this time, existing services were not disturbed until the HCBS waiver approvals were obtained.

Supports Program

The ‘Interim System’ was in place until 2015 when the state obtained approval from the federal Medicaid administration authority, the Centers for Medicare and Medicaid Services (CMS), to implement the new “Supports Program” as part of the state’s comprehensive Medicaid Waiver. There was an anticipated enrollment of over 10,000 people including those in the legacy system and new entrants combined. This represented the first half of the anticipated transition to the FFS model for New Jersey. The state anticipated a later approval of the program that covered residents of state licensed residential facilities which would eventually double the capacity of the programs. This was to come in 2017.

Over subsequent years, the Supports Program and the service model grew and matured. By 2016, formalized policies and procedures were introduced. Information technology systems were developed to support case management activities and providers were able to bill Medicaid directly for their services.

Community Care Program

In July 2017, the New Jersey DDD announced that it received approval from CMS as anticipated for those who live in state licensed, community based residential settings.

New Jersey now supports almost 25,000 adults with I/DD today within the scope of the two Medicaid-supported waiver programs, the Supports Program, and the Community Care Program. These programs replaced the fragmented and outdated models that were previously in use. Remnants of the older models are still in place but under very limited circumstances.

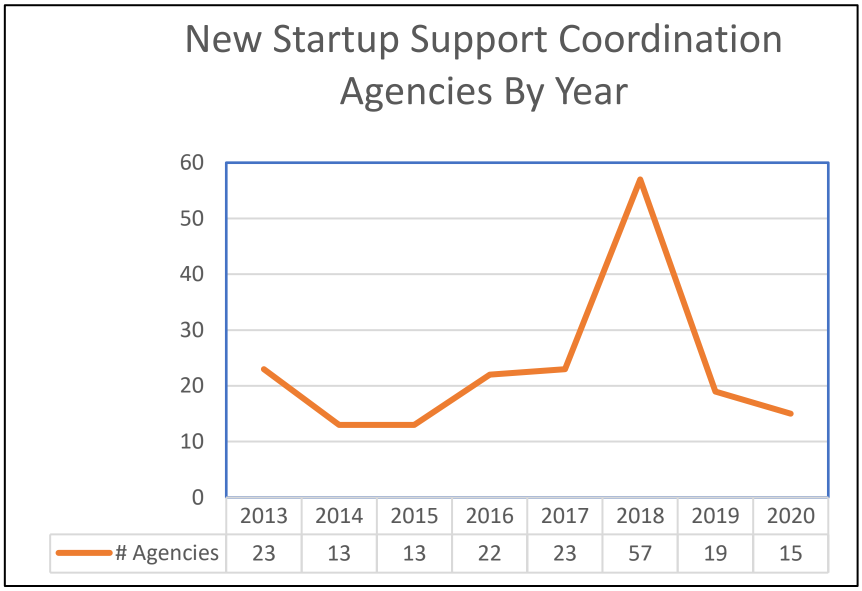
From 2017 to 2018, with the introduction of the second wave of participants, the DDD waiver programs underwent rapid growth, increasing from 10,000 to almost 25,000 participants statewide. According to a 2019 DDD Quarterly Update Webinar on December 11, 2019, 94% of the legacy systems had been converted to the Fee-For-Service system. At the time, this represented over 10,700 people in the Community Care Program and over 10,100 in the Supports Program. A total of over 20,800 people were enrolled by the end of 2019. (Seifried, 2019) As of the completion of this study DDD reported the number as 24,545 (Division of Developmental Disabilities, 2022).

Market Response to an Increased Demand for Case Management

As a result of this growth, the market responded by significantly increasing the number of new support coordination agencies. The agencies were needed due to their critical role in completing the profiles and paperwork required for enrolling people in the waiver programs. As part of the Medicaid agreement, New Jersey needed to adhere to an aggressive goal of just 12 months to fully enroll the individuals in licensed residential care into the new Community Care

Program. Given the time it took to enroll each participant and complete all paperwork, a large workforce was needed. Figure 2 shows the growth of new start-up support coordination agencies from 2013 to 2020.

Figure 2
Growth of Support Coordination Agencies in New Jersey



There was a spike in growth in 2018 due to the HCBS waiver approval for individuals in community residential settings and the start-up of the Community Care Program. Note the uptick in the number of service providers agencies in 2018 and the decline of new agencies in 2019 and 2020. After this spike in the number of individuals with I/DD entering the system, the numbers stabilized to previous counts, and the number of new agency start-ups declined in response.

General Research Challenge

The general challenge which underlies this dissertation concerns the results of the changes in the requirements for New Jersey to transition to Medicaid fee-for-service programs and specifically the outsourcing of case management. The characteristics of a social entrepreneur are examined against the backdrop of this transition. The task of documenting the early years of this transition is left to not much more than a collection of formal announcements, incidental collections of emails and personal antidotes. There is little to no documentation about the impact on the transition on the people receiving services, how businesses were impacted by the transition and how people perceived the changing environment. A study based on a business leadership perspective in this arena is a pioneering endeavor.

To help initiate discussion about that time and its impact, this study recognizes the idea of social entrepreneurship among business leaders who undertook to start agencies under the newly privatized function of case management. Many questions come to mind when considering these agencies. What motivated individuals to start-up businesses in this new model and what was their vision for their enterprise? What drew them to the new public/ private business relationship? What did they expect, and did they achieve that? Were they confident, socially minded, activists with a clear mission to change society or were they what might be considered traditional entrepreneurs with an eye toward profit and shareholder value?

With all of these questions in mind, it became apparent that it would be important to take a step back and define social entrepreneurship. Then move on to hearing about the lived experience of those who started businesses in the new environment and to begin to understand how social entrepreneurship played a role.

The resulting study looks at social entrepreneurship among independent, for-profit, companies that started between the years of 2012 and 2015. It attempts to use a framework developed by Gregory Dees to structure the inquiry and reflect on interviews with these business leaders.

Research Question

From the general challenge comes the following research question: To what extent does the Dees (1998) framework defining social entrepreneurs apply to those who started new business ventures under the New Jersey Division of Developmental Disabilities Support Coordination service delivery program?

The organization of this paper is as follows. After this brief introduction, there follows a summary of the transition to the Medicaid funded fee-for-service model including why the changes were necessary. There follows a review of the literature pertaining to social entrepreneurship in Chapter 2. Chapter 3 provides details about the research methodology used in this study. Chapter 4 expounds on the interviews conducted for the study and the data collected. The closing chapter discusses the results and conclusions.

Study Methodology

To address and respond to the research question, this dissertation conducted semi-structured interviews with pre-set questions and the opportunity for the respondents to provide further elaboration on their responses if desired. The questions were formulated based on a framework developed by Dees (1998). Chapter 3, Methodology, describes how the methodology was carried out. The interviews were conducted with a sample of eight individuals who have first-hand knowledge and experience with starting up a new venture in New Jersey's fee-for-service programs. The interview data were coded using the transcripts from the interviews. In doing so, dominant themes were identified and correlated to Dee's framework to examine the degree to which these individuals met the criteria to be labeled social entrepreneurs. Chapter 4 Results presents findings from this process.

Audience

This work is directed toward those interested in knowing what it takes to establish a new private company within a public/ private structure. As no previous study of the motivations and intentions of the study participants exists, there is clearly value, first and foremost, in recognizing their accomplishment. This research study and analysis is also a valuable artifact of this period and provides insight into the motivation of early adapters. There is increasing interest in providing individuals with Developmental Disabilities the power of self-direction (Molly O'Malley Watts, 2022). Practitioners and service recipients alike may be keen to know more about various program models and their practical applications. This study offers a starting point for those interested in starting their own companies or simply interested in knowing what it takes to operate in this kind of new business venture within the state of New Jersey.

Through linkage with social entrepreneurship, this study can provide a backdrop for future opportunities for research.

Summary

States receiving Medicaid funding for waiver services were compelled to change their structure based on a reliance on federal funding for assistance. Otherwise, they would not be able to continue to be eligible for the funding. As a result, the programs in place to provide community-based, fee-for-service models required an overhaul, including creating a new role for case management, and support coordination. In addition, this new role created a unique market opportunity for entrepreneurs interested in providing services in partnership with the state.

New Jersey started enrolling people into the fee-for-service programs with the assignment of support coordinators, the new case managers, in the spring of 2013 in what was then called the "Interim System." Starting in 2015 this program was converted to the Supports

Program. Over time as the programs matured and a third program was added, the system grew from a few thousand people, to close to 25,000 people today.

In the early years, many viewed it as a moving target. One stakeholder, Dan Keating, Ph.D., former Director of the Alliance for the Betterment of People with Disabilities, frequently referred anecdotally to the early days as akin to “flying the plane while it was being built.” While not a very comfortable place to be, it opened many possibilities for those who were ready for the challenge and, at its heart, prepared for positive social change.

Through semi-structured interviews with select participants who began support coordination start-up businesses after 2013, this study seeks to correlate dominant themes in their expressed motivation to initiate a new enterprise with the definition of social entrepreneur put forth by Gregory Dees a noted thought expert on social entrepreneurship. As a result, this study provides a basis for identifying the motivations of early adopters in the new fee-for-service programs.

CHAPTER 2
LITERATURE REVIEW

Introduction

Early entrants in the new case management model focused on developing new ideas and solutions that would fit the demand for greater flexibility, self-direction, and conflict-free programs that increased the choice and independence of those the system served. The owners of for-profit agencies offering support coordination in the new case management model have been selected as the focus of this study. Evidence of the characteristics of social entrepreneurship are investigated.

Social Entrepreneur

Value Creation

There is a difference between entrepreneurs who operate in the traditional commercial space and social entrepreneurs. As noted by Martin and Osberg (2007, p. 31), social entrepreneurs see and pursue opportunities that drive social innovation through a different form of value creation:

> Regardless of whether they cast the entrepreneur as a break though innovator or an early exploiter, theorists universally associate entrepreneurship with opportunity…Entrepreneurs are believed to have an exceptional ability to see and seize upon new opportunities, the commitment and drive required to pursue them, and an unflinching willingness to earn the inherent risks. (Ormiston & Seymour, 2011)

Profit is generally seen as an indicator of value creation with traditional entrepreneurial endeavors. (Ormiston & Seymour, 2011) It measures the entrepreneur’s ability to attract resources in a competitive marketplace, demonstrating productivity and superiority to others.

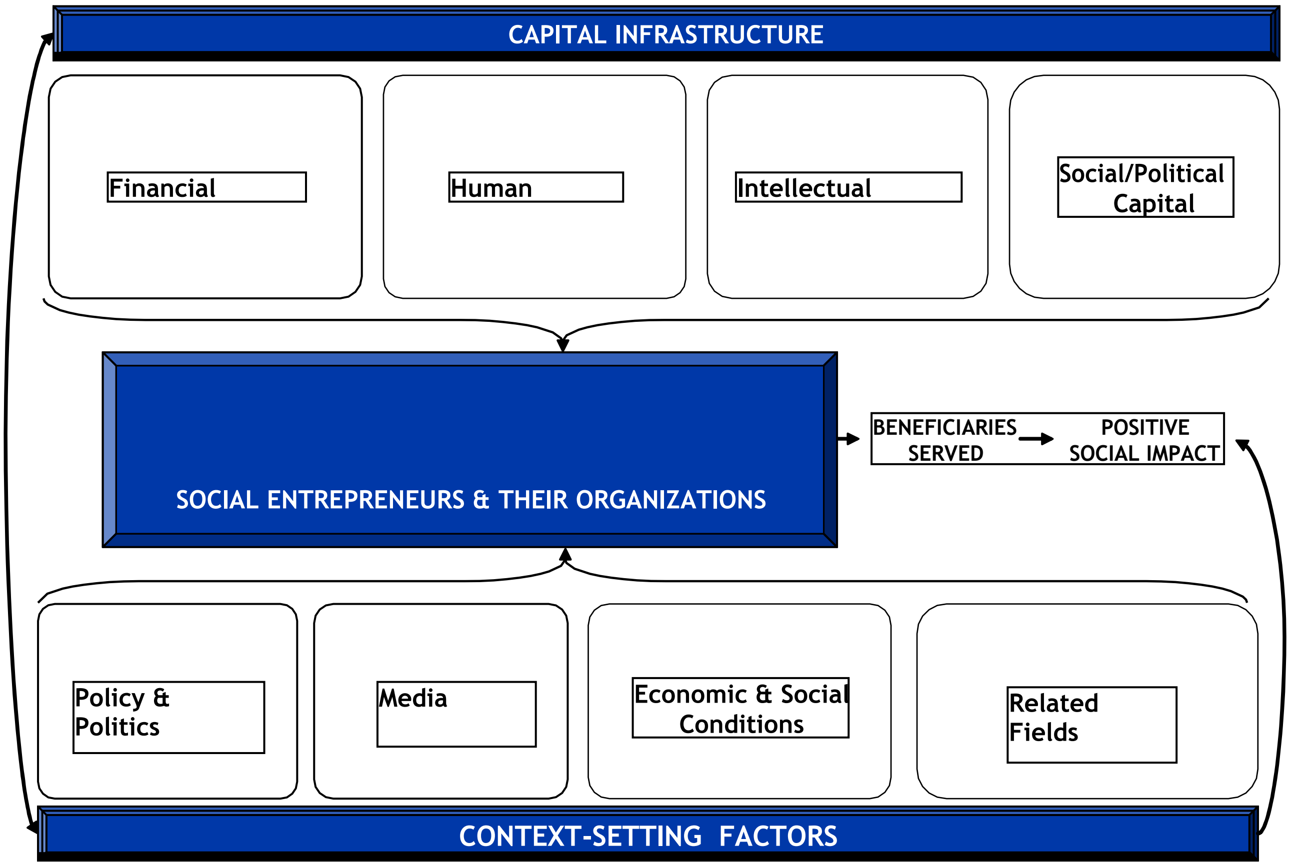
In contrast, the market response to the ability to attract resources and superior products is not necessarily the aim of social entrepreneurship. It is not easy to place a value on social improvements. When considering social improvement, the disadvantaged, neglected, and marginalized members of society do not have the resources or financial means to respond using economic profit as an indicator. (Ormiston & Seymour, 2011, p. 127)

Regarding a public/ private partnership, as we see in New Jersey, social value is created through this hybrid organizational form. In their article, Social Value Creation and Relational Coordination in Public-Private Collaborations, Nigel Caldwell et al. write that positive outcomes go beyond what could be created by each working alone (Ormiston & Seymour, 2011, pp. 125-150) (Caldwell, Roehrich, & George, 2017). Social value creation is the aim of a Social Entrepreneur.

Defining Social Entrepreneurship

Literature on social entrepreneurship ranges from approaches that establish a narrow definition to distinguish it from other pursuits, such as social activism and advocacy. Some believe that only people who bring about large-scale change can be defined as social entrepreneurs. The definition provided by Roger Martin and Sally Osberg in their article, “Social Entrepreneurship: The Case for Definition is a good place to start an examination of a social entrepreneur”: (Developing the Field of Social Entrepreneurship, June 2008)

Figure 3
Ecosystem of Social Entrepreneurship



Source: (Developing the Field of Social Entrepreneurship, June 2008)

The CASE study found that "For many participants, social entrepreneurship was a bridge to a better society, reforming the social sector, government and/ or the business world" (Developing the Field of Social Entrepreneurship, June 2008, p. 6).

Differentiating Social Entrepreneurs From Other Forms of Entrepreneurship

While many may not readily describe themselves as social entrepreneurs (Thompson, 2002), those who started up companies or ventures to provide case management in New Jersey can be viewed as such. Thompson believes social entrepreneurs exhibit the behaviors and qualities of a business entrepreneur but operate their business to benefit society where intangible and tangible assets are utilized. While potentially earning a profit, modest or otherwise, these individuals or organizations had a vision upon which they acted. They use social capital, creative start-up funding, and sweat equity to be successful in the field. In the end, there is an improvement in the lives of those most disadvantaged populations.

In Thompson's (2002) article, The World of the Social Entrepreneur, he lists determinates of success for social entrepreneurs as people who:

- Identify a needs gap and a related opportunity – which they understand;
- Inject imagination and vision into their answer;
- Recruit and motivate others to the cause in question and build essential networks;
- Secure the resources that are needed;
- Overcome obstacles and challenges and handle the inherent risks;
- Introduce proper systems for controlling the venture

Charles Leadbeater states that social entrepreneurs are entrepreneurial, innovative, and 'transformatory' individuals who are also: leaders, storytellers, people managers, visionary opportunists, and alliance builders. They recognize social problems and organize, create, and manage a venture to make social change (Leadbeater, Learning from the Extremes, 1997).

Samer Abu-Saifan (2012) defines four factors that define a social entrepreneur apart from other forms of entrepreneurship. He sees them as mission-driven, acting entrepreneurial in a way that that sets them apart, acting with a strong culture of innovation, and acting in a way that maintains financially self-sufficiency while also delivering social value.

Thought Leaders on Social Entrepreneurship

Abu-Saifan (2012, p. 24) provides a helpful overview of the varying definitions of social entrepreneurship by contrasting some of the prominent thought leaders as shown in Table 2.

Table 1

Thought Leaders in the Field of Social Entrepreneurship.

Source	Definition	Core Characteristics
Bornstein (1998)	A social entrepreneur is a path breaker with a powerful new idea who combines visionary and real-world problem-solving creativity, has a strong ethical fiber, and is totally possessed by his or her vision for change.	• Mission leader • Persistent
Thompson et al. (2000)	Social entrepreneurs are people who realize where there is opportunity to satisfy some unmet need that the state welfare system will not or cannot meet, and who gather together the necessary resources (generally people, often volunteers, money, and premises) and use these to “make a difference.”	• Emotionally charged • Social value creator
Dees (1998)	Social entrepreneurs play the role of change agents in the social sector by: • Adopting a mission to create and sustain social value; • Recognizing and relentlessly pursuing new opportunities to serve that mission; • Engaging in a process of continuous innovation, adaptation and learning; • Acting boldly without being limited by resources currently in hand; • Exhibiting a heightened sense of accountability to the constituencies served for the outcomes created.	• Change agent • Highly accountable • Dedicated • Socially alert
Brinckerhoff (2009)	A social entrepreneur is someone who takes reasonable risk on behalf of the people their organization serves	• Opinion leader
Leadbeater (1997)	Social entrepreneurs are entrepreneurial, innovative, and “transformatory” individuals who are also: leaders, storytellers, people managers, visionary opportunists and alliance builders. They recognize a social problem and organize, create and manage a venture to make social change	• Manager • Leader
Zahra et al (2008)	Social entrepreneurship encompasses the activities and processes undertaken to discover, define, and exploit opportunities in order to enhance social wealth by creating new ventures or managing existing organizations in an innovative manner.	• Innovator • Initiative taker • Opportunity alert
Ashoka (2012)	Social entrepreneurs are individuals with innovative solutions to society’s most pressing social problems […] They are both visionaries and ultimate realists, concerned with the practical implementation of their vision above all else.	• Visionary • Committed

Source:-(Abu-Saifan, 2012, p. 24)

Social Entrepreneurial Leadership

In his 1999 article, Social Entrepreneurial Leadership, Ganesh Prabhu distinguishes social entrepreneurial leaders as "persons who create and manage innovative entrepreneurial organizations or ventures whose primary mission is the social change and development of their client group" (Prabhu, 1999).

As shown in Table 2, people define the core characteristics of social entrepreneurs as mission leaders, opinion leaders, manager leaders, change agents, or social value creators. Agusto Felicio and colleges conducted a study in 2013 to look at the extent to which transformational leadership impacted social value in organizations in Portugal. They found that if conditions were favorable, the organizations in the study achieved results through the influence of a transformation leadership style, while in unfavorable conditions, the actions of the social entrepreneur themselves created social value (Augusto Felicio, 2013).

Given the many different views of the type of leadership involved, and based on Felicio's study, it may be that the leadership style of a leader is not necessarily a determinate of success. Rather, it may be the individual who assumes a leadership role through social entrepreneurial endeavors that determines success.

Gregory Dees (1998) Framework

Literature on social entrepreneurship and social entrepreneurial leadership varies in definition, providing both narrow and broad definitions and efforts to distinguish it from social activism and social advocacy. In the 2008 CASE study, "Developing the Field of Social Entrepreneurship," the authors took a broader view of social entrepreneurship than other thought leaders.

Prior to the CASE study, their founder, Gregory Dees developed a framework that provides a straightforward, verifiable definition of social entrepreneurship. As such, it was determined that this would be an excellent tool to use for this study.

Dees found that social entrepreneurs exhibit the behaviors and qualities of a business entrepreneur but operate their business to benefit society where intangible and tangible assets are utilized. Dees qualifies the social entrepreneur as “one species in the genus entrepreneur” (1998, pg. 3). He does not seek to glorify the individual by assigning lofty aspirations and super-human traits.

For him, the social entrepreneur is seen as a leadership type, a specific breed of leader. While possibly an idealized definition, it nevertheless serves as a verifiable social entrepreneurship model. As Dees writes: “Should everyone aspire to be a social entrepreneur? No.” In Dee’s view, not every social sector leader is an entrepreneur. The same is true in business. Not every business leader is an entrepreneur in terms of definitions by thought leaders such as Schumpeter, Drucker, and Stevenson (Abu-Saifan, 2012, p. 23).

Connecting Dees’ Framework with Public-Private Business Relationships

In the rhetoric from New Jersey’s DDD organization, especially when the change from case managers to support coordinators occurred, we hear about the potential for a more efficient and innovative service delivery model. Dees recognizes the power of social entrepreneurship in public-private business relationships as effective change agents in the social sector.

> Social entrepreneurs have an important role to play, whether it is to complement or supplant government efforts. They are better positioned to innovate and experiment than government agencies.

> They have flexibility in how they serve their missions that should allow them to be more efficient and effective (Dees, 2007, p. 27).

This study involves using the framework which Dees developed to define a social entrepreneur as the basis for the interviews that form the body of the research data for this study. Worsham (Worsham, 2012) described Dees as the "Father of Social Entrepreneurship Education." He founded and directed the Center for Social Entrepreneurship (CASE) at Duke University. Previously, Dees taught at Stanford University. In 2007, he received the Lifetime Achievement Award in Social Entrepreneurship Education from the Aspen Institute and Ashoka.

Five Characteristics Defining Social Entrepreneurs

Dees first published his framework of the five characteristics that define a social entrepreneur in his seminal work, *The Meaning of "Social Entrepreneurship*," in 1998. He recognized that the phenomenon was not new, it just started to be named and studied. As the new term started to gain popularity, he sought to provide definition and structure to the concept (Dees, Haas, & Haas, 1998) A year earlier, in 1997, Charles Leadbeater published a series of report. In this year he published, The Rise of the Social Entrepreneur, "one of the first reports on social entrepreneurship ever published" (Leadbeater, Learning from the Extremes, 1997). With the work of Leadbeater and Dees, the study of social entrepreneurship took hold, as evidenced in Samer Abu-Saifan's summary in Table 2.

Figure 9 details the framework developed by Dees in his 1998 publication. He created the framework based on what he saw as the five characteristics of a social entrepreneur. This was used as a foundation for the definition upon which this study is based, as discussed in greater detail in Chapter 3.

Table *2*.

Characteristics of a Social Entrepreneur Dees (2007) framework

Dees' Framework:
• Mission to create and sustain social value (not just private value) • Recognizing and relentlessly pursuing new opportunities • Continuous innovation, adaptation, and learning • Bold action in the face of limited resources/ information • Heightened accountability to the people served and for the outcomes created.

CHAPTER 3
METHODOLOGY

Introduction

The epistemological position or means by which knowledge has been gathered for this study, is that relevant data is believed to be contained in the thoughts of individuals who experience a unique phenomenon. To obtain data on these thoughts, interviews were conducted using a semi-structured format allowing for both targeted questioning and opportunity for elaboration between the interviewer and interviewee.

Research Question

The following research question guided this dissertation: To what extent does Dees' framework defining social entrepreneurs apply to those who started up new business ventures under the New Jersey Division of Developmental Disabilities Support Coordination service delivery program? To obtain a better understanding of whether those who started Support Coordination Agencies in the early years could be considered social entrepreneurs, according to the Dees (198) framework, leaders of early start-up, for-profit, support coordination agencies in New Jersey were interviewed.

Institutional Review Board

Review and approval of the methodology applied in this research was approved by the Thomas Jefferson Institutional Review Board (IRB) prior to data collection. This project was exempt from the IRB review process because it was found to not meet the definition of human research. See Appendix F.

A Customized Methodology Based on Phenomenological Roots

A phenomenological methodology was initially considered for this study. Subsequently, it was determined that while taking certain aspects from the phenomenological approach, such as using interviews to collect qualitative data and methods to check for research bias, this study has unique characteristics that do not fit a textbook definition of phenomenology. The following are a few examples of why this is the case.

A phenomenological approach to research has a basis in philosophical and psychological traditions (Seidman, 2019) . The goal of this approach is to understand the true essence of a participant's experience from their subjective point of view. This study does not seek a universal truth or an understanding of psychological motivation as might typically be supposed with phenomenology (Umanailo, 2019). A study involving such would require both an in-depth understanding of psychological knowledge and resources which are not available or applicable to this project. Instead, the focus is on the subject's retelling of their experience (Neubauer, Witkop, C, & Varpio, L, 2019).

While self-reported information is subject to personal bias, predispositions, and preconceptions, the data collected should not be discounted. It represents the unique perspective of the subjective lived experience or, in other words the individual's perceptions of their experience. It may differ from one person to the next but is nonetheless a valid, true representation of an experience.

Phenomenological research assumes that the interviewer is not familiar with the subject matter at hand or former acquaintance with the interviewee. (Seidman, 2019) This approach typically requires that the researcher remove all personal knowledge and potentially refrain from doing any literature review on the subject matter before interviews. (Lopez & Willis, D. G.,

2004) Scholars also frequently mention the need for multiple interactions with interviewees, mentioning three conversations as an ideal number.

Using Interviews for Qualitative Research

Regarding the use of interviews for qualitative research, one author writes that the researcher needs to strive for subjective understanding but should also be modest about their expectations (Seidman, 2019, p. 17). With this modesty, the author went forward with her inquiry, recognizing the limitations of being unable to be completely neutral or lacking previous experience in this topic area. Personal bias in this field of study is present, and this was intended to be transparent with the interviewees. Experience is key in this study and allowed interviewees to speak freely to someone who is a colleague and knowledgeable about the subject matter. A rapport was quickly established because the author demonstrated empathy and understanding of the subject matter. There was a curiosity to learn how others view and feel about the start-up of new organizations in this public/ private partnership. The questions were carefully constructed so as not to lead the interview toward the author's personal bias.

> "It is through the connection of many 'truths' that interview research
> contributes to our knowledge of the meaning of the human experience"
> (DiCicco-Bloom & Crabtree, 2006, p. 40)

A point of departure when developing the research methodology for this study was the work of Seidman (2019) and his book, *Interviewing as Qualitative Research*. He encourages people to use and recognize interviews as a method of qualitative data generation. He proposes that value should be attributed to a person's lived experience and suggests, "At the heart of interviewing research is an interest in other individuals' stories because they are of worth"

(Seidman, 2019, p. p. 9). Seideman's book encouraged the use of interviews as a scientific method of merit.

Michael Quinn Patton: Interview Principles and Skills

The writing of Michael Quinn Patton, *Qualitative Research & Evaluation Methods* (Patton) was reviewed for more about qualitative interviews. He warns that interviewing is a skill that requires learning and practice. As a caution to the reader, he recommends that the interviewer be cognizant of the potential to be overconfident about their competence. Therefore, he recommends frequent practice and feedback. At a minimum, the interviewer should be aware of their skill level. In response, the reader should know that, while the author is not practiced in interviewing for data analysis and academic research, active involvement in social services has given the author many years of practice in interviewing for the purpose of collecting data and documentation.

As an example of Patton's warnings, he cautions against leading questions and recommends avoiding dichotomous questions which elicit either a "yes" or "no" response. This can be done by making specific questions start with words like "what" and "how" as opposed to "did" or "were." Additionally, one should also ask singular questions that are clear and easily understood within the context of the topic area. Questions are improved when they are open-ended, neutral, singular, and straightforward.

Patton recommends that "qualitative Interviewing can be deepened through thoughtful, focused, and distinct questions" (Patton, p. 452). The fact that the author is a colleague and has similar experiences helps with the clarity that can be achieved by understanding the language that interviewees use among themselves in talking about their experience. Through, the course of the interviews vocabulary and vernacular was used to improve understanding between the interviewer and interviewees. It also improved the quality of the data obtained (Patton, p. 454).

Patton lists ten interview principles and skills, cautioning the interviewer to be mindful of their interaction with the interviewee. He writes of ten principles which were used as a guide for the interviews. He suggests the interviewer cultivate competencies as paraphrased below:

1. Ask open-ended questions that invite thoughtful, in-depth responses.
2. Questions should be clear, focused, and answerable.
3. Be a good listener; respond in a way that lets the interviewee know they were heard.
4. Probe for clarification and to elicit complete responses.
5. Watch the interviewee and adapt the interview to fit their reactions.
6. Be non-judgmental and neutral while showing interest in what the person has to say.
7. Be attentive to transitions from one topic to another to ensure a smooth flow of the interview.
8. Distinguish types of questions between those looking for a description, attitude, knowledge, behavior, or feeling.
9. Prepare for the unexpected, be flexible and responsive.
10. Stay attentive to the interviewee, avoid becoming distracted or inattentive.

It was found that Patton's principles are not unlike the concept of active listening, where one enters a conversation intending to pay deeper attention to what is said, demonstrating acceptance for what is said, asking clarifying questions, and acknowledging the validity of the person's comments.

Using Semi-Structured Interviews

Semi-structured interviews were used to obtain qualitative data for this study. This study takes advantage of the knowledge and experience of a peer group to establish the meaning-making process. Information was gathered from people to allow them to co-create meaning in this research by reconstructing their experiences. For that reason, structured surveys or questionnaires were not used to gather data. Instead, semi-structured interviews provided the data source for this study to surface the experiences and perspectives of the individuals, entrepreneurs, who operated within the newly formed programs in New Jersey.

Barbara DiCicco-Bloom and Benjamin Crabtree encourage researchers to use interviews as a qualitative data collection method. The authors cite that interviews allow a researcher to capture "meanings that life experiences hold for the interviewees" (DiCicco-Bloom & Crabtree, 2006).

The main characteristic of semi-structured interviews is that they are formal encounters where the interviewer sets the overall structure. While questions are defined ahead of time, the interview format allows for prompting and probes to encourage information sharing that broadens understanding and further explores answers. In a semi-structured interview format, the interviewee has the freedom to determine or control how much they say and how to express it in their own words (Drever, Using Semi-Structured Interviews in Small Scale Research: A teacher's guide, 1995).

Gregory Dees' Framework as a Basis of Inquiry and Interview Questions

Dees developed a framework of five characteristics unique to a social entrepreneur. Five interview questions were created to explore those characteristics with the expectation that responses will illustrate each of the characteristics based on the unique experience of the interview subject. The answers given in the interview were then correlated to Dees' framework. Figure 6 presents the elements of the framework and the proposed interview questions corresponding to each characteristic.

Table 3
Interview Questions Used to Examine Dees' Framework

Dees' Framework Components:	Interview Questions:
1. Mission to create and sustain social value (not just private value)	Why did you create your agency?
2. Recognizing and relentlessly pursuing new opportunities	What assumptions did you hold?
3. Continuous innovation, adaptation, and learning	Describe your approaches and motivations when building your company.
4. Bold action in the face of limited resources/ information	When the new FFS model started, there was a lot of ambiguity. How did you handle this? Did you have any specific strategies?
5. Heightened accountability to the people served and for the outcomes created.	What do you feel are your greatest assets?

Data Collection

In the fall of 2022, interviews were conducted with individuals who own support coordination agencies in New Jersey. These agencies are independent, for-profit companies and provide only support coordination services. The agencies were contacted using information found on the internet and the list DDD posts on their website listing details about providers of services. Emails were sent and there were follow-up phone calls. Of the original list of thirteen agencies, eight interviews were completed. This represents 61% of the possible interviewees.

The entire corpus of data which resulted from transcribing the eight interviews was an overwhelming amount of information. Therefore, a systematic process was needed to break down the data into meaningful data sets to allow for analysis of this qualitative data. Four stages were identified for this purpose. The stages included data management, data condensation, data display, and drawing and verifying conclusions.

Table 4
Four Stages of Qualitative Data Analysis

Stage	**Actions Required**
Data Management	Establish naming conventions and organize raw data
Data Condensation	Select, focus, simplify and abstract data
Data Display	Create a format that will facilitate comparison
Drawing and Verifying Conclusions	Observations based on careful rereading of raw data, coding to label sections of text in the raw data, identifying similarities, reflecting on emergent patterns

Source: (Miles MB H. A.)

Study Timeframe

An end to the "early years" is defined in this study as the start of 2016 just before the announcement in July 2017 that the system would soon more than double in size. Recalling Figure 2, start-up agencies went from 23 the first year to 13 new agencies in the next two years. In 2016, the number went up to 22, then 23, and in 2018, it hit a record high at 57 new start-up agencies. As of 2016, when the number of new start-ups almost doubled, the model showed signs of maturity.

The growth in 2017 changed the market size and diversity, creating a significant change in the environment. The program design had reached a level of maturity at that point that significantly altered the environment for new start-up companies. The business opportunity was different due to the doubling of the market and the maturity of the model. Examples of that maturity are, for example, the establishment of official Policy and Procedure Manuals, formalized Medicaid billing procedures, a mature I/T infrastructure, published protocols for frequently used services, and a better understanding of the program by all stakeholders.

Study Participant Considerations

The new public/ private business venture opportunity began in 2013 when the New Jersey Division of Developmental Disabilities started the transition to the fee-for-service programs. The participants selected to complete the interview process include only new start-ups in New Jersey between 2013 and 2015. These were the first few formative years which established the basis for future businesses that joined once the system was more firmly established. The three agencies known under the term of 'support coordination' which existed before 2013 or agencies that have multiple services in addition to support coordination were excluded as they are not new start-up agencies. This allowed for better focus on a narrowly defined group of individuals who are assumed to have similar experiences with initiating a new business venture.

Another factor for consideration was whether the agency completed the initial stage of oversight, thereby demonstrating their competency and understanding of the new program. This oversight included careful monitoring and tutoring by state employees familiar with the activities involved in the old model of case management. Once DDD representatives determined that the agency had a sufficient level of competency, the agency was then released to a higher level of authority and independence. This level of control meant they were allowed to finalize documentation and pre-authorize the release of funds for services on their own. Three agencies that started in 2015 have not obtained this level of approval six years after their start-up. They were therefore excluded from this study.

Agencies that started up during the formative years of the system and before the release of 10,000 cases in 2017 faced a greater level of uncertainty than those who started up later. Earlier on, there was less structure. The fee-for-service system did not start as a fully formed program. In the first years, paper forms, manual billing, and limited information were available. In the earliest time, 2013-2014, there were few systems, structures, formal policies, or procedures. The first Policy and Procedure Manual came out as a draft in March 2014. The manual was released one full year after the program started.

Proposed Study Participants

In the first three years of this program, forty-nine agencies started support coordination services. They were a mix of non-profit and for-profit agencies. Some were new start-ups and others were existing agencies providing other services. The initial sample size for this study is thirteen individuals who were among the first to establish independent for-profit businesses in the new public/ private partnership in New Jersey. Of the initial thirteen company owners, eight agreed to be interviewed for this study. The sample size was selected as only for-profit, independent start-up companies to facilitate a focus on a specific experience. The design for the research interviews included invitations to agencies in table 5. A sample of the invitation can be found in Appendix D.

Table 5
Agencies Invited to Participate in Study

Agency Name	Year Started
Disability Services and Advocacy	2013
Skylands Family Support	2013
Angel Behavioral Care Services	2014
Experienced Support Coordination	2014
PRISM Support Services	2014
Supportive Choices	2014
NLC Supports	2014
A Second Touch	2015
New Avenues	2015
SPWA Services	2015
Infinity Today	2015
Alexander's Vision Community Services	2015
Prestige Support Services	2015

Protection of Data Integrity

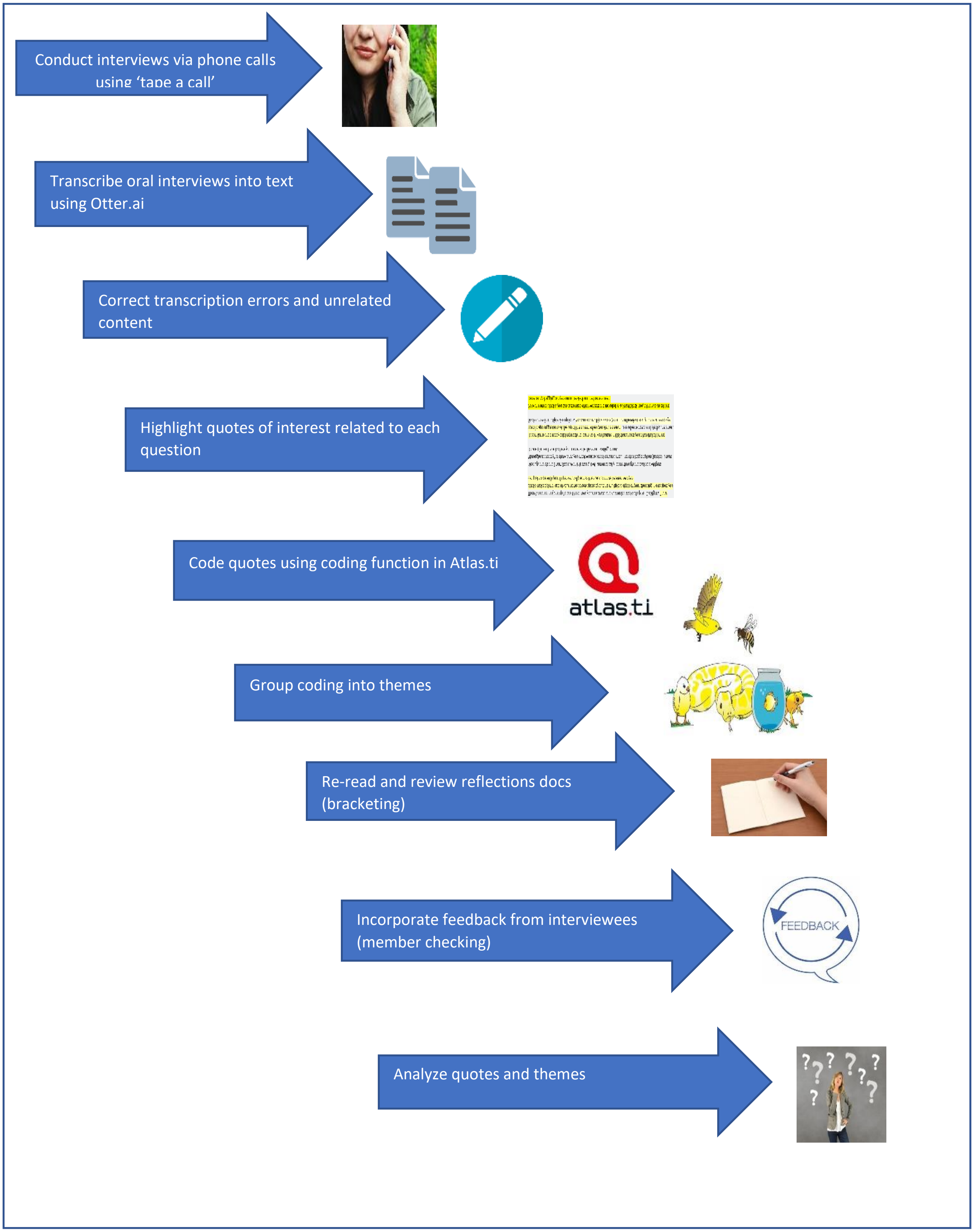
To protect anonymity and exposure, all data used to identify the participants was scrubbed and masked. Participant names and identities were removed from the data and replaced with non-descript identifiers. The key to these pseudonyms will be kept in a password-protected file and destroyed upon completion of this study and acceptance by all committee members.

All notes, forms, transcriptions, and data was stored on password-protected files on a single computer. They will be destroyed after dissertation defense or within five years of creation, whichever came first. Digital copies of consent forms will be kept for five years.

Research Process Map

To clarify the research process and as a reflection of the four stages of qualitative data analysis pictured in Table 3, Figure 4 outlines a process map of the steps taken to condense the interview data into manageable parts for the purposes of analysis. Following the figure are detailed descriptions of technologies and evaluation methods used in the process.

Figure 4
Illustration of Data Collection and Coding Process



Technologies and Evaluation Methods Used in the Study

Tape-a-call

The interviews were taped using an application called “Tape A Call.” Each interview began with the agreement to be recorded by the participant. Upon explaining that the purpose of the recording was for note taking purposes and that the recording and my notes would be destroyed once my project was complete, unanimous approval was received.

The recordings were exceedingly useful as they could be listened to multiple times and revisit the tenor or course of thought in the conversation. They also allowed for validation of the transcribed text that was generated in the next phase of my data processing. The data collected was reviewed multiple times to identify key phrases, responses, and trends.

Otter.ai

An application called “Otter.ai” was used to transcribe the recorded interviews into text. Otter. Ai is a speech to text transcription application using artificial intelligence. This software allowed for better engagement in the interview, allowing all parties to be fully present with the individuals during the interviews without the need for extensive notetaking. The transcriptions are an exact duplicate of the conversation in text form which could then be annotated.

For the coding process, text was edited in Otter.AI to remove unnecessary commentary including casual conversation that did not pertain to the interview content.

Atlas.ti

After the text was stripped of unrelated content, it was imported into software called “Atlas.ti.” Atlas.ti is a computer-assisted qualitative data analysis software application. This software was used to facilitate analysis of qualitative data. This software facilitated the process of further review of the text and coding it for analysis.

Structural and Thematic Coding

By isolating quotes pertaining to each question, the statements could be reviewed and grouped by key word or code. This allowed for systematically condensing the transcripts into codes providing an overview of the responses. This is called structural coding (Miles MB H. A., 2014).

When structural coding was complete, there was a review of the corpus of the data, or full complement of all the interviews combined. Thematic coding (Miles MB H. A.) was then used to label common themes across the interviews. This allowed reflection on topics that seemed to repeat across the data set. The coding, quotes and resultant themes comprise the final data sets.

Bracketing

Preliminary research for the methodology of this study uncovered the doctoral dissertation of Donna Marie Barrow, A Phenomenological Study of the Lived Experiences of Parents of Young Children with Autism Receiving Special Education Services. Her research came to the author's attention because her field of study is in social services and concerns people with a type of developmental disability.

Of interest in her work was her use of techniques called "bracketing" and "member checking" as ways to focus and process her reflections on the interview progression. These techniques were used to assist with providing feedback on the interview process as Patton suggests. These techniques were borrowed for this study to help structure the analysis as well (Barrow, 2017, p. 94).

The activity known as bracketing is a technique that attempts to elevate the researcher's consciousness of the meaning of data collected and remove bias in cases where there is prior knowledge (Wall, Glenn, S, Mitchinson, & Poole, 2004) (Zahavi, 2020, p. 6). "Bracketing is the suspension of all suppositions to isolate an individual's true lived experience" (Barrow, 2017, p. 93).

Bracketing involves maintaining a journal which is used as a means of controlling for researcher bias. The journal contains reflections after each interview and through the process of coding. The reflections include field notes such as personal assumptions, feelings about the process, and any bias identified through self-reflection. In addition, the personal journal contains notes on what the researcher thought and felt through the process. The journal will be maintained until the dissertation is approved and retained until it is no longer of value.

Member Checking

Member checking was used in this study. Interview participants were sent an email which reviewed observations on the interview data after it was coded. This was an opportunity for participants to concur, disagree or further elaborate on the findings. Participants were encouraged to comment and reflect on the dominant themes identified in the coding process as a means of validating the data. Their comments are included in the final report as a form of feedback and confirmation. Member checking is also a second means, in addition to bracketing, to neutralize researcher bias.

Researcher Bias

Using interviews, the author remained true to her core belief that one can only understand the meaning of someone's interactions through dialog. Therefore, it is essential to be open to listening to how people perceive the events around them. As a researcher, the author planned to stay open to ideas that challenged personally held beliefs. The tools mentioned earlier, such as bracketing and member checking, provide a vehicle to assist in that endeavor. However, as someone who has direct experience in this field, have natural biases and cannot be completely uninvolved in collecting data. Therefore, the author's personal knowledge helped to probe for more details when possible.

The data collection and coding process given that it is done manually and reflects the author's personal biases as the interviewer, should be viewed as such, but nevertheless, should be considered a valid result of the nature of qualitative research methods. Whenever possible, a direct quote was chosen as a better representation of the meaning in the data than rephrasing the statement. This also avoided any further manipulation and dampening of the effects of the author's personal bias. Rephrasing might inadvertently skew the original statement. In many cases these direct quotes are more illustrative than the code assigned and work better than paraphrasing what was said.

Benefits of This Study

The interviews and subsequent analysis provide valuable insight into the motivation of those early adapters. It is hoped that this will become an artifact of a critical period in the state of New Jersey's pathway toward providing citizens diagnosed with intellectual and developmental disabilities full access to the community. Through linkage with social entrepreneurship, the study provides a backdrop for future opportunities for research.

By talking directly to those who pursued the opportunity to form a Support Coordination Agency, it is possible to gain insight into their thought process and what they felt was necessary. The businesses they built are still viable today and we have a unique opportunity to explore the phenomenon that took place in New Jersey. It is worthy of consideration and study. By asking questions targeted at a specific timeframe, we can identify data that correlates to the theory of social entrepreneurship and document the motivations and objectives of the interviewees as they describe their experience.

Subjective experiences may differ from one person to the next, but researching and highlighting commonalities may inform a view of the shared experience. The data contributes to a greater understanding of the phenomena, ultimately connecting actions with social mission or cause. However, it should also be recognized that this approach did not result in data that can be replicated due to the unique dynamics of interview data, the small sample size, and the unique nature of personal experience.

Summary

Qualitative research involves human interaction and interpretation and therefore biased (Barrow, 2017, p. 115). Tools such as bracketing, and member checking was used as a means of addressing research bias. Member checking provides the interview subjects an opportunity to give feedback on the research results. These tools also allow the researcher and participants to learn from the process.

The method chosen for this study is a semi-structured interview with owners of for-profit agencies that opened their businesses in the early years of New Jersey's chance to outsource the case management function of services for people with I/DD. A group of business owners who have independent, for-profit companies were identified. An interview format was used as the qualitative research method in this study to explore the lived experience of the interviewees. The resulting transcripts were analyzed and coded to identify whether their motivations and objectives demonstrate a link to Dees' framework of social entrepreneurship.

CHAPTER 4
DATA ANALYSIS RESULTS AND OBSERVATIONS

Introduction

The purpose this chapter is to present the results of the application of the methodology described in Chapter 3 including detailing the qualitative data collected and the results of the coding process. The broader purpose of this chapter is to demonstrate how these data respond to the research question: To what extent does Dees' framework defining social entrepreneurs apply to those who started up new business ventures under the New Jersey Division of Developmental Disabilities Support Coordination service delivery program? For the purposes of analysis, each question and associated responses are followed by an interpretation. The questions are separated to create definition between each question and separate the data into meaningful segments.

The tables below each question display quotes from the interviewees and relate to the specific question asked in the interview. Interpretation of the responses to each question follows each distinct table. The quotes were identified in the coding process as having similar themes and appeared to represent the interviewee's sentiments relating to the question. They provide a focus or distillation to dominant themes.

Three dominant themes were chosen for each question. They are not listed in any specific order. Three were selected to, again, allow for distilling the data into manageable parts.

The reader should recognize the presentation of the study data on the following pages as follows:

Question → Dominant themes → Quotes → Interpretation

The information was not generated in this sequence, however. The quotes were identified, and themes were generated by analysis of these quotes.

Question 1 - Why did you create your agency?

Paired with Dees' framework characteristic - Mission to create and sustain social value (not just private value)

Dominant Themes –

- Ready for a change
- Belief that this is a service of value
- Did not really know what this program was about, but knew it would be meaningful

Table 6

Quotes Associated with and Supporting Dominant Themes for Question 1

Theme – Ready for a change
1. (2 people) Saw this as a natural transition from home healthcare agency
2. "was providing tutoring services and doing what love to help children and families, but that was drying up" 3. "worked for years in this field in management positions, was out of work, older worker and needed money." 4. "saw an opportunity to continue to do what love. saw an opportunity financially. saw an opportunity that would move me perhaps allow me to grow and branch out." 5. "If we didn't take advantage of this opportunity, we would probably never have another opportunity like this."
Theme - Belief that this is a service of value
1. "was watching the trends and believed this was the right thing for people with disabilities."
2. Previous experience in case management and felt could do a better job.
3. "was tired of bureaucracy and had a vision of what kind of agency wanted to create."
Theme - Did not really know what this program was about, but knew it would be meaningful
1. "signed up for it but was mistaken about what the service was. thought it was going to be counseling. "
2. "The agency was started by accident."

Interpretation of Results from Question 1:

Participants had mixed reasons for starting their agency. Everyone had some prior work experience associated with serving individuals with I/DD. Some worked with children, and others with adults. Two people had experience serving children in the schools, two worked in home health, three worked with adults with I/DD in other capacities, and one previously worked in the legacy DDD system.

Surprisingly, two participants expressed that they mistook this program for something different but continued with the start-up because they sensed that it would be successful and meaningful work, as described in answers to later questions. They certainly were pursuing new opportunities and perhaps their drive, or the relentless nature, to find new opportunities led them to strike out in a venture they really didn't fully understand. Almost what might be called the approach of seeing what sticks.

The other six participants had statements that indicated that starting their agency was a strategic decision based on their previous experiences. The idea of knowing that things could and should be done differently came up in a few interviews. Several individuals stated that they had ideas about improving things if they had complete control of the company. Several people were open about their need to attain improved financial stability.

Interviewees expressed a drive to actuate their belief that there was value beyond financial gain. Despite some not even knowing exactly what their responsibilities would be in the end or whether the program would be sustainable, they invested their time and money with the belief that their efforts would ultimately result in improvements in people's lives.

Question 2 - What assumptions did you hold?

➡ Paired with Dees' framework characteristic - Recognizing and relentlessly pursuing new opportunities.

Dominant Themes –

- Improvement to current occupation
- Recognized potential
- Desire to help others

Table 7

Quotes Associated with and Supporting Dominant Themes for Question 2

Theme - Improvement to current occupation
1. “This would be a form of income, but not my primary income, it would supplement other activities like consulting.”
2. “only knew that this would be better/ different than being a direct care provider.”
3. “didn’t know what to expect but had faith that it would work out.”
4. “was tired of the bureaucracy”
Theme - Recognized potential
1. “…knew there was a lot of potential for growth”
2. “This would become a privatized government program and would be able to develop it the way thought it should be done.”
Theme – Desire to help others
1. “It is a real chance to help people expand how people are supported and got involved in their community.”
2. “We wanted to do something different than what we saw before, and this was going to be all or nothing for us. Take care of ourselves, enjoy what we were doing, make a nice living and help the community.”
3. “saw this as a way to continue doing what love and have financial means.”

Interpretation of Results from Question 2:

People’s assumptions were mixed. For those who did not know exactly what program they were signing up for, they were open to trying this business with no firm expectations. For those who studied the industry prior to opening their business, they expressed a strong commitment to success based on a belief that this business would provide social value.

Everyone also expressed a strong commitment to making their business succeed and saw this as having the potential to significantly impact people’s lives.

Question 3- Describe your approaches and motivations when building your company.

Paired with Dees' framework characteristic - Continuous innovation, adaptation, and learning.

Dominant Themes –

- **Seek knowledge**
- **Take things as they come.**
- **Create a unique business structure.**

Table 8
Quotes Associated with and Supporting Dominant Themes for Question 3

Theme - Seek knowledge
1. "stayed driven and constantly sought knowledge about the system and how to operate within it."
2. "knew it was going to be a lot of work because didn't know the DDD system but saw the big impact this would have on people's lives."
3. "was in a search of knowledge. wanted to know what this is all about."
4. "thought this could be a huge opportunity for me. So attended every single training, every webinar, wherever someone from DDD would be giving a speech, would be there to make sure that I'm getting the latest information."
Theme - Take things as they come
1. "I didn't see this as being anything more than a way to make some money to supplement my other incomes. My approach was 'slow and steady.' " 2. "There were times it didn't make sense to me… was in tears several times. did this for the people we supported. wasn't going to quit."
3. "It was a gamble. It was an all or nothing. We borrowed what little money we had and we ran with it. There weren't any assumptions. It was just, we needed to make this work because we were not happy where we were. And we wanted to do something different. Nobody was going to give us the opportunity to progress any further "(in current jobs)
Theme - Create a unique business structure
1. "wanted to develop a company where technology is used and helps maintain control over how the job is done."
2. "wanted to be able to structure the company how thought it should be."
3. "My goal was to create a company where employees have a job they can enjoy."
4. "wanted to provide an employment opportunity in my company for people with disabilities."
5. (Unlike previous employment experience) "wanted my employees to feel successful in helping somebody, where they didn't feel overwhelmed, where they

didn't feel that they were on their own, where they weren't overstretched with time constraints"

Interpretation of results from Question 3:

Learning and adaptation were dominant themes in the interviews. Business owners often desired to structure their companies differently than they saw in the past. This was seen as an opportunity to create the business structure they felt would best fit them and their employees while also making a difference in the lives of people with I/DD.

Some interviewees said they thought of quitting but knew what they did was important work and made a difference in people's lives. They attribute this knowledge to a sense of perseverance and adaptation.

When asked about approaches and motivations, the interviewees referred to activities that helped them learn about the program, remain flexible and create structure in their business that would help them adapt to the changing environment. A focus on creating a healthy environment for employees is not included in the characteristics of a social entrepreneur but is worth mentioning since several of the interviewees talked about their desire to create a welcoming workplace.

Question 4 - When the new FFS model started, there was a lot of ambiguity. How did you handle this? Did you have any specific strategies?

➡ Paired with Dees' framework characteristic - Bold action in the face of limited resources/ information to make this work.

Dominant Themes –

- **Positive attitude**
- **Research/ knowledge seeking.**
- **Reliance on prior knowledge**

Table 9
Quotes Associated with and Supporting Dominant Themes for Question 4

Theme - Positive attitude
1. "…made a life decision to grab this thing and run with it."
2. "…expected it and since this was a small company, we were flexible."
3. "There was enough repetition month after month that we were able to create templates to work from and built on that as the system changed. Even though the system wasn't efficient we tried to create our own efficiencies within our company."
4. "It didn't cause us concern because we knew we were all learning. It was exciting and fun. We were learning something new. There weren't many expectations, and we were creating it as we went along knowing our goal was to help people"
Theme - Research/ knowledge seeking
1. "…reached out to other agencies to see what they were doing and learned from others. used my network of contacts to educate myself and then pass that on to my employees."
2. "…built relationships and found mentors to help me. didn't want to let my clients down, so stuck to it and made it work. felt a commitment to the people we support."
3. "…love challenges and am at my best when there is a challenge and things a little rough. like to figure things out. "love the art of the deal." Anyone can play the game if they know the rules, so made sure always knew the rules even thought they were constantly changing."
Theme - Reliance on prior knowledge
1. "…had a good, strong understanding of the system and knew that it would improve. also believed the processes put in place would work even as the system continued to change."
2. "…served this population in previous jobs so knew what was important to them.

Interpretation of Results from Question 4:

To be successful, interviewees cited the importance of staying connected to reliable resources for information. They often relied on their previous knowledge and professional network to meet changing demands.

There was a sense of commitment to the people served in these programs, which helped motivate the business owner to be successful and not quit the business.

The people interviewed had a heightened awareness that they would need to work hard learn how the programs worked and the expectations of DDD. Dominant themes were fostering relationships, networking, and learning.

Question 5- What do you feel are your greatest assets?

Paired with Dees' framework characteristic - Heightened accountability to the people served and for the outcomes created.

Dominant themes –

- **Passion and drive**
- **Commitment to people**
- **Stand out from others**

Table 10
Quotes Associated with and Supporting Dominant Themes for Question 5

Theme – Passion and drive
1. "I'm driven. This is my calling and spend 100% of my time focused on the company. It excites me."
2. "…have a passion for what do. enjoy it."
Theme – Commitment to people
1. "Work hard because don't want to disappoint the people supported."
2. "…have past experiences and connections with mentors which helps me."
3. "I'm a good communicator and instill that among my employees."
4. "I'm able to attract and retain good talented workers."
5. "To listen and be compassionate. The ability to listen, ears open and mouth closed. I'm very intuitive. want to see my employees be successful, so give them what they need to succeed."
6. "….enjoy what do simply because I'm working to help others. didn't have great expectations of financial gain"
Theme – Stand out from others
1. "My understanding of business, the DDD programs and how good internal processes and resources will make our work stand out from our competitor."
2. "I'm a parent of someone diagnosed with autism and see things from the parent's perspective."
3. "My spirituality helps me overcome obstacles and be compassionate with my staff and those we serve. This is a spiritual mission for me."

Interpretation of Results from Question 5:

The concepts of compassion, being driven, being spiritually grounded, and openness to listening to others were repeated among the interviewees. Again, a commitment to the people served and creating social value was mentioned as a driver for success.

Personal values and commitments were reflected in how the interviewees discussed their relationships with their employees. The idea of setting up a company where employees were happy and felt supported came up multiple times.

Interestingly, despite strong urges to quit, some interviewees related how their spiritual and/or personal commitment to the work helped them gain the resolve to continue. Relationships with the people served became anchors for the business owners who expressed a reluctance to disappoint them.

Results of Bracketing Exercise

The diary kept while was progressing through the interviews was reviewed as part of the data analysis phase. It contains details on the names, dates, and times of the interviews as well as brief reflections on the interviews.

The most significant reflection included an element of surprise in hearing that some people started up their agency without having a clear understanding of what the support coordination service would be about. In the beginning no one knew the full extent of the responsibilities or how the programs would eventually look once they were more fully implemented. However, it seemed unusual that some people found their way to support coordination as a happy accident.

The writing in the diary frequently reflects on how much passion was expressed by the people interviewed. People talked about their commitment to this work as an overwhelming driver to success. Some also linked their passion to a strong sense of spiritual vision.

Reflections in the diary do not have any direct tie back to Dees' framework or the questions asked. In future studies, believe it might be helpful to use a standard form for the purpose of reflecting on each interview.

Results of Member Checking Exercise

Three people responded, which limited the impact of this exercise. Responses were mostly praise for the study and contained no direct feedback on the specific data. The lack of direct feedback indicates that this exercise, as carried out, did not result in any relevant results. The email contents sent to interviewees is included in Appendix E.

Of interest was the comment received by one of the interviewees. They responded that this study caused them to reflect on the fact that they are reluctant to think of their business as a for-profit entity. They expressed some discomfort with the idea of owning a company that is for-profit. For their own reasons, they considered a non-profit preferable but not practical for them when they started their business. While the specifics of this comment will not be discussed in this study, it may be surfacing as an important attitude in the social services field. The comment raises a potential topic for a future study –bias toward non-profit agencies in the social services sector?

Overall Impressions

During the process of reviewing the interview transcripts and coding the data, the beneficial impact, social value, of this work on the people served, adults with I/DD, frequently came up as a motivating factor for the people interviewed. It might seem obvious that someone working in a social service industry like this would talk about the positive impact of this work on people's lives. Everyone, directly or indirectly, indicated that financial gain was also a big motivating factor for why they decided to pursue this business.

Although financial gain was a factor in deciding to enter this business, when difficult situations came up, what motivated these business owners to continue and persevere was a commitment to the people they served. Whether it be personal values, a sense of spiritual purpose, or commitment to others, everyone emphasized the importance of their mission to serve people with I/DD.

The themes that emerged from the data were reflections on the importance of knowledge-seeking and sharing, persistence, networking, compassion, and recognizing opportunities to make a difference in society. There was also a strong commitment to creating a positive work environment for employees as they explored new business management approaches.

CHAPTER 5

DISCUSSION

Introduction

This context for this dissertation concerns business owners in the social services sector within the New Jersey DDD Medicaid based fee-for-service programs and people with I/DD. In 2013, New Jersey launched new programs to replace multiple, dissimilar legacy programs serving adults with developmental disabilities. The new programs have grown to what is now known as the Supports Program and the Community Care Program, with close to 25,000 participants. These events generated a challenge; namely, did those who created small businesses within the new guidelines possess certain characteristics that could be identified and that aligned with the concept of social entrepreneurship? While there are several conceptual and practical descriptions, for this dissertation, the framework presented by Dees (1998) was identified as most useful. From this a research question was formulated: To what extent does the Dees (1998) framework defining social entrepreneurs apply to those who started new business ventures under the New Jersey Division of Developmental Disabilities Support Coordination service delivery program?

The participants who volunteered to answer this research question were owners of for-profit agencies started between 2013 and 2015 and which provided a single service, support coordination. These early years can be identified as formative years for the programs when formal policies and procedures as well as the growth potential were unclear. Non-profit and larger, multi-service agencies were excluded to narrow down the scope of the project and focus on start-up entrepreneurship.

When discussing the study with a colleague, he reflected on an interesting contrast between owning a business and owning a business that is in the social services sector. He said that when he worked for a chemical business, a good day was hearing that a chemical shipment made it to its final destination. In his business now, a good day is knowing his business made a difference in someone's life. He saw his current work as a “vocation” and not a “job.”

This study attempted to deeply evaluate the perceptions of those who start new social service businesses by identifying and evaluating determinates that differentiate a social entrepreneur from an entrepreneur in other business sectors. Based on the author’s experience, people involved in running agencies in the social services arena as for-profit companies are reluctant to talk about the fact that this is a business or that they are an entrepreneur who has an expectation of making a profit. A notable reference to this can be found in the results of the Member Checking exercise.

The research question for this study was explored using the framework attributed to Dees which outlines five characteristics as evidence of social entrepreneurship. The interview guide can be found in Appendix C.

The interviews consisted of eight individuals who started up support coordination agencies in New Jersey between 2013 and 2015. Interview recordings were transcribed into text to facilitate analysis and coding. The analysis and coding process involved identifying quotes that directly related to each question asked. These quotes were then grouped into three common themes for each question. The themes formed observable reflections by the group of interviewees as a whole and provide insight into their thoughts and actions as they created their companies.

It is important to consider what it takes to decide to start a business when, like the situation in New Jersey, the programs were so ill-defined in the beginning. The investment of time and money should not be overlooked. One really needed to have faith that this partnership with the government would benefit them, eventually turning into a money-making business, and ultimately serving the common good.

Discussion of Findings

Correlation to Dees' framework

The results of the interviews suggest that there are unique and similar experiences and attitudes among the respondents when examined using characteristics in the Dees (1998) framework. Responses to interview questions produced many quotes that can be thematically tied to the framework as seen in tables 6 through 10 in Chapter 4.

In answer to the research question, there is amble evidence that those who started up new business ventures under the New Jersey Division of Developmental Disabilities Support Coordination service delivery program in the early years of the fee-for-service programs in New Jersey, demonstrated the characteristics outlined in the Dees framework.

Observations Beyond Dees' framework

While much of the data demonstrates alignment with the Dees framework, it is important to make note of times when Dees' framework did not fully encompass aspects of the shared experience by the interviewees. It would be of value to explore these further in future studies.

Emotional Investment

A notable theme that arose across the corpus of the transcripts from the interviews was the evidence of an emotional investment that was reflected in the words used. It was common to hear the interviewees use phrases like:

- Heart for people

- Fell in love
- Obedient, subservient heart
- My heart is getting the reward
- Passion
- Compassion for others
- 100% focused, 100% of the time
- Make a difference
- Help people reach their dreams

In a social service industry, it is heartening to hear how the people interviewed recognized the important role their emotional investment made on how they made decisions for the company. This was not anticipated when the study was initiated.

Positive Work Experience

Another aspect that was not anticipated was the frequency by which interviewees mentioned their desire to create positive work experiences for their employees. The quality of relationships with employees frequently came up in discussions across all questions. Speakers referred to a desire to create a positive employee experience and contrasted that with what they had seen in the past. A specific quote on the topic of creating a healthy environment was: “one where they could feel successful in helping somebody, …, where they didn't feel overwhelmed, where … they were supported, and finding resources, where they weren't overstretched in time constraints.” Or the importance of the characteristics of the people doing the case management, “I need reliable staff people who are passionate about what they do.” Another comment emphasized the use of technology to help employees do their job better, “I was pretty aggressive in terms of trying to utilize the internet and developing accountability tools that put the responsibility on the coordinators …to keep them informed of what the responsibilities are and compensating them to do the work that they have to do without micromanaging them."

In this respect, social value appears to not only be reflected outward, but also has an element of introspection with regard to the work environment. A heightened accountability to the people served is mentioned by Dees, but there may also be a heightened accountability or at least sensitivity to the formation of the organization itself as well.

Financial Gain

With regard to any thoughts of financial gain, Dees framework prioritizes social value as a characteristic of a social entrepreneur's mission. Much of the literature gives financial gain a minor role in social entrepreneurship ((Leadbeater, The Rise of the Social Entrepreneur, 1997) (Abu-Saifan, 2012) (Agafonow, 2013). An example of where recognition of financial gain within social entrepreneurial leadership can be found is in the findings of Wendy Phillips, et al., in their 2015 study and report, Social Innovation and Social Entrepreneurship: A Systematic Review. Their study suggests that, in 23 articles they reviewed on social entrepreneurship and social innovation there was definitely a financial aspect to the decision to enter into social entrepreneurship (Wendy Phillips, 2015).

In the study at hand, most of the individuals interviewed use the revenue from their businesses as their primary income. Their comments reflect an attention to financial gain in addition to social value. For example, when the topic of financial motivation came up as a side comment in one interview, their answer was, "Definitely, my motivation was financial at first". In another conversation about why they created this business the response was, "I needed money". Other work was not providing them with the income they needed. Other comments included, "My husband and I invested all of our savings into the start-up of our agency" and "This is my only income. I need to make this work".

Limitations of the Research

While semi-structured interviews were chosen as the methodology to collect data in this study, a written survey had been considered. Adding a written survey with questions that could be answered on an interval scale might have provided additional quantitative metrics about the five social entrepreneurship characteristics. A survey could have also provided opportunity for respondents to provide data such as to what degree each of the characteristics influenced their decision to start an agency and personal reflections on 'how' and 'why' they made their decisions. Now that there is qualitative data as a result of this study, a follow-up survey could be developed with greater focus through a survey.

The interview format allowed for probing and elaboration. However, it also made it difficult to identify key themes due to the volume of information gathered. Additionally, the analysis was subjective and reflected the author's personal bias because she was interviewing her peers. The validity of the data in this study is based on the fact that it is based on real-life experiences and includes direct, unedited quotes. If a different set of individuals were interviewed, if the questions were asked in a different way, or by a different person, the answers may be different. This study is not meant to be repeatable or representative of a consensus among all social entrepreneurial efforts. It is intended to be a reflection of what was happening for this set of business owners at the time with analysis based on scholarly research methods.

Other limitations to this study should be recognized and acknowledged. This study took place almost 10 years after the events that are reflected upon. In this lapse of time, it can be assumed that the interviewees gained a greater understanding of the environment and speak about their experiences as they remember them within that realm of experience. Their actual feelings at the time they started their agency may have been tempered over time. Interviews with them at the time they started their agency may have resulted in different responses to the questions.

Recommendations for Future Studies

Opportunities for further study could include a larger and more diverse sample. This would allow for comparisons between for-profit and non-profit companies as well as small and large agencies. Further study could be done to explore the experience of many who started agencies in the early years compared to those who became entrepreneurs after the legal context changed. A study of agencies that started at different stages of the growth of the New Jersey DDD program would also produce insights.

The transition in New Jersey to fee-for-service programs is not an isolated case of this kind of public/ private relationship. Many states, including the surrounding states of Pennsylvania and New York have forms of Medicaid based fee-for-service programs. The field is rich with opportunities to examine not only social entrepreneurship but also comparisons of programs, identification of innovative business structures, and leadership models.

Future consideration and study could include examining whether those who started up their business in the first few years when the programs were in their formative stages thought differently about the opportunity than those who started up once the programs were better defined, and the number of participants was greater.

Finally, based on a comment received in the Member Checking exercise, there may be a unique opportunity to do research into a possible bias toward non-profit agencies among support coordination agencies in New Jersey.

Conclusion

This research demonstrated that among those evaluated, characteristics of the Dees (1998) social entrepreneurship framework were evidenced. They are examples of social entrepreneurs who stepped out on a leap of faith and the belief that the New Jersey DDD Medicaid based fee-for-service programs would not only provide them with an income, but also serve to create positive change for individuals with intellectual and or developmental disabilities.

Of note is the fact that the business founders not only considered an impact on the quality of life of the people served, but also sought a positive impact on employees. Looking for new ways to structure their agencies as welcoming places to work, these entrepreneurs' attention is not only on improving the lives of those with I/DD but of their own employees and themselves as well. Additionally, several reflected that financial gain was a motivating factor to starting their business. Overall, they also expressed an emotional investment in their work leading to a commitment to the people who benefit from their services.

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APPENDIX A- – FIRST PUBLIC MEETING REGARDING NEW FEE-FOR-SERVICE PROGRAMS IN NEW JERSEY

From: Stephen J. Smith [mailto:Stephen.Smith@dhs.state.nj.us]
Sent: Tuesday, November 13, 2012 8:37 AM
To: pat@moorestowntennisclub.com; morningstarfarm1@yahoo.com; azzolinak@mcvts.org; vherman@mhrd.k12.nj.us; cgarafola@mtbethelvillage.com; musicuniversity@aol.com; marcusward@myparentsathome.com; my40ty41@aim.com; jim@bathesafe.net; njdadmin@mycomcast.com; njmaa.fd@gmail.com; tkschlos@verizon.net; robert.koykas@town-sports.com; info@newarkschoolofthearts.org; kbegley@nbngroup.com; bcaracci@nhsonline.org; nancym@thebathconnection.com; bsmall@smallandassoc.com; mala@njfriendshiphouse.com; montclairtutoring@hotmail.com; nursefinders@verizon.net; gmbucolo@yahoo.com; ormaadojo@hotmail.com; darlenebosco@rightathomeocean.net; jyoung@NJPANDA.org; wmoyle@ocean-city.nj.us; karenp@ocean.edu; gsurette@ocymca.org; info@bathfitternj.net; onceuponadance@gmail.com; ofavl@aol.com; ofavl@aol.com; manalapan@oxfordlearning.com; pmimusic@yahoo.com; bhoffman@parisiusa.com; patsy1220@msn.com; pavelchak5@aol.com; bcrosby@homh.org; peopleaccess1@gmail.com; gpalmieri@phpin.org; sivanguy@aol.com; info@ejmedical.com; personaltouch@optonline.net; mwindisch@att.net; pizutelli@verizon.net; holmanj@newegypt.us; PMASSIST@aol.com; info@ponypowernj.com; steve@pbrbuilders.com; and@prentrom.com; kqrwoods@yahoo.com; pridepaws@prideventuresinc.org; michaelsharp25@yahoo.com; office@PrimeTimeCenter.org; nschiller@princetonymca.org; jaclyn@fitnessandwellness.org; byost@princetonhcs.org; njapps@comcast.net; d.smith@progressivehomecare.biz; pfocus1@yahoo.com; qhstaffing@yahoo.com; maesgi7@hotmail.com; toli@questnj.com; inforj@rjcooper.com; rmpenyak@verizon.net; southjersey@comfortkeepers.com; centraljersey@comfortkeepers.com; tarae@raefit.com; marmeyer@optonline.net; pat.rands@comcast.net; jabreu@rbaymca.org; cdoyle@raritanval.edu; jimkeiling@yahoo.com; kfrederickson@southjerseytechschool.com; pjclyne@verizon.net; deserie@reliable-resources.org; renrenovations@verizon.net; richardrnj@optonline.net; kreynoso@ridgefieldschools.com; info@ridinghighfarm.org; bmaroney@rahnjshore.com; pianokid@optonline.net; catlady1313@aol.com; wilkins105@yahoo.com; rfhealthcareservice@hotmail.com; jaclyn@fitnessandwellness.org; royalseniorcare@aol.com; rtapedicatrics@yahoo.com; rksnowbiz@aol.com; gbuchheister@rutherford-nj.com; dbrennan@rutherford-nj.com; sherif@fitnessandwellness.org; sherylc@fitnessandwellness.org; marmeyer@optonline.net; aboyle@safetycare.net; info@sakulayoga.com; sorapallo@gmail.com; salvatorearchetto@comcast.net; adina@schischool.org; scharzrx@aol.com; info@seniorstarnj.com; seniorstar1@gmail.com; info@seniorstarnj.com; EVY08872@AOL.com; wandaeince@aol.com; sgreenbaum@ssbjcc.org; mljj212@verizon.net; solutionpeople1@gmail.com; dtrunzo@scparks.org; dmtrunzo@parks.co.somerset.nj.us; lhirtes@somersethillsymca.org; cbell@somersethillsymca.org; tlavelle@ymcasomersetvalley.org; tobreemostel@southbrunswick.org; sj.homecare@comcast.net; nerg@optonline.net; srehr@specialstrides.com; stacy@angelsofnj.com; srickm@aol.com; lisagephardt@hotmail.com; tiffanyescott@berkeleyheightsymca.org; summitcare@optonline.net; sunnytransportation@gmail.com; emailus@succesinc.org; dzucatti@surehands.com; jteune@sussex.edu; jbrowne@metroymcas.org; johnsongallo@verizon.net; sweetacademy@aol.com; jsherard1@verizon.net; sweetacademy@aol.com; sweetacademy@aol.com; 4107sylvan@comcast.net; sylvan4108@aol.com; tim@twknorr.com; janiceg@theatlanticclub.com; Tbrown@centerforautismnj.org; completeyoga@embarqmail.com; darrellw@chbc.org; bettinger@tcischool.org; daley@tcnj.edu; aplaza@cymca.org; Jayne Graepel Kaitlyn Moore; srroenj@aol.com; rzurzolo@aol.com; smorse@garfieldparkacademy.org; c.zambri@mooriscenterymca.org; eewells@hotmail.com; tracy@tmifitness.com; info@themusicacademy.net; chathammc@gmail.com; friedmanisaac@aol.com; llong@northwardcenter.org; theopendoor@comcast.net; theopendoor@comcast.net; crissa@theopportunitycenter.org; crissa@theopportunitycenter.org; lclingham@thespaatglenpointe.com; browno@centenarycollege.edu; tmcnelis@trsinc.org; tmcnelis@trsinc.org; rockaway@tsk.com; schwarzsm@s41consulting.com; rlynnworth1@comcast.net; epanati@totalaccessco.com;

driddle@totalfamilysolutions.com; trainingpurpose@aol.com; iwannagetfit@yahoo.com; pat@tri-statepatientlifts.com; vickitroise@aol.com; julia.trucare@comcast.net; William Presutti; ideyshine@yahoo.com; ellycat1@juno.com; ideyshine@yahoo.com; ucpgh@sunrisegroup.org; valleyprx@yahoo.com; bpechilio@vannaenterprises.com; vantasticshuttle@comcast.net; kprzybyl@virtua.org; denise817@optonline.net; frisco.patricia@hunterdonhealthcare.org; info@voadv.org; indo@waldwickschoolofrock.com; s.okeefe@wcsssd.org; mikes@warrenhospital.org; shockridge@whrhs.org; programcoordinator@westmilford.org; melsasser@westfieldynj.org; wfmcontracting@optonline.net; jkulik@morrisparks.net; mhorvath@virtua.org; wnivison@brrsd.kd.nj.us; willingkin@aol.com; kcavanaugh@wilpage.com; georgec@winsorcare.com; onoratos@comcast.net; ashly@words-plus.com; krisp@wyckoffymca.org; yhcarriers26@gmail.com; jlee@metroymcas.org; katie.mcadoo@metuchen-edisonymca.org; jennr@ymca-bc.org; dhartop@ymcagbc.org; nvetrini@madisonymca.org; paulm@montclairymca.org; susan.guber@springfield-njymca.org; clarres@ymcanj.org; janice.moore@metuchen-edisonymca.org; sallen@ymha-nj.org; ymywharv@yahoo.com; geordie.Homehealthagency.kline@gmail.com; info@yourresourcenj.com; blackbeltinst@msn.com; 1doller@ywcabergencounty.org; scheuk@ywcaprinceton.org; nadegethimotus@yahoo.com; edramos123@gmail.com; joan_avenues@yahoo.com; byfaithcepe@googlemail.com; info@centerofdancearts.com; crubell@juno.com; dansmusicstudio@hotmail.com; info@gsecare.com; ldotson@nsm-seating.com; draudenbush@gmaine.com; chrisd@fitnessandwellness.org; phil.saines@tobiiati.com; denise817@optonline.net
Subject: DDD Supports Program Second Overview Session & Support Coordination Session reminder

For those of you who were able to join us for the first Supports Program Overview Session, held on November 8, 2012, thank you. We had a great turnout and very productive dialogue at the end of the session. Because we know that many were still not able to attend due to the aftermath of Hurricane Sandy or other circumstances, we are offering a **second Overview Session on Tuesday, November 20, 2012 from 2pm – 4pm** at the New Jersey Division of Developmental Disabilities' (DDD) Central Office in Hamilton (199A/B).

If you attended the first session, you do not have to attend this second session. It is a repeat of the November 8th meeting.

Attached you will find the original packet from DDD regarding the "Supports Program" and Support Coordination Provider sessions as well as directions to DDD.

If you or another provider agency you know of are interested, we request that you attend this session. Space is limited so, please RSVP to maria.houser@dhs.state.nj.us. No confirmation email will be sent. Any weather related closure or cancellation of the sessions will be posted to the website no later than the morning of the scheduled meetings.

Thank you.

Stephen J Smith
Communications Liaison
Division of Developmental Disabilities (DDD)
5 Commerce Way, Suite 100
Hamilton, NJ 08691
(Postal Address: P.O. Box 726, Trenton, NJ 08625-0726)
(609) 689-1792 [M,W,Th]/
(856) 770-3718 [Tu,F]
Stephen.smith@dhs.state.nj.us

APPENDIX B- NJ DDD LETTER TO PROVIDERS ANNOUNCING APPROVAL OF MEDICAID COMPREHENSIVE WAIVER, OCTOBER 22, 2012

CHRIS CHRISTIE
GOVERNOR

KIM GUADAGNO
LT. GOVERNOR

STATE OF NEW JERSEY
DEPARTMENT OF HUMAN SERVICES
DIVISION OF DEVELOPMENTAL DISABILITIES
PO BOX 726
TRENTON, NJ 08625-0726
Visit us on the web at :
www.state.nj.us/humanservices/ddd

Jennifer Velez
COMMISSIONER

Dawn Apgar
Deputy Commissioner

TEL. (609) 631-2200

October 22, 2012

Dear Provider,

As you likely know, the New Jersey Department of Human Services (DHS) received approval from the federal Centers for Medicare and Medicaid Services (CMS) for the Comprehensive Medicaid Waver (CMW) effective October 1, 2012. One of the reforms included in the CMW is the development and implementation of a "Supports Program" which will provide federal matching funds for a package of support services for individuals living on their own or at home with their families. The Division of Developmental Disabilities (Division) is currently in the development stages of this new program and expects to be able to begin the enrollment process in the spring of 2013. We have enclosed a packet of general information about the Supports Program for your review.

The Supports Program, which will be implemented in a fee-for-service model, will provide an expanded service array, giving current New Jersey providers the opportunity to expand their services offered as well as allowing for new providers to offer services in New Jersey. The Division is committed to enhancing our provider network to ensure that Supports Program participants will have ready access to the services and supports they need. For example, since all Supports Program participants will require monthly support coordination services, we will need an expanded pool of support coordinators to fill this need.

Ongoing collaboration with the developmental disabilities provider community will be essential to the success of the Supports Program. Your input is critical to ensuring that this program can be implemented effectively. To that end, we encourage you to stay engaged in the process as the Supports Program is rolled out. There will be multiple opportunities for input from providers and a series of meetings to provide additional information. We also encourage you to continue to visit our website at: http://www.state.nj.us/humanservices/ddd/programs/supportsprgm.html for the latest information and updates.

A list of "Important Dates to Remember" is included in the attached packet of information. Please take a moment to review these dates and save any important meeting dates on your calendar. The first meeting for providers – the Supports Program Provider Overview Session – will be held on **November 8, 2012 from 2:00 p.m. - 4:00 p.m. at the Hamilton Technology Center in Hamilton, New Jersey.** If you would like to attend this meeting, please **RSVP to Maria Houser at Maria.Houser@dhs.state.nj.us by November 1, 2012.**

Sincerely,

Dawn Apgar

Dawn Apgar, PhD, LSW, ACSW
Deputy Commissioner

New Jersey Is An Equal Opportunity Employer

APPENDIX C- INTERVIEW GUIDE

Dees Framework's Components:	**Interview Questions:**
1. Mission to create and sustain social value (not just private value)	Why did you create your agency?
2. Recognizing and relentlessly pursuing new opportunities	What assumptions did you hold?
3. Continuous innovation, adaptation, and learning	Describe your approaches and motivations when building your company
4. Bold action in the face of limited resources/ information	When the new FFS model started, there was a lot of ambiguity. How did you handle this? Did you have any specific strategies?
5. Heightened accountability to the people served and for the outcomes created.	What do you feel are your greatest assets?

Name: ____________________________ Agency Name: ____________________________

Sole Proprietor? Yes No

What did you do before?

____

Why did you create your agency?

What assumptions did you hold?

Describe your approaches and motivations when building your company

When the new FFS model started, there was a lot of ambiguity. How did you handle this? Did you have any specific strategies?

What do you feel are your greatest assets?

APPENDIX D – SAMPLE INVITATION

Dear :

I would like to invite you to participate in an interview about your first experiences with Support Coordination in New Jersey. I'll be asking you to recall back to the early years when you started your support coordination business in New Jersey. I'm interested in learning more about what motivated you to start the business.

This interview will be used to provide data for my doctoral dissertation as I complete my doctoral studies in Strategic Leadership at Thomas Jefferson University in Philadelphia. I've identified you as a noteworthy leader in New Jersey's Fee-For-Service transition. I'm targeting privately owned agencies that only provide support coordination services. Additionally, I'm looking at agencies that started when the system was in its infancy stages, the years of 2013 to 2015. Those years were before we had iRecord, the policy and procedure manual and billing directly with Medicaid. You are one of 14 people I am inviting to participate.

In addition to being a doctoral student, I own Advantage Supports, a support coordination agency in New Jersey. I started my agency in 2015 and like you, my company is a private entity with no ties to other services or a larger entity. When I started my business, the system was starting to show signs of stabilization. In contrast, when you started yours, there was not a lot of clarity around how this new role would work. I'm interested in hearing from you about what it meant to you to take on this challenge.

Should you agree to take part in my research, you will participate in a phone interview of about 1 hour in length conducted by myself. Each interview will be recorded to facilitate my note taking. The information shared will be transcribed to text. While I am recording the interview and transcribing it to text, no personally identifiable information about you or your company will be retained.

The identity of the interview participants and their organizations will remain confidential. Your participation is purely voluntary. You may withdraw from participation at any time and for any reason, without being asked for any explanation.

Further, I'd like to clarify the following:

- You will not be subject to psychological, social, physical or legal risk
- Your participation will not involve tests or instruments
- No personal or business specific intelligence will be published in the study

Collaborating with me on this project will provide insight into what it takes for a leader to make the decision to enter into this kind of public/ private relationship especially when the playing field is not very well defined and not fully developed. I hope that my study will provide inspiration for a diverse audience not just those involved in case management or doing business in New Jersey.

APPENDIX E – MEMBER CHECKING EMAIL

I cannot thank you enough for agreeing to be interviewed for my doctoral dissertation. Your input was invaluable. I'm plowing forward and hope to defend my dissertation in May.

I wanted to give you an opportunity to see how I combined the entirety of my interviews and came up with themes and observations.

If you have a moment, please review the information, and let me know if you have any comments. This will really help me avoid focusing only on the things that I thought were important. If you feel something else was important to you and I missed it, let me know. Of course, this is meant to be a synopsis of several conversations, but if you feel it is important, I'll incorporate that into my writing. I look forward to your feedback.

Below are my observations:

Why did you create your agency?
Themes:

- Ready for a change
- A belief that this is a service of value
- Didn't really know what this program was about

Observations: Participants had mixed reasons for starting their agency. Everyone had some prior work experience associated with serving individuals with I/DD. Some worked with children and others with adults. There were two people who had prior experience serving children in the schools, two people who worked in home health, three people who worked with adults with I/DD in other capacities and one person working in the legacy DDD system.

Surprisingly, 2 participants expressed that they mistook this program for something different, but continued with the start-up because they sensed that it would be successful and meaningful work as expressed in answers to later questions.

The other 6 participants had statements that indicated that starting their agency was a strategic decision based on their previous experiences. The idea of knowing that things could and should be done differently came up in a few interviews. The individual stated that they had ideas about how they could do things better if they had complete control of the company. Several people were open about their need to attain improved financial stability.

What assumptions did you hold?
Themes:

- Improvement to current occupation
- Recognized potential
- Help others

Observations: People's assumptions were mixed. For those who did not know exactly what program they were signing up for, they were open to trying this business with no firm expectations. For those who studied the industry prior to opening their business, a strong commitment to success based on a belief that this was a service of value was expressed. Everyone expressed a strong commitment to making their business succeed and saw this as having the potential to significantly impact people's lives.

Describe your approaches and motivations when building your company
Themes:

- Seek knowledge
- Take things as they come
- Create a unique business structure

Observations: Learning and adaptation were dominant themes in the interviews. The business owners often expressed a desire to structure their companies differently than what they saw in the past. This was seen as an opportunity to create the business structure they felt would best fit them and their employees while also making a difference in the lives of people with I/DD. Some interviewees expressed that they thought of quitting but knew what they were doing was important work and made a difference in people's lives. They attribute this knowledge to a sense of perseverance and adaptation.

When the new FFS model started, there was a lot of ambiguity. How did you handle this? Did you have any specific strategies?
Themes:

- Positive attitude
- Research/ knowledge-seeking
- Reliance on prior knowledge

Observations: The people interviewed had a heightened awareness of the fact that they would need to work hard at obtaining knowledge about how the programs worked and the expectations of DDD. Fostering relationships, networking, and learning were dominant themes.
There was a sense of commitment to the people served in these programs which helped motivate the business owner to be successful and not quit the business.

What do you feel are your greatest assets?

- Passion and drive
- Commitment to people
- Stand out from others

Observations: The concepts of compassion, being driven, being spiritually grounded, and openness to listening to others were repeated among the interviewees. Again, a commitment to the people served was mentioned as a driver for success.

Personal values and commitments were reflected in how the interviewees talked about their relationships with their employees. The idea of setting up a company where employees were happy and felt supported came up multiple times.

Another important observation

A notable theme that arose across the corpus of the transcripts from the interviews was the evidence of an emotional investment that was reflected in the words used. It was common to hear the interviewees use phrases like:

- Heart for people
- Fell in love
- Obedient, subservient heart
- My heart is getting the reward
- Passion
- Compassion for others
- 100% focused, 100% of the time
- Make a difference
- Help people reach their dreams

In a social service industry, it is heartening to hear how the people I interviewed recognized the important role their emotional investment made in how they made decisions for the company.

APPENDIX F – IRB APPROVAL

RE: Exempting IRB submission for Christine Wiltsee dissertation research (Resending because cc's failed)

Yahoo/Inbox

-

Kyle Conner <kyle.conner@jefferson.edu>

To: Joel Adler,wiltseet@yahoo.com

Wed, Jun 29, 2022 at 4:57 PM

Joel and Christine—

Based on the information provided, I concur that the study does not constitute human research as defined by federal regulation and as such does not require IRB review. You can use the OHR-34 to document this determination.

You may proceed without IRB approval.

Kyle

Kyle Conner, MA, CIP
Associate Director, Office of Human Research
Adjunct Faculty, Jefferson College of Life Sciences
Instructor, JeffMD Humanities Selectives
Co-Editor-in-Chief, *Evanescent: A Journal of Literary Medicine*
Thomas Jefferson University
1020 Locust St., suite M-34
Philadelphia, PA 19107
(215) 503-8966

JEFFERSON—Office of Human Research

Research Not Requiring IRB Review: A Checklist

Version Date – FOR OHR USE: 11/11/21

STUDY TITLE: _The New Jersey Fee-For-Service Model: Evidence of Social Entrepreneurship in a New Public/ Private Business Relationship.

PRINCIPAL INVESTIGATOR: __Dr. Joel Adler________________________________

TELEPHONE #:_610-940-1941_________________E-MAIL: joel.adler@jefferson.edu

Instructions: Use this form as a checklist to certify that the research you intend to conduct fits completely into one or more of the following categories. These categories do not meet federal definitions of human subjects research as cited in HHS and FDA regulations at 45 CFR 46.102 & 21 CFR 50.3, respectively, and, therefore, do not fall under IRB purview and do not require IRB review.

Please check the applicable categories of research you intend to conduct:

_____ (1) Scholarly and journalistic activities (e.g., oral history, journalism, biography, literary criticism, legal research, and historical scholarship), including the collection and use of information, that focus directly on the specific individuals about whom the information is collected.

____ (2) Public health surveillance activities, including the collection and testing of information or biospecimens, conducted, supported, requested, ordered, required, or authorized by a public health authority. Such activities are limited to those necessary to allow a public health authority to identify, monitor, assess, or investigate potential public health signals, onsets of disease outbreaks, or conditions of public health importance (including trends, signals, risk factors, patterns in diseases, or increases in injuries from using consumer products). Such activities include those associated with providing timely situational awareness and priority-setting during the course of an event or crisis that threatens public health (including natural or man-made disasters).

____ (3) Quality assurance or quality improvement projects in which the data collected will be used <u>only</u> to verify, alter or improve quality of care or efficiency within the Jefferson entity. (If external publication or public presentation of data is intended, project may require IRB review. Please consult with Office of Human Research)

__X__ (4) Information-gathering interviews, questionnaires & surveys where questions focus on factual information and opinions about processes, services, or policies, and <u>do not</u> gather personal information about living individuals, or; research gathering factual information from source texts.

____ (5) Research involving cadavers, autopsy materials or bio-specimens from deceased individuals. <u>Note</u>: HIPAA does not exempt decedent research. Please complete and email the OHR-17 to the Privacy Office at privacyoffice@jefferson.edu.

____ (6) Coded or anonymous private information or biological specimens that were not collected originally for the currently proposed research and that cannot be re-

PI:
Page 2 of 2

OHR-34
Version Date: MM/DD/YYYY
Version Number: X.X

identified by the Investigator. (Note: This research requires that you submit OHR-19 form to the Office of Human Research.)

____ (7) Research that does not involve collection of private information about living individuals. (This category excludes observation of public behavior, which is considered a category 2 exemption, for which you should submit OHR-18 to the IRB.)

____ (8) Research where Jefferson is not engaged in the research. Examples of this include: when Jefferson's employees or agents 1) act as consultants or provide paid service for research but at no time obtain, receive, or possess identifiable private information, or 2) inform prospective subjects about the availability of research. (Note: this is not a complete list of examples.)

____ (9) Case reports of one or two cases. (Three or more case reports in one series require IRB review). While one or two case reports do not require IRB review, they do require review by the Privacy Office.

____ (10) Collection and analysis of information, biospecimens, or records by or for a criminal justice agency for activities authorized by law or court order solely for criminal justice or criminal investigative purposes.

____ (11) Authorized operational activities (as determined by the relevant federal agency) in support of intelligence, homeland security, defense, or other national security missions.

By signing below, the Principal Investigator certifies that the entirety of his/her research fits into one or more of the above categories.

Principal Investigator Date

WRITTEN DETERMINATIONS

If a determination is required by a funding agency or sponsor, the investigator may submit a request for written confirmation along with the OHR-34 to the IRB, which will provide a written response.