

July 20, 2022

Marcella Crane
Contracts Manager
Arizona Developmental Disabilities Planning Council
3839 North Third Street
Suite 306
Phoenix, AZ 85012

Subject: Clarification for RFGA #ADDPC-FFY22-VOCRHB-00B

Dear Ms. Crane,

This document contains the Institute for Community Inclusion at University of Massachusetts Boston responses to the Evaluation Committee's questions pertaining to the funding opportunity entitled Research on Vocational Rehabilitation Policies and Programs, RFGA#: FFY22-VOCRHB-00B.

Please contact Dr. Jean Winsor, Institute for Community Inclusion, University of Massachusetts Boston, 100 William T. Morrissey Blvd., Boston, MA 02125-3393 if there are additional questions.

Sincerely,

Jean Winsor, Ph.D.

1. Clarify the methodology and outreach effort for conducting surveys and interviews. Use a mix-method approach to accomplish both tasks and in the order determined by the applicant to be appropriate. Points to consider include the following:

The applicant will use a mixed methods approach that includes secondary data analysis, policy analysis, survey data, and interview and focus group data (Creswell, 2009)¹ to conduct a comprehensive review and analysis of Arizona's VR program regarding its strengths and barriers assisting transition-aged youth with I/DD achieving successful employment outcomes. Data on transition-aged youth related to services provided by the Arizona Rehabilitation Services, Division of Developmental Disabilities and the Arizona Department of Education will be analyzed. When available, employment outcome data will be analyzed by client type, race/ethnicity, disability, location, primary spoken language, and age. Please see response to question 1c for additional information about the use of mixed methods.

1a. Ensure that the applicant's outreach method to conduct interviews will include a broad spectrum of transition age youth (14-24) represented in the State of Arizona, including considerations of geographic location, socioeconomic status, ethnicity/culture, and primary spoken language.

Participation in this study is voluntary and we cannot predict who will consent to participate. To ensure the experiences of a broad spectrum on transition age youth are represented we will regularly compare the most recently available RSA-911 closure data for clients 14-24 years in Arizona to individuals who have consented to participate in the study and we will adjust our outreach techniques on an ongoing basis to ensure that the final proportion of respondents by demographic group is representative of various geographic locations, socioeconomic status, ethnicity/culture, and primary spoken language. Demographic information such as county of residence, primary language spoken, age, and race and ethnicity will be collected from the transition age youth and will be stored separately from their responses to the survey and interview. Demographic data will be included in the final report in compliance with University of Massachusetts Institutional Review Board requirements for protection of human subjects.

1b. Consider how data will be collected from the target groups that have limited internet access, including if in-person interviews will be conducted.

Interviews will take place in person, over Zoom, and over the phone. Two project staff members live in Arizona and will be available to meet in person at times and locations most convenient for individuals and families, including in the evenings. One additional

¹ Creswell, J. W. (2009). Research design: Qualitative, quantitative, and mixed methods approaches 3rd edition. SAGE Publications, Inc. Thousand Oaks, California.

staff member will travel to Arizona to assist with in-person interviews of individuals and families, VR staff, VR contracted provider staff, school staff, and staff from state agencies/programs including DDD, AHCCCS, and ADE. Project resources are included in the Implementation Plan and Budget to complete these tasks. Not all interviewees may feel comfortable meeting in person, for this reason Zoom and phone interviews will be available to all participants. Phone interviews will be a particularly important tool for capturing the experiences of individuals who do not want to meet in person and who live in communities with limited or no internet access.

1c. The ADDPC is not restricting the number of surveys or interviews to conduct or how this information will be collected; however, the applicant must attempt to receive a meaningful number for data analysis and responses must be geographic and demographic representative of the State of Arizona.

The applicant appreciates the opportunity to fully articulate our strategy for collecting data from transition age youth. Please see our response to question 1a for information about how geographic and demographic representation will be addressed.

The applicant will develop a survey for transition aged youth with I/DD in Arizona to complete related to their experiences with VR. This survey will focus on the knowledge of different types of VR transition services, communication from and about VR transition services, and their overall satisfaction with their VR services. It will be administered as part of the interview process and individuals will have the opportunity to respond to a pencil and paper copy of the survey or project staff will read each question aloud to the individual and record their response. Pairing the survey and interview implementation together will ensure that individuals will have access to a full range of project staff support to complete the survey as well as provide an opportunity to follow-up in-depth with the individual regarding specific elements of the VR process. The goal is to have 100% participation in the survey and the applicant will conduct these data collection activities with current and former Arizona VR clients.

Survey statements will be scored using a Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree) with average scores for each question computed across all survey respondents. We expect to have at least one open-ended question in the survey and a Word Cloud will be generated for those results that will reveal any overarching themes and which will be included in the final reports.

Based upon individuals' responses to the survey questions the applicant will use a semi-structured interview process to prompt individuals to offer more information about their experiences receiving transition services from VR. For example, if an individual responded that they agreed that "I found a job through Arizona's VR system in a reasonable amount of time.", project staff would prompt them to share more about how they obtained their job including when they began their search process and the steps they took to find their job. If the individual responded that they disagreed with the statement, project staff would prompt them to describe why the timeline did not meet

their needs.

If deemed appropriate by ADDPC staff and the Meaningful Careers Committee, we will expand distribution of the survey online to capture the experiences of youth who were not identified or who chose not to participate in an interview. Expanded survey distribution will occur using a purposive sampling strategy that engages all project partners named in the original application. Staff named on this project have developed and conducted successful online surveys including a 2019 survey regarding the self-advocacy needs of transition-aged youth in Massachusetts as part of the Massachusetts Partnership for Transition Towards Employment that achieved an 82% response rate and was distributed to 35 towns and cities across the state.

Data collection materials will be translated so that youth for whom English is not their primary language or who do not speak English may participate. We anticipate that at a minimum the materials will be translated to Spanish; however, translation into additional languages will occur as needed. The applicant will also address cognitive accessibility by ensuring all project materials, including consent forms, are written in plain language. Using plain language means understanding and accounting for the audience level of knowledge when writing products for dissemination (www.plainlanguage.gov). The ICI's Marketing and Communications department will review project materials to ensure they conform with plain language standards for improved accessibility.

Interviews and focus groups will also be conducted with family members in order learn about the services offered to and the experiences of their transition-aged youth with I/DD. Additional interviews and focus groups will occur with VR staff, VR contracted provider staff, school staff, and staff from listed agencies/programs to understand the services and processes through which youth and their families engage with transition services.

Table 1: Target number of individuals for participation in interview and focus groups by stakeholder group

Stakeholder group	Target number
Youth with I/DD	30
Family member of youth	30
Other stakeholders, i.e., VR staff, VR contracted provider staff, school staff, etc.	30
Total	90

- 2. Provide clarification on how the applicant will gather surveys and/or interviews from Native American/Tribal communities including Tribal Vocational Rehabilitation clients, Hispanic clients, and other vocational rehabilitation clients that live in underserved/unserved areas.**

The applicant is committed to including stakeholders from diverse racial, ethnic, geographic, and cultural groups within Arizona, especially with respect to transition-aged clients and their families. This proposal includes budgetary resources for interpreters and translation services so that stakeholders for whom English is not their primary language or who do not speak English may have their experiences included. Specifically, we anticipate that the data collection materials will be translated to Spanish and that we will need to offer translation services for Spanish speakers; translation for additional languages will occur as required for participants. We will use the University of Massachusetts Amherst Translation Center (<https://www.umass.edu/translation/translation-center-0>) to provide a timely response to the project's translation and interpretation needs.

To ensure that individuals who are members of Native American and Tribal communities including Tribal Vocational Rehabilitation clients, Hispanic clients, and other vocational rehabilitation clients that live in underserved/unserved areas are included we will conduct outreach through the seven VR field offices (<https://des.az.gov/rsa-contact-information>), the five American Indian Vocational Rehabilitation Training and Technical Assistance Center (AIVRTTAC) programs in Arizona (<https://aivrttac.org/arizona/>) and the Southwest Institute for Families and Children. Additionally, please see the applicant's response to question 1b.

To further inform our response to the clarification questions the applicant reached out to existing contacts with ties to Tribal communities in Arizona, including the executive director of the Native American Disability Law Center, and a young man and his mother who received services through Tribal VR. These conversations echoed the importance of understanding the often-unique perspectives of the Native American and Tribal communities, both for those individuals and families who live on Tribal lands, and those who live in communities and cities across Arizona. Anecdotal information from these conversations suggests that Native American youth with disabilities who live in rural areas may be even more isolated from the service system compared to Native American youth who live in urban and suburban areas. Another issue that was highlighted by these contacts is how to increase support for transition planning in schools for Native American youth with disabilities so that they become connected to VR services. If contracted to do this project the applicant will include these experts in our outreach and data collection efforts.

3. Affirm that the implementation plan and survey questions will be discussed by the Meaningful Careers committee of the ADDPC, and the committee members' feedback will be incorporated by the applicant.

As described in the original application there are project resources devoted to 4 quarterly advisory meetings with the Executive Director and Meaningful Careers committee. This response affirms that the agendas for these meetings will include opportunities to participate in the finalization of the survey instruments, interview protocols, or data set requests. The implementation plan and survey questions will be

discussed with the Meaningful Careers and the committee members' feedback will be incorporated into the data collection tools. The ICI previously worked successfully with ADDPC staff and the Arizona Employment First partners to advise in the completion of the report *The Power of Disability Employment: The Impact to Arizona's Economy*. ICI's Project Director will be responsible for managing all aspects of this project including work plan development, communication and meetings with the Council, and management of project staff.

4. Redo an implementation plan based on a project period of October 1, 2022 - September 30 2023.

Please see attachment A.

5. Budget and Budget Narrative/Match. The applicant must provide an updated budget that will support the updated narrative. The maximum amount to apply for is \$90,000 and a 25% match of the total program costs must be in cash or in-kind.

The research team will consist of Jean Winsor, Oliver Lyons, John Shepard, Allison Cohen Hall, and the ICI Marketing and Communications Department (MaC). Dr. Hall was added to the updated budget, both she and Mr. Shepard live and work in Arizona and are full time ICI staff. Mr. Shepard's bio and CV were included in the original application. Dr. Hall's bio is below and her CV is included in attachment B.

Allison Cohen Hall, Ph.D. will serve in the role of interview coordinator. Dr. Cohen Hall is a Senior Research Associate at the Institute for Community Inclusion. She has extensive experience coordinating research projects spanning multiple topical areas, including: the accessibility of the workforce development system; state level strategies for employment systems change; and universally designed business strategies for supporting workers. She has co-authored numerous peer reviewed journals and a book chapter on employment for individuals with IDD. Additionally, Allison actively supports individuals with disabilities to participate in meaningful roles in the research process and in product development. She received her doctorate in 2005 from the Heller School at Brandeis University, with a specialization in disability policy and has been a resident of Arizona for more than 10 years. She currently serves as a board member for the Arizona Center on Disability Law.

5a. Budget Note: The applicant shall adjust their budget costs to reflect the updated methodology and response to the clarification questions. This includes re-consideration of personnel time and the number of in-person travels to Arizona for specific meetings and data gathering.

Please see attachment C for the revised budget narrative and budget.

**Attachment A
Project Implementation Plan**

Activities	Staff hours					Quarter			
	Winsor	Lyons	Shepard	Hall	MaC	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Project Management	28					x	x	x	x
Project advisory meetings with ADDPC Executive Director and Meaningful Careers Committee	12	12	8			x	x	x	x
IRB approval	10					x			
Objective 1: Analysis of AZ outcomes	20	50	50			x			
Product 1: Summary of AZ outcomes	5	10	30			x			
Objective 2: Examine and analyze AZ practices and compare to national best practices	20	90	47			x			
Objective 3: Conduct interviews and analyze data	70	100	100	60			x	x	x
Objective 4: Development, dissemination and analysis of survey	5	10.5	10	10.5				x	x
Product 2: Summary of survey of transition age VR clients	5	10	10		10.5			x	x
Objective 5: Project meetings with ADDPC (2 required)	5	5				x		x	
Objective 6: Development of final reports and presentation									x
Product 3: Final report and recommendations	15	45	27		30				x
Product 4: Plain language executive summary report	10	20			30				x
Product 5: Virtual presentation to full ADDPC	6.5								x
Total hours	211.5	352.5	282	70.5	70.5				

Name: Allison Cohen Hall, Ph.D.

Current Position: Senior Research Associate/Project Manager
Institute for Community Inclusion
University of Massachusetts, Boston

Education

<u>Degree</u>	<u>Institution Conferring</u>	<u>Year</u>
Ph.D., Social Policy	Brandeis University	2005
M.A., Social Policy	Brandeis University	2002
B.S., Special Education	Boston University	1997

Employment

<u>Organization</u>	<u>Nature</u>	<u>Year</u>
Institute for Community Inclusion University of Massachusetts, Boston	Senior Research Associate/ Project Manager	2016-present
	Senior Research Associate/ Research Associate III	2011-present
	Research Associate II	2004-2011
	Research Associate I	2002-2004
	Research Fellow	2000-2002
Governor's Commission on Intellectual Disability (new name) Boston, MA	Policy Analyst	1998-2000
TILL, Inc. Dedham, MA	Respite provider	1994-1999

Selected publications

Lyons, O., Timmons, J., Hall, A., Enein-Donovan, L., & Kamau, E. (2022). The Benefits of Active, Person-centered Job Placement: Results from Service Providers Undergoing Organizational Transformation Away From Sheltered Employment. *IDD*. Advance online publication. <http://aaid.org/publications/journals/articles-accepted-for-publication>.

Bose, J., Timmons, J., Hall, A., Shepard, J (2021). Supporting Parents of Transition Age Youths with Intellectual and Developmental Disabilities: Findings from a Facebook Group Using Tools from Charting the LifeCourse. Issue #60. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion

- Sulewski, J.S., Timmons, J.C., Lyons, O., and Hall, A. (2019) Guideposts for High-Quality Community Life Engagement Supports: Results of Expert Interviews. *Inclusion*, 7(4) 254-268.
- Hall, A., Butterworth, J., Winsor, J., Kramer, J., Nye-Lengerman, K., Timmons, J. (2018). Building an Evidence -Based, Holistic Approach to Advancing Integrated Employment. *Research and Practice for Persons with Severe Disabilities*, 43 (3), 207-218.
- Timmons, Zalewska, A., Hall, A., Fesko, S. (2017). Exploring the Impact of Community Service on Career Exploration, Self-Determination, and Social Skills for Transition-Age Youth with Autism Spectrum Disorders. *Inclusion*, 5(1), 16-32.
- Nord, D., Butterworth, J., Carlson, D., Grossi, T., Hall, A., Nye-Lengerman, K. (2016). Employment of people with IDD: What do we know and where are we going? In *Critical issues in intellectual and developmental disabilities: Contemporary research, practice, and policy*. Washington, DC: American Association on Intellectual and Developmental Disabilities.
- Barrows, M, Billehus, J., Britton, J., Hall, A.C., Huereña, LeBlanc, N., McVay, E., Topper, K. (2016). *The Truth Comes from Us: Supporting Workers with Developmental Disabilities*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.
- Butterworth, J., Winsor, J., Smith, F. A., Migliore, A., Domin, D, Timmons, J. & Hall, A.C. (2014). *StateData: The national report on employment services and outcomes*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion
- Hall, A.C., Bose, J., Winsor, J., Migliore, A. (2014). From research to practice: Knowledge translation in job development. *Inclusion*, 2(1), 65-79.
- Kramer, J., Hall, A.,C., Heller, T. (2013). Reciprocity and Social Capital in Sibling Relationships of People with Disabilities. *Intellectual & Developmental Disabilities*, 51(6), 482-495.
- Hall, A., Bose, J., Winsor, J. and Migliore, A. (2013), Knowledge Translation in Job Development: Strategies for Involving Families. *Journal of Applied Research in Intellectual Disabilities*. doi: 10.1111/jar.12077
- Winsor, J., Butterworth, J., Hall, A.C., Boone, J (2011). The Jobs by 21 Partnership Project: Lesson Learned. *Interaction*, 25 (2), 6-19.
- Timmons, J.C., Hall, A.C., Bose, J. Wolfe, A, & Winsor, J. (2011). Choosing Employment: Factors that Impact Employment Decisions for Individuals with Intellectual Disabilities. *Intellectual and Developmental Disabilities*, 49 (4), 285-299.
- Hall, A.C., & Kramer, J. (2009). Social capital through workplace connections: Opportunities for workers with intellectual disabilities. *Journal of Social Work in Disability and Rehabilitation*, 8(3), 146-170.
- Hall, A.C., Butterworth, J., Winsor, J., Gilmore, D., Metzel, D. (2007). Pushing the employment agenda: Case study research of high performing states in integrated employment. *Intellectual and Developmental Disabilities* 43(3) 182-198

Selected presentations

- Hall, A., Timmons, J., Ko, H., Cooper, M. (2021). *Promoting Alternatives to Guardianship for Youth with Intellectual and/or Developmental Disabilities (IDD)*. Panel presentation at the Association for University Centers on Excellence in DD Annual Conference (online).

Hall, A (2020). LifeCourse Showcase Live: Charting the LifeCourse in Transition to Adulthood & Employment. Online event.

Hall, A., Bose J. (2020). *Charting the LifeCourse Family Group: Knowledge translation via a social media strategy*. Presentation at Online LifeCourse Nexus Showcase.

Butterworth, J., Hall, A., Timmons, J., Winsor, J. (2020). *Key findings and lessons learned from research on integrated employment for individuals with IDD*. National Institute on Disability and Independent Living Rehabilitation Research (NIDILIRR). Online briefing.

Hall, A.C., Shepard, J., St. John, J. (2019). *Charting the LifeCourse Family Group: Knowledge translation via a social media*. Presentation at TASH Annual Conference. Phoenix, AZ.

Mairose, D., Hall, A. (2019) *What is your dream job? I don't know, no one has ever asked me!* Presentation at APSE Annual Conference, St. Louis, Missouri.

Hall, A. (2019). *Work from Home Panel Discussion*. Invited panelist for event hosted by Luke AFB Hiring our Heroes Military Spouse Professional Network.

Hall, A., Bell, C. (2019). *Using Charting the LifeCourse to Increase Families' Expectations around Employment*. Presentation at Charting the LifeCourse Showcase. Kansas City, Missouri.

Britton, J., Billehus, J., Hall, A., (2018). *What does Employment First Really Mean to Self-Advocates?* Presentation at SABE National Conference. Birmingham, AL.

Wolfe, A., & Hall, A. (2018). *The Explore Work Curriculum*. Presentation at the FL SAND Annual Conference, Orlando, FL.

Hall, A. (2017). *Bringing Employment First to Scale*. Invited presentation for Northern Arizona University's Evidence Based Practice Conference. Scottsdale, AZ.

Butterworth, J. & Hall, A. (2017). *State of the Science Listening Session: Advancing Employment Outcomes for Individuals with IDD*. Presentation at Association of Persons Supporting Employment First (APSE) National Conference. Portland, OR.

Barrows, M., Peebles, S. Topper, K., Hall, A. (2017). *Walking the walk: Employment of self-advocates as professionals in disability organizations*. Presentation at APSE National Conference, Portland, OR.

Wolfe, A. & Hall, A. (2016). *Career Planning Workshop*. Presentation at Green Mountain Self Advocates Annual Conference. Burlington, VT.

Hall, A., & Butterworth, J. (2105). *Bringing Employment First to Scale: Integrating the evidence for a comprehensive model for change*. Panel presentation at the Association for University Centers on Excellence in Developmental Disabilities Annual Conference. Washington, DC.

Hall, A. (2015). *ThinkWork and National Core Indicator Data*. Presentation at National Core Indicator Annual Meeting. Orange County, CA.

Hall, A. (2013). *Inclusion or Isolation?* A forum hosted by the Arizona Planning Council for Developmental Disabilities and the Morrison Institute at Arizona State University. Invited panelist. Prescott, AZ.

Lulinski, A. Hall, A (2013). *AIDD Projects of National Significance and the U.S. Territories: What does it mean?* Annual Pacific Rim Conference on Disabilities. Panel presentation. Honolulu, HI.

Hall, A. (2005). *Social Capital in the Workplace: Opportunities for workers with intellectual disabilities*. Alliance for Full Participation (2005). Washington, D.C.

Certifications

Selected for and completed week-long Association of University Centers on Disabilities (AUCD) Leadership Academy (June, 2019)

Professional affiliations

Review of Disability Studies – Reviewer (2013-present)

Journal of Applied Research in Disability – Reviewer (2018-present)

Volunteer work

Arizona Air National Guard Copperhead Spouses' Group – Volunteer (2017-present)

Arizona Center for Disability Law – Board Member, Chair of the Evaluation Subcommittee (2020-present)

Arizona StandDown Coalition – Volunteer (2014; 2016).

Blue Star Families – Spouseforce Ambassador (2019-present)

The Institute, housed at Children's Center for Communication/ Beverly School for the Deaf – Advisory Board Member (2022- present).

Veterati- Volunteer mentor to military spouses seeking career guidance and support (2018-present)

Honors

2009 Emerald Literati Award for Excellence (Outstanding Paper Award). "Agents of change in the disability field: Bridge-builders who make a difference" published in: *Journal of Organizational Change Management*.

2020 Innovation Award for LifeCourse Research. Charting the LifeCourse Nexus. University of Missouri Kansas City, Institute on Human Development.

Selected Research Projects:

- Hall (PI)

2019-2023

Institute of Education Sciences, U.S. Department of Education

“Exploring How Transfer-of-Rights and Guardianship Discussions May Affect Transition Outcomes for Students with Intellectual Disabilities”

Emerging research identifies that during transfer-of-rights discussions special educators routinely provide guardianship-related information to students with IDD and their parents. Because guardianship transfers decision-making authority from student to parent, these practices undermine core aims of special education programs and affect transition outcomes of students with IDD. The ICI at UMass Boston, in partnership with the Self-Advocacy Association of New York State and Massachusetts Advocates Standing Strong, and a consultants from Harvard Law School Project on Disability will explore the relationship between special educators’ transfer-of-rights and guardianship discussions and key predictors of transition outcomes for students with IDD.

- Hall (PI)

2020-2025

Administration for Community Living (ACL), Department of Health and Human Services (HHS).

“Center on Youth Voice, Youth Choice (CYVYC): Alternatives to Guardianship for Youth with IDD”

The Center on Youth Voice, Youth Choice (CYVYC) works to increase the use of guardianship alternatives by youth with intellectual and developmental disabilities (IDD) to maximize self-determination and autonomy. The center: has a state-level and national research agenda; is developing a sustainable model for capacity building and resource dissemination; and supports a Youth Ambassador program that trains youth in leadership development. The center is guided by an advisory committee, 75% of whom are youth with IDD.

- Butterworth (PI), Hall (Co-PI/ Project Director)

2014-2019

National Institute on Disability, Independent Living, and Rehabilitation Research (NIDILRR), Administration for Community Living (ACL), Department of Health and Human Services (HHS).

“Rehabilitation and Research Training Center (RRTC) on Advancing Employment for Individuals with Intellectual/Developmental Disabilities.”

The RRTC integrates research, training, and knowledge translation across four focus areas: 1) individual and family knowledge and engagement, 2) effective employment supports, 3) organizational change for community rehabilitation providers, and 4) state-level policy and strategy. Partners include the Arc, SABE, NASDDDS, and the University of Minnesota.

Attachment C

Research on Vocational Rehabilitation Policies and Programs

Budget

(October 1, 2022 through September 30, 2023)

Primary Functions of Team Members

Personnel/Salaries: Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. If you need additional fiscal personnel to manage this grant, include those costs also. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also be sure to include the scheduled salary increases on the Budget Form.

Jean Winsor, Ph.D., is a Senior Research Associate and Project Manager will serve as Principal Investigator (PI) and will manage all aspects of this project including work plan development, communication and meetings with the ADDPC, and management of project staff. She will participate in all project activities, including stakeholder interviews and the final presentation to the ADDPC. She will be supported by contract funds (.15 FTE @ \$96,101/yr=\$14,415)

Oliver Lyons, MA, is a Research Associate II and will be primary staff (PS) providing research and policy analysis support to all objectives. He will manage and analyze qualitative data, participate in stakeholder interviews and conduct thematic analysis, collect and analyze documents, and participate in development, implementation, and analysis of the survey. He will lead development of the final report. He will be supported by contract funds (.25 FTE @ \$64,532/yr=\$16,133)

John Shepard, BA is a Data Analyst and will provide data analysis (DA) in the analysis of quantitative data, implementation of Objectives 1, 2, 3, and 4, and the development the final report. He will be supported by contract funds (.20 FTE @ \$49,245/yr=\$9,849)

Allison Cohen Hall, Ph.D., is a Senior Research Associate and Project Manager and will serve as the interview coordinator (IC) for individuals with I/DD. Dr. Hall will coordinate outreach to individuals with I/DD and their families, conduct interviews with individuals with I/DD and their families, and participate in the analysis and reporting of the interviews and survey. She will be supported by contract funds (.05 FTE @\$104,459/yr=\$5,223)

The ICI Marketing and Communications team (MAC) will provide editorial support for the survey, final and plan language reports, design graphics to support presentation of findings, and provide layout and design for the final and plain language reports. They will be supported by contract funds (.05 FTE @ \$84,523/yr=\$4,226)

The Grants Administrator will provide financial, human resource management and administrative support to the project including budget management and will be supported by contract funds (.05 FTE @ \$80,195/yr = \$2,005).

All salaries are based on current rates and include a 2% annual cost of living increase effective July 1, 2023.

Total Salary request from contract funds is \$51,851 for benefitted staff.

Fringe Benefits: The UMB fringe benefit rate is set at 37.46% of salary for general fringe plus 1.97% for payroll taxes and 0.26% for worker's compensation insurance. The Employee Health and Welfare Fund is assessed at \$16.50/week per FTE for all benefitted staff. UMB assesses the cost of fringe benefits and payroll taxes based on the state's approved rates. The rates are established in accordance with an agreement between the Commonwealth of Massachusetts and the U.S. Department of Health and Human Services (DHHS); the listed rates have been effective since 7/1/2021. Total fringe request from contract funds = \$21,201.

Supplies: Support for supplies will be provided through grant resources including such items as computer and presentation hardware, paper (stationery and photocopy), pens and pencils, back-up hard drives, computer software, and other materials. Estimated expenses are based on current prices with our contracted vendors. Total federal funds = \$1,026.

Budget detail including staff time commitment by objective over the life of the project is provided in Attachment A.

Other Expenses:

Travel: We have included a line item for travel to support one trip from the PI and to support travel by two staff who reside in Arizona. The trip will be for one staff to conduct interviews with stakeholders and meet with Council staff. Costs for trip one are based on per person travel estimates of \$500 for airfare, \$688 hotel 4 nights, \$207 for per diem (3 full days \$46 x 2 travel days \$34.50), \$70 for airport transportation or parking plus \$200 for car rental. Travel costs to support two staff who live in Arizona are to complete in person interviews with individuals with IDD and other stakeholders in five locations outside of Maricopa County but within the state of Arizona. Costs for travel outside of Maricopa County for two staff are based upon estimates of \$150 for car rental (5 trips x \$150=\$750) and \$190 per diem (5 trips \$19 per trip x 2 travelers). Total contract funds =\$2,655.

Postage: Postage is requested to support research and dissemination efforts. Total contract funds = \$50.

Telephone: Long distance and teleconferencing costs related to project management, telephone interviews and responses to interested parties regarding project activities will be supported through grant funds at \$50 per month per FTE. Total contract funds = \$435.

Printing: Printing will support recruitment materials and envelopes, data collection instruments, communication with respondents, and project outreach and marketing materials. Total contract funds = \$400.

Accommodations and translation: Funds are allocated to support participation of individuals in project meetings and focus groups, webinars, and in the development of accessible materials including captioning, remediation, and translation of print documents as well as translation services during key informant interviews. Total contract funds = \$4,000.

Data Management: Funds are allocated to support subscription to project technology tools for project management including SPSS licenses, Basecamp web-based project management software, and Zoom licenses for web-based meetings. Total contract funds = \$200.

Total Other Expenses = \$8,766

Indirect Rate: Per ADDPC requirements, an indirect rate of 10% MTDC was used to determine the indirect cost for the proposal. Total indirect contract funds = \$8,182.

Matching Funds Source: Forgone indirect costs totaling \$30,000 are being contributed as match on this proposal. The matching funds are calculated based on the University's federally negotiated rate of 52.5% MTDC, minus the indirect rate calculated using the ADDPC 10% rate.

Please see Budget Request Form and Budget Summary Table below.

Budget Summary Table
(October 1, 2022 to September 30, 2023)

One Year Budget Detail: 10/1/2022 to 9/30/2023 University of Massachusetts Boston	Year 1		
	10/1/2022 - 9/30/2023		
	Annual Rate	FTE	Request
Payroll and Fringe Benefits:			
Regular Salary			
Role & Name			
Principal Investigator, Jean Winsor, Ph.D.	\$ 96,101	15.00%	\$ 14,415
Research Assoc/Project Coordinator, Oliver Lyons	\$ 64,532	25.00%	\$ 16,133
Quantative Methodologist, John Shepard	\$ 49,245	20.00%	\$ 9,849
Interview coordinator, Allison Cohen Hall	\$ 104,459	5.00%	\$ 5,223
Marketing and Communications	\$ 84,523	5.00%	\$ 4,226
Grant Administrator	\$ 80,196	2.50%	\$ 2,005
Subtotal Salary			\$ 51,851
Fringe Benefits			
Health & Welfare \$33 biweekly/FTE	\$33		\$ 622
General Fringe	37.46%		\$ 19,423
Payroll Tax	1.97%		\$ 1,021
Worker's Comp Insurance	0.26%		\$ 135
Subtotal Fringe Benefits			\$ 21,201
Subtotal Payroll and Fringe		72.50%	\$ 73,052
Non-Payroll:			
Travel			
Project Travel			\$ 2,655
Supplies			
Office & Admin Supplies			\$ 1,026
Contractual			
Other Direct Costs			
Postage			\$ 50
Telephone \$50 per month per FTE			\$ 435
Printing			\$ 400
Accommodations and Translation			\$ 4,000
Data Management			\$ 200
Subtotal Non-Payroll			\$ 8,766
Total Direct Cost			\$ 81,818
Subtotal MTDC**			\$ 81,818
F&A Expense (52.50 MTDC)	10.00%		\$ 8,182
Grand Total Budget			\$ 90,000

Budget Request Form

Contractor Name: University of Massachusetts Boston

Contractor Address: 100 Morrissey Boulevard
Street Address

Boston
City

MA
State

02125-3393
Zip

Project Name: Research on Vocational Rehabilitation Policies and Programs

Budget Category	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	Total Program Cost
Personnel/Salaries	\$51,851	\$0		\$51,851
Fringe Benefits	\$21,201	\$0		\$21,201
Supplies / Operating Expenses	\$6,111	\$0		\$6,111
Travel	\$2,655	\$0		\$2,655
Rent or Cost of Space	\$0	\$0		\$0
Contracted Services / Professional Services	\$0	\$0		\$0
Administrative / Indirect Costs	\$8,182	\$30,000		\$38,182
Total Costs	\$90,000	\$30,000	-	\$120,000

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

Additional description and background information shall be included as a budget narrative, including for match. The contractor agrees to submit additional background information to the ADDPC upon request.

Shala Bonyun

Name of Certifying Official


Associate Director, ORSP

Title of Certifying Official

617-287-5370; orsp@umb.edu

Phone

Email


	<h1>Offer and Acceptance</h1>		AZ Developmental Disabilities Planning Council 3839 North Third Street, Ste. 306 Phoenix, AZ 85012
	SOLICITATION NAME: Research on Vocational Rehabilitation Policies and Programs	PAGE 1	
	RFGA NO: ADDPC-FFY22-VOCRHB-00B	OFFEROR: OF 2	

OFFER

TO THE STATE OF ARIZONA:

The Undersigned hereby offers and agrees to furnish the material, service or construction in compliance with all terms, conditions, specifications and amendments in the Solicitation and any written exceptions in the offer. Signature also certifies Small Business status.

DocuSigned by:



2E0A674F71C141B...

University of Massachusetts Boston

Company Name

100 Morrissey Boulevard

Address

Boston MA 02125-3393

City State Zip

orsp@umb.edu

Contact Email Address

Signature of Person Authorized to Sign Offer

Shala Bonyun

Printed Name

Associate Director, ORSP

Title

Phone: 617-287-5370

By signature in the Offer section above, the Offeror certifies:

- The submission of the Offer did not involve collusion or other anticompetitive practices.
- The Offeror shall not discriminate against any employee or applicant for employment in violation of Federal Executive Order 11246, State Executive Order 2009-9 or A.R.S. §§ 41-1461 through 1465.
- The Offeror has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause shall result in rejection of the offer. Signing the offer with a false statement shall void the offer, any resulting contract and may be subject to legal remedies provided by law.
- The Offeror certifies that the above referenced organization ___ IS/ ___ IS NOT a small business with less than 100 employees or has gross revenues of \$4 million or less.
- The Offeror is not debarred by, or otherwise prohibited from participating in any publicly-funded contract awarded by any Federal, State or local jurisdiction.

ACCEPTANCE OF OFFER

The Offer is hereby accepted.

The Contractor is now bound to sell the materials or services listed by the attached contract and based upon the solicitation, including all terms, conditions, specifications, amendments, etc., and the Contractor's Offer as accepted by the State.

This Contract shall henceforth be referred to as Contract No. _____.

The effective date of the Contract is _____.

The Contractor is cautioned not to commence any billable work or to provide any material or service under this contract until Contractor receives purchase order, contract release document or written notice to proceed.

State of Arizona
 Awarded this _____ day of _____ 20____

Jon Meyers, Executive Director

- 1. Provide an Executive Summary written in non-technical language to summarize the Applicant's overall capabilities and approaches for accomplishing the research specific in the Scope of Work. The Executive Summary should be limited to no more than two (2) pages.**

For 50 years, the Institute for Community Inclusion (ICI) has specialized in training, consultation, research and knowledge building that address employment policy and practice for individuals with disabilities, including intellectual and developmental disabilities (I/DD). The ICI has worked to ensure that people with disabilities have the same opportunity to dream big, and make their dreams a fully included, integrated, and welcomed reality. As a leader nationally and internationally, ICI strives to create a world where all people with disabilities are welcome and fully included in valued roles wherever they go, whether a school, workplace, volunteer group, home, or any other part of the community.

Since 1988, the Institute for Community Inclusion has collected and analyzed data on employment outcomes and services for individuals with I/DD and other disabilities. ICI's long-term data analysis includes an annual survey of state I/DD agency employment and day services, and secondary analysis of the Rehabilitation Services Administration 911 database (VR services and outcomes), American Community Survey, Social Security Administration (SSI Statistical Report), Bureau of Labor Statistics, and National Core Indicators Project. Core data are provided in an annual national report (Winsor et al., 2021) and as resources for advocates, policy makers, researchers, and other stakeholders at www.StateData.info and www.ThinkWork.org. Project staff have between 5 and 20 years of experience in collecting data on employment supports and outcomes for persons with I/DD and the project team includes expertise in public policy, economics, and employment support.

The ICI has extensive experience with state level policy and systems change. The ICI manages the State Employment Leadership Network (SELN), a membership roundtable of 25 state I/DD agencies committed to improving employment outcomes and has conducted comprehensive systems reviews and consultation in 38 states. ICI has partnered with Arizona's Division of Developmental Disabilities (DDD), an SELN member, for 12 years, providing access to knowledge and policy documents. Dr. Winsor is SELN project staff. In addition to ICI's expertise in employment and disability policy, outcomes, and services, project staff have expertise in public policy and data analysis. ICI is a part of the University of Massachusetts Boston (UMASS Boston). In addition, Dr. Winsor was the lead author of the report *The Power of Disability Employment: The Impact on Arizona's Economy - Full Brief and Summary* funded by the Arizona Developmental Disabilities Planning Council. Dr. Winsor, Mr. Lyons, and Mr. Shepard both have experience in the evaluation of factors that shape employment outcomes for individuals with I/DD including transition age youth.

The applicant will conduct a comprehensive review and analysis of Arizona's Rehabilitation Services (*i.e.*, the state vocational rehabilitation (VR)) program regarding its strengths and barriers assisting transition-aged youth with I/DD achieving successful employment outcomes. Data on transition-aged youth related to services provided by the Arizona Rehabilitation Services, DDD, and the Arizona Department of Education will be analyzed. When possible,

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employment outcome data will be analyzed by client type, race/ethnicity, disability, location, primary spoken language, and age.

The proposed work plan will develop a report detailing the impact of Arizona's VR program on employment of transition-aged youth with disabilities in Arizona. Using interviews and surveys with former and current VR staff, clients and other state agencies and stakeholders this report will also identify why disparities in outcomes exist across different populations, successful practices in Arizona, and barriers to improving employment outcomes for youth with I/DD. This information in conjunction with a review of national level best practices will be used to inform recommendations to improve Arizona's VR system. The efforts undertaken will also be informed by ICI's work with Arizona's DDD through their membership in the SELN.

Products from this project will include:

- Product 1: Summary analysis of Arizona's current employment and service outcomes for transition age youth with I/DD
- Product 2: Summary of survey of VR services in AZ for transition aged youth
- Product 3: Final report and recommendations
- Product 4: Plain language executive summary report
- Product 5: Presentation to full ADDPC

Project recommendations will consider:

- How well is Arizona's VR program performing in helping transition-aged youth (ages 14- 24) with I/DD obtain their employment goals?
- The key strengths and barriers to achieving successful outcomes for Arizona's VR program.
- Do disparities exist in employment outcomes by disability type, spoken language, and race/ethnicity? If so, what is the nature of the disparities and why do they exist?
- Are there specific services that move youth toward a path that led to successful outcomes? Are certain services more impactful than others? Are service trends emerging? Are there true success markers?
- What does not currently work well within the Arizona VR system? Are there services that are not producing positive impacts?
- Recommended measures to capture/demonstrate successful outcomes for transition-aged youth with disabilities.

This proposal includes staff resources to participate in two scheduled calls with ADDPC staff to discuss project progress, identify barriers and solutions to project implementation, and get feedback, as well as resources to work with the ADDPC Executive Director and Meaningful Careers Committee to review and comment on project implementation protocols and findings, and to support development of recommendations. ICI's Project Director will be responsible for managing all aspects of this project including work plan development, communication and meetings with the Council, and management of project staff.

2. Describe in detail how the Applicant will complete the Scope of Work related to the tasks of researching and understanding the state VR system, including their policies and programs.

Introduction. It has been well-documented that significant disparities exist in the employment of people with and without disabilities (Winsor et al., 2021). However, what is less studied is the disparities existing among people with disabilities. Shepard et al. (2020) examined data from the American Community Survey (ACS), Rehabilitation Services Administration, and the National Core Indicators Project and found that there are employment disparities across these data sets by race, ethnicity, and gender. Butterworth & Migliore (2015) examined the same data sets with a focus on transition aged youth and identified differences in outcomes across different states.

Research has found that state vocational rehabilitation (VR) systems experience a range of outcomes for transition age youth and individuals from diverse communities. While the VR system provides necessary services and supports, the system has classically had difficulties engaging with underserved and marginalized communities of color (Nord & Nye-Lengerman, 2015; Nye-Lengerman & Nord, 2015).

A 2019 research report funded by the ADDPC titled “The Power of Disability Employment: The Impact of Arizona’s Economy” (Winsor et al., 2019) found Arizona’s employment of working-age adults with disabilities on par with national trends (10.2%) but much lower than the national average when it came to individual, integrated employment for those same adults. The report also found similar disparities in Arizona’s VR closures into employment as compared to the national average (22% compared to 32% nationally.) While the report noted Arizona had a higher-than-average percentage of post-school outcomes, including being competitively employed within one year of leaving high school, what was not examined was if employment outcomes and VR closure trends for working age adults hold true for Arizona’s transition-aged population of youth with I/DD.

Similarly, while Winsor et al.’s report examined Arizona’s outcomes compared to several similar states chosen for their relation in terms of services offered, labor force participation, and demographics; the outcomes for transition- aged youth were not examined separately across these states nor was the data examined by race and compared to national trends. The selection of comparison states for that report was influenced by Arizona’s high proportion of individuals who identify as Hispanic and who identify as American Indian¹.

A recent unpublished examination of Rehabilitation Services Administration data from fiscal year 2020 by the ICI tells us that nationally, the number of VR closures into employment for youth aged 14-24 with any disability was 28% which is similar to Arizona’s VR closure rate into for the same cohort (25%). However, when that closure rate is examined in relation to the states selected by Winsor et al. (2019), Arizona’s closure rate is one of the lowest. And when this same

¹ American Indian is the official term used by the United States Census Bureau. Please see <https://www.census.gov/newsroom/blogs/random-samplings/2021/08/measuring-racial-ethnic-diversity-2020-census.html> for additional information.

data is examined by race, we see that in Arizona, closures into employment for Black youth were only 20% and 23% for Hispanic youth compared to 29% for White youth, echoing disconcerting national trends that must be addressed (Appendix B).

Project Goals and Objectives. The applicant will conduct a comprehensive review and analysis of Arizona's VR program regarding its strengths and barriers assisting transition-aged youth with I/DD achieving successful employment outcomes. Data on transition-aged youth related to services provided by the Arizona Rehabilitation Services, Division of Developmental Disabilities and the Arizona Department of Education will be analyzed. When possible, employment outcome data will be analyzed by client type, race/ethnicity, disability, location, primary spoken language, and age.

The proposed work plan will develop a report detailing the impact of Arizona's VR program on employment of transition-aged youth with disabilities in Arizona based on the above factors (client type, race/ethnicity, disability, location, primary spoken language, and age). Using interviews and surveys with former and current VR staff, clients and other state agencies and stakeholders this report will also identify why disparities in outcomes exist across different populations, successful practices in Arizona, and barriers to improving employment outcomes for youth with I/DD. This information in conjunction with a review of national level best practices will be used to inform recommendations to improve Arizona's VR system. The efforts undertaken will also be informed by ICI's work over twelve years with Arizona's Division of Developmental Disabilities (DDD) through their membership in the State Employment Leadership Network (SELN).

Objective 1: Conduct comprehensive research on Arizona's VR policies and programs by analyzing VR data to determine specific employment outcomes by client type, also taking into consideration outcomes by race/ethnicity, disability type, location, and age.

The project will use data from the Rehabilitation Services Administration (RSA), as well as the American Community Survey (ACS), Bureau of Labor Statistics (BLS), National Core Indicators (NCI), and Individuals with Disabilities Education Act Part B performance indicators to describe the current employment outcomes of transition-aged youth in Arizona. The RSA-911 database will serve as the primary database for our analysis while the ACS, BLS, NCI, and IDEA indicators will provide additional contextual data that will allow for a more robust understanding of Arizona's outcomes for transition age youth with I/DD. Discrepancies in employment outcomes based on client type, race/ethnicity, disability, location, primary spoken language, and age will be addressed, and trends in key outcomes such as employment participation, hours worked, earned income, will be developed.

Comparison states will be identified for inclusion based upon consultation with ADDPC Executive Leadership and the Meaningful Careers Committee. We will develop three year rolling averages when needed to ensure sufficient cases for analysis for specific populations. This objective will be completed during Quarter 1 of the project. Table 1 describes each data set and the specific variables that will be analyzed.

Table 1: Data set and variables

Data Set	Description	Variables
The Rehabilitation Services Administration (RSA)-911 database	The Rehabilitation Services Administration (RSA) provides leadership and resources to assist state and other agencies in providing vocational rehabilitation and other services to individuals with disabilities. RSA collects data by each state Vocational Rehabilitation (VR) agency on consumers closed in a fiscal year. RSA-911 data includes information regarding demographics, disability, service interventions, reason for case closure, sources of financial support, and employment status at closure.	<ul style="list-style-type: none"> -Age (% and number) -Race and ethnicity -Gender (% and number) -Received services -Total number of closures -Number of successful closures into employment -Rehabilitation rate -Percentage employed -Time to closure (successful, unsuccessful) -Mean weekly work hours (The above broken down by all disabilities and intellectual disability)
American Community Survey	The American Community Survey (ACS) is a national survey designed and administered by the U.S. Census Bureau to better understand changing communities. The ACS collects information from all 50 states and D.C. on topics such as disability, age, race, income, and other demographic and personal data (www.census.gov). To gather information on people with disabilities, the Census Bureau asks six questions on long-lasting conditions and functional impairments. Any person who indicates having one or more of these conditions or functional impairments is coded as having a disability.	<ul style="list-style-type: none"> -Age (% and number), -Employment status, -Work status over past 12 months (weeks and hours worked), -Race and origin, -Gender (% and number), -Zipcode -Speaks English not well or not at all (% and number), -Disability categories (the ACS classifies individuals as having a disability based on answering affirmatively to one or more questions)
Bureau of Labor Statistics	The Bureau of Labor Statistics is part of the U.S. Department of Labor. It is responsible for measuring labor market activity, working conditions, and price changes in the economy.	<ul style="list-style-type: none"> -Average hours and earnings in nonfarm employment

Data Set	Description	Variables
National Core Indicators (NCI)	The NCI tracks the outcomes of people with intellectual disabilities who received services from participating state intellectual and developmental disabilities agencies. Data is collected from a random sample of individuals who received services from these state agencies. Data is then aggregated and used to support state efforts to strengthen long-term care policy, inform the conduct of quality assurance activities, and compare state performance with national norms.	-Total reporting -Age (% and number) -Race and ethnicity -Percentage in integrated employment -Percentage in individual employment, group employment, facility-based employment -Two-week earnings (adjusted for inflation) -Two-week work hours
Individuals with Disabilities Education Act Part B performance indicators	Statewide data on education participation and outcomes for students who receive special education services are available from data collected for reporting to the U.S. Department of Education in response to the IDEA Part B performance indicators.	-Students had an appropriate transition plan (Indicator 13) -Enrolled in higher education within one year of leaving high school (Indicator 14a) -Enrolled in higher education or competitively employed within one year of leaving high school (Indicator 14b)

Product 1: Summary analysis of Arizona’s current employment and service outcomes for transition age youth with I/DD

Objective 2: Examine national best practices of VR policies and programs to compare with Arizona’s current VR system. Highlight areas that the State of Arizona may strengthen.

ICI will identify and analyze Arizona’s VR policies and program requirements for transition age youth as well as nationally identified best practices in VR services for transition-aged youth with disabilities. Project staff will conduct a review of existing juried and grey literature including a scan of websites and publications of known transition employment training and technical assistance organizations, both public (National Technical Assistance Center on Transition, Workforce Innovation Technical Assistance Center, JAN, Office of Disability Employment Policy, etc.) and private (PACER Center, Griffin Hammis and Associates, etc.). Additionally, we will research if there are specific practices in the comparison states identified in Objective 1 that could be used to improve Arizona’s VR system. Sample areas of analysis will include but not be limited to:

- Pre-Employment Transition Services (i.e., existing school-to-work contracts, and opportunities for work-based learning, apprenticeships, self-advocacy training, peer mentorship, benefits planning, etc.).
- Collaboration between VR, local schools and workforce development systems to facilitate the transition of students with disabilities from school to competitive integrated employment.

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- Collaboration between VR, local schools, and the Division of Developmental Disabilities (DDD) to support the successful transition of youth from the school to adult service system.
- Implementation of Section 511 of the Rehabilitation Act requirements prior to an individual's entry into subminimum wage employment.

This task will be completed during Quarter 1 of the project.

Objective 3: Conduct interviews to determine experiences with VR, including with current/former (within 3 years) VR clients and their families; VR staff; VR contracted provider staff; school staff; and staff from state agencies/programs including Division of Developmental Disabilities (DDD), Arizona Health Care Cost Containment System (AHCCCS), and the Arizona Department of Education (ADE).

ICI has established contacts at Arizona's Division of Developmental Disabilities (DDD), ADDPC, Sonoran Center for Excellence in Disabilities, and the Southwest Institute for Families and Children, and will work with these entities as well as ADDPC staff and the Meaningful Careers Committee to identify current contacts at Arizona's VR agency, Arizona Health Care Cost Containment System (AHCCCS), the Arizona Department of Education (ADE), and Tribal/Regional Behavioral Health Authority (T/RBHA) who can identify individuals to be invited to participate in the interviews. The applicant will also conduct interviews with current and former Arizona VR clients and their families, VR staff, VR contracted provider staff, school staff, and staff from listed agencies/programs, in order learn about the services offered to and the experiences of transition-aged youth with disabilities with a focus on youth with I/DD. As the focus of these interviews will be the experiences of individuals with I/DD who have received or are currently receiving VR services we will strive to include a minimum of 20 individuals who meet these criteria in our data collection.

We are committed to including stakeholders from diverse racial, ethnic, geographic, and cultural groups within Arizona, especially with respect to transition-aged clients and their families. This proposal includes budgetary resources for interpreters and translation services so that stakeholders for whom English is not their primary language or who do not speak English may have their experiences included in these interviews. Specifically, we anticipate that the interview materials will be translated to Spanish and that we will need to offer translation services for Spanish speakers; translation for additional languages will occur as required for participants. We will use the University of Massachusetts Amherst Translation Center (<https://www.umass.edu/translation/translation-center-0>) to provide a timely response to the project's translation and interpretation needs.

The applicant will also address cognitive accessibility by ensuring all project materials, including consent forms, are written in plain language. Using plain language means understanding and accounting for the audience level of knowledge when writing products for dissemination (www.plainlanguage.gov). The ICI's Marketing and Communications department will review project materials to ensure they conform with plain language standards for improved accessibility.

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Interviews will take place in person and over Zoom. All interview recordings or notes will be transcribed, and the interviews will be assembled into ATLAS.ti version 9 software in preparation for qualitative analysis. Data analysis will consist of a thematic analysis of factors that shape youth experiences with Arizona's VR system. Analysis will take place in three steps. The project team will read, then "open-code" all the data, followed by a team review of emerging codes and consolidation of any redundant codes (Miles & Huberman, 1994; Patton, 1990, 2002; Taylor & Bogdan, 1998). Operational definitions for each code will be developed as a group to ensure that all team members have a shared understanding of the code. The ICI team will meet regularly throughout coding to compare specific passages and check for coding consistency (Charmaz, 2000). Each transcript will be coded by one primary and one secondary coder to ensure consistency across coders. Finally, researchers will write memos based on themes and stories emerging from the coded text (Miles & Huberman, 1994; Patton, 1990, 2002; Taylor & Bogdan, 1998). The team will use a constant comparative method of analyzing the data from within and across groups to identify themes (Charmaz, 2000; Degeneffe & Olney, 2010; Dellve et al., 2000; Kendall, 1999; Mactavish & Schleien, 2004). After each document is uploaded to ATLAS.ti, team members will label each document with a type of unit of analysis. Each document will be assigned to at least one unit of analysis. Examples of units of analysis might include "high satisfaction" or "low satisfaction" with VR services for youth and family, promising practices, and particular demographic characteristics including racial/ethnic group, or other differences that emerged through the quantitative analysis and were further explored in qualitative interviews. Therefore, in addition to being able to analyze data through coding, researchers will also be able to "slice" the data according to its unit of analysis assignment(s).

All participants in all data collection activities will be informed about their rights for participation in research and all research activities will be approved by the University of Massachusetts Boston Institutional Review Board (see Section 3). Additionally, we will follow all Arizona VR policies and procedures regarding confidentiality and interviews with VR clients.

Questions asked of these stakeholders will be informed by findings from Objectives 1 & 2 and advisory meetings with ADDPC staff and the Meaningful Careers Committee. Objective 3 tasks will be completed in Quarters 2 & 3.

Please see Appendix C for sample interview questions.

Objective 4: Create and disseminate a VR survey for transition-aged youth (ages 14-24) with I/DD related to their experiences with VR.

The applicant will develop a survey for transition aged youth with I/DD in Arizona to complete related to their experiences with VR. This survey will focus on the knowledge of different types of VR transition services, communication from and about VR transition services, and their overall satisfaction with their VR services. Our core group of respondents will be individuals who have received VR services who participated in interviews conducted during Objective 3 with the goal of having a minimum of 30% of those individuals complete the survey.

If deemed appropriate by ADDPC staff and the Meaningful Careers Committee, we will expand distribution of the survey more broadly across Arizona to capture the experiences of youth who were not identified to participate in the Objective 3 interviews. Staff named on this project have

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developed and conducted successful online surveys including a 2019 survey regarding the self-advocacy needs of transition-aged youth in Massachusetts as part of the Massachusetts Partnership for Transition Towards Employment that achieved an 82% response rate and was distributed to 35 towns and cities across the state.

Survey statements will be scored using a Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree) with average scores for each question computed across all survey respondents. We expect to have at least one open-ended question in the survey and a Word Cloud will be generated for those results that will reveal any overarching themes and which will be included in the final reports.

Survey materials will be translated so that youth for whom English is not their primary language or who do not speak English may participate. We anticipate that at a minimum the survey materials will be translated to Spanish; however, translation into additional languages will occur as needed. The survey will be available to be completed in paper and pen format as well as online for ease of distribution and completion. Please see Appendix D for sample survey questions.

Objective 4 will be completed in Quarters 2 & 3.

Product 2: Summary of survey of VR services in AZ for transition aged youth

Objective 5: Participate on a minimum of two (2) scheduled calls with the ADDPC for the purpose of discussing the progress of research. This proposal includes staff resources to participate in at least two scheduled calls with ADDPC to discuss project progress, identify barriers and solutions to project implementation, and get feedback. Meetings will be mutually scheduled by the ADDPC staff and ICI Project Director. ICI's Project Director will be responsible for managing all aspects of this project including work plan development, communication and meetings with the Council, and management of project staff.

The proposal also includes staff resources to participate in project advisory meetings specifically with the ADPPC's Executive Director and Meaningful Careers Committee to ensure they have ample opportunities to participate in the finalization of the survey instruments, interview protocols, or data set requests. The ICI previously worked successfully with ADDPC staff and the Arizona Employment First partners to advise in the completion of the report *The Power of Disability Employment: The Impact to Arizona's Economy*. ICI's Project Director will be responsible for managing all aspects of this project including work plan development, communication and meetings with the Council, and management of project staff.

Objective 6: The Applicant will provide two final reports at the conclusion of the contract and present their findings at a full ADDPC meeting.

The development of the final report and plain language executive summary will be driven by the results of Objectives 1 through 5 and Products 1 and 2. summary of Arizona's VR employment outcomes; (b) summary of weaknesses within Arizona's VR system compared to national VR programs; (c) interviews with Arizona VR stakeholders including former and current staff,

family, and youth and, (d) survey results detailing Arizona transition-aged youths experiences with the VR system.

The final report will consider:

- How well is Arizona's VR program performing in helping transition-aged youth (ages 14- 24) with I/DD obtain their employment goals?
- The key strengths and barriers to achieving successful outcomes for Arizona's VR program.
- Do disparities exist in employment outcomes by disability type, spoken language, and race/ethnicity? If so, what is the nature of the disparities and why do they exist?
- Are there specific services that move youth toward a path that led to successful outcomes? Are certain services more impactful than others? Are service trends emerging? Are there true success markers?
- What does not currently work well within the Arizona VR system? Are there services that are not producing positive impacts?
- Recommended measures to capture/demonstrate successful outcomes for transition-aged youth with disabilities.

The report structure will include an Executive Summary, Introduction, Methodology, Results, Discussion, and Conclusion/Recommendations. This objective will be completed during Quarter 4 of the project.

Product 3: Final report and recommendations

Product 4: Plain language executive summary report

Additionally, project resources have been allocated to presenting the findings to the full ADDPC. The applicant understands that the meeting time and date will be provided by the ADDPC prior to the end of the project.

Product 5: Presentation to full ADDPC

3. Describe in detail how the Applicant will consider and implement confidentiality requirements, parameters, and protocols as research with clientele will be undertaken.

The applicant considers the confidentiality of clientele information of the utmost importance. The applicant will follow all Arizona VR policies and procedures regarding confidentiality and interviews with VR clients. Additionally, all human subjects research conducted under this award will be submitted to The University of Massachusetts Boston Institutional Review Board (FWA# 00000465) for approval. All project objectives that involve human subjects will be submitted for human subjects' review including the survey and interviews. We will consult with the University of Massachusetts Boston (UMB) Office for Research and Sponsored Programs (ORSP) and Institutional Review Board (IRB) to ensure adherence to the Common Rule. The Common Rule defines "human subject" at 45 CFR 46.102(f) as follows: a living individual about whom an investigator (whether professional or student) conducting research obtains (a) data through intervention or interaction with the individual; or, (b) identifiable private information

(U.S. Department of Health and Human Services, 2009). The IRB application includes sections specifically pertaining to the source of data, recruitment and informed consent procedures, data collection processes, potential risks to participating in the study, methods that will be used to protect human subjects from risk, and importance of the knowledge to be gained. Please see Appendix E for the UMB IRB templates.

Including people with I/DD in this project is crucial to understanding their unique perspectives on the services of which they are the primary users. As people with I/DD are considered a vulnerable population, great care will be taken to develop a recruitment process that ensures participants are knowledgeable about the study and understand the risks and benefits of their participation. In addition, based on previous research conducted at ICI, specific criteria have been developed for individuals with I/DD so that only individuals who understand the nature of the project will participate (Timmons, Hall, Bose, Wolfe & Winsor, 2011). The following criteria regarding an individual's ability to participate in this capacity will be included in the protocol: (1) an understanding of their own services and supports, (2) the cognitive capacity to understand and participate, and (3) that the individual wants to participate. The consent forms will be made accessible to all populations. Examples of ways in which the consent forms will be made accessible include large print, Braille, or ICI staff verbally reviewing it with participants who do not read or who have an intellectual disability. Extreme care will be taken in conducting the consent process with each potential participant to ensure that he or she has full understanding of the project. Full understanding will be discerned by asking participants to repeat content back to those collecting data.

In addition to approval for informed consent procedures, the UMB IRB also requires researchers to adequately describe procedures for handling and storing research data. The IRB approves all storage methods and backup procedures for maintaining study data, including the physical and cyber resources and facilities that will be used for the effective preservation and storage of the research data. The ICI has access to secure data storage at the UMB through the licensed Microsoft cloud storage OneDrive. Research staff login to OneDrive using unique UMB credentials. Additionally, all UMB staff have access to password-protected hard drives authorized by UMB that are property of the US Government. UMass Boston also maintains a secure server (VPN) for research data backups, accessible only to research staff with UMB credentials. The physical storage of all computing equipment is restricted by locked file cabinets and office space designated for data storage.

4. Discuss how the Applicant will analyze and present its research to discuss trends, any state or federal initiatives underway, best practices learned or barriers for a state VR system to address.

A review of Arizona's VR system and how it impacts the employment outcomes of transition aged youth will be conducted with the goal of obtaining a comprehensive understanding of the current outcomes, structure, challenges, and opportunities. Data will be examined for Arizona as well as national level best practices to assist in the improvement of employment services and outcomes for youth, including youth from diverse backgrounds. Table 2 describes our data collection strategy. The review will include:

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1. *Data trends.* Data review will include data on employment outcomes and services from public and ICI databases, including the Rehabilitation Services Administration 911, the American Community Survey (ACS), Bureau of Labor Statistics (BLS), the National Core Indicators Project (NCI), and IDEA Part B performance indicators.
2. *Document review.* A systematic and comprehensive review will be conducted of documents that provide background information on the current status of VR transition and employment services and supports in Arizona, previous and current capacity-building efforts, and the structure of the current service delivery system. Documents to be reviewed include policies, memoranda of understanding, Workforce Innovation and Opportunity state plans, VR service definitions, contracting methods, and payment structures, outcome data, project reports from past work funded through the ADDPC and Arizona Employment First Partnership, results of the Achieving Success by Promoting Readiness for Education and Employment (ASPIRE) project, and state program reports. Additionally, a review of existing juried and grey literature will be conducted to identify national level best practices.
3. *Key informant interviews* will be conducted with staff of key state agencies. In addition, we will conduct interviews with a minimum of twenty transition age youth who have recently received or are currently receiving VR services and their families, school staff, and VR contracted provider staff to gather an understanding of their experiences with VR.
4. *Survey of transition age youth who are current and recent VR clients.* The survey will focus on the knowledge of different types of VR transition services, communication from and about VR transition services, and their overall satisfaction with their VR services.

Table 2: Data collection strategy and target

Strategy	Target
Data trends	-RSA-911 database, ACS, BLS, NCI, and IDEA Part B performance indicators.
Document review	Policies, Workforce Innovation and Opportunity Act State Plan, Vocational Rehabilitation Services including service definitions, outcome data, project reports, Office of Special Education services, Arizona Employment First Partnership, and state-funded services, and review of the juried and grey literature.
Key informant interviews	-Vocational Rehabilitation (VR), Division of Developmental Disabilities (DDD), Arizona Health Care Cost Containment System (AHCCCS), Arizona Department of Education (ADE), Tribal/Regional Behavioral Health Authority (T/RBHA) -Current and recent transition age youth who received VR services and their families -School staff -VR contracted provider staff

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Strategy	Target
Data trends	-RSA-911 database, ACS, BLS, NCI, and IDEA Part B performance indicators.
Survey of current and recent VR clients	-Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree). Average scores for each question computed across all survey respondents. -At least one open-ended question

Presentation of findings will be informed by the ICI’s long-time experience developing products to inform government agencies and related stakeholders. Examples of this experience are: State Employment Leadership Network (July 2004 to present); Florida EmployME1st: Developing an Employment First Implementation Plan for Florida, Florida Developmental Disabilities Council (2011 to present); and The Power of Disability Employment: The Impact of Arizona’s Economy – Full Brief and Executive Summary (October 2019).

ICI has a long history of including individuals with disabilities as stakeholders in our work. ICI has collaborated with the national organization Self-Advocates Becoming Empowered (SABE) on research and employment policy, Massachusetts Advocates Standing Strong to develop a curriculum on employment and companion video for job seekers for the Massachusetts Department of Developmental Services, and self-advocates in Florida to develop and implement a statewide employment first culture. The full inclusion of individuals with disabilities, including the dissemination of project findings, continues to be a hallmark of ICI’s work.

The ICI currently uses the Federal Plain Language Guidelines” (<http://www.plainlanguage.gov/howto/guidelines/bigdoc/fullbigdoc.pdf>) to measure plain language product readability.

Building upon these experiences the ICI will develop a plain language summary of Product 3 with the expertise of ICI’s Marketing and Communications Team’s support to ensure clear communication and to develop clear and compelling graphical summaries (“Infographics”) that illustrate key findings and recommendations. Please see Appendix F for examples of our products.

5. Describe the organizational capacity of the firm or individual(s) to undertake the scope of work. This includes previous or similar work by the firm or individuals, length of time on such work and outcome of projects. State how long the firm has been in business and how it is primarily funded (i.e. grants, state contract, foundations).

Research Team. Please see Attachment D for complete CVs of the principal investigator and each team member.

Jean Winsor, Ph.D. (FTE .15) has been with ICI since 2002. She will serve as the principal investigator. Her work focuses on state systems and integrated employment as well as program evaluation. Dr. Winsor: is Project Director of the Access to Integrated Employment Project a national longitudinal data project, is Project Director for the multiyear EmployMe First Florida

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Project which brings together multiple state agencies to implement employment systems change activities, is a policy specialist and technical assistance provider for the State Employment Leadership Network (SELN), and has served as principal staff for research projects such as: The Power of Disability Employment: The Impact to Arizona's Economy; Rehabilitation Research and Training Center on Advancing Employment for individuals with Intellectual and developmental Disabilities; and Partnerships in Employment Training and Technical Assistance Center (2011-2016).

Oliver Lyons, MA, (FTE .25) will serve as the project manager. His work focuses on increasing the effectiveness of employment consultants who work with individuals with I/DD, and building capacity and supporting community rehabilitation providers with organizational transformation. As part of the Massachusetts Partnership for Transition to Employment (MPTE), Oliver has worked with several self-advocates to refine the Summary of Performance document used by Massachusetts public schools to plan future goals for their transition -aged students to include more input from the voice of the student as well as worked with self-advocates to create resources for transition-aged youth regarding working and learning remotely during Covid. Oliver also has many years of experience with both quantitative and qualitative data analysis methods.

John Shepard (FTE .10) will serve in the role of data analyst. He works on various projects that track national and state-level employment trends, and monitoring and improving employment outcomes for people with disabilities. He is responsible for creating and managing databases, analyzing datasets for intervention research projects, recruiting and tracking participants, and secondary data analysis of large datasets. His current work includes tracking and analyzing employment outcomes for Massachusetts Department of Developmental Services and Maryland Developmental Disabilities Administration, and analyzing state and national employment outcomes and demographics. Recently, John supported a family engagement intervention that used social media to improve knowledge and beliefs around transition outcomes for parents of children with disabilities. He has had over 6 years of experience managing and analyzing both qualitative and quantitative data and received his bachelor's degree from Tufts University in Massachusetts.

ICI Marketing and Communications Department (MaC). Communication and knowledge translation is guided by ICI's seven-member Marketing and Communications (MaC) Team. The services of the MaC Team are embedded in the cost plan for this proposal. The ICI MaC team has expertise in editing, social media, document design, accessibility, instructional design, and web design. This project will rely primarily on MaC team editorial support, development of plain language materials, report design, and development of infographics to support findings and recommendations.

Organizational Capacity. For over 35 years, the Institute for Community Inclusion (ICI) has specialized in training, consultation, and translational research that addresses employment policy and practice for individuals with disabilities, including intellectual and developmental disabilities (I/DD). The University, and specialized services within ICI, provide a range of resources such as transcription, interpreter services (including American Sign Language, video production, computer support, librarian services, and materials production. ICI houses over 30 employment

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and transition-related research, demonstration, and training projects including the State Employment Leadership Network, the Rehabilitation Research and Training Center on Advancing Employment, the Access to Integrated Employment Project, the EmployME 1st Florida project, the Massachusetts Employment First Initiative, the Job-Driven VR Technical Assistance Center, and the ThinkCollege National Coordinating Center. ICI works across state systems that support employment outcomes including education, intellectual and developmental disability (I/DD), vocational rehabilitation (VR), behavioral health, and workforce development.

Experience in collection and analysis of data related to employment services and outcomes.

Since the mid-1980s, the Institute for Community Inclusion has collected and/or analyzed data on employment outcomes and services for individuals with I/DD and other disabilities. In addition to topical research projects, ICI's longitudinal data analysis includes an annual survey of state I/DD agency employment and day services, a periodic survey of community rehabilitation providers, and secondary analysis of the Rehabilitation Services Administration 911 database (VR services and outcomes), American Community Survey, and Social Security Administration (SSI Statistical Report), and Workforce Development. The ICI partners with the Human Services Research Institute to access data from the National Core Indicators Project (I/DD agency outcomes). Core data are provided in an annual national report (Winsor et al., 2021) and as on-demand resources for advocates, policy makers, researchers, and other stakeholders at www.StateData.info in conjunction with translational research and practical tools published on www.ThinkWork.org. Project staff have between 10 and 20 years of experience in collecting data on employment supports and outcomes for persons with I/DD and include expertise in public policy, economics, and employment support.

In addition to data analysis, the ICI has extensive experience with state level policy and systems change. The ICI manages the State Employment Leadership Network, a membership roundtable of 25 state I/DD agencies committed to improving employment outcomes and has conducted comprehensive systems reviews and consultation in 38 states. ICI has partnered with Arizona's Division of Developmental Disabilities, a SELN member, for 12 years, providing access to knowledge and policy documents, and Dr. Winsor is SELN project staff. In addition to a comprehensive state assessment, in recent years project staff have conducted state level analysis in Florida (EmployMe First Florida and Supported Employment Provider Rate Options Study), Iowa (State Data Profiles and Systematic Approach to Revising Iowa's Integrated Employment Funding System), and Idaho (State Policies and Practices to Support Individual Integrated Employment), and developed and maintain an employment outcome data system for the Massachusetts Department of Developmental Services and the Maryland Developmental Disabilities Administration.

Appendix A References

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Appendix B
Unpublished data analysis by ICI

Table 1 and Figure 1 show the percentage of closures that into employment for the US and eight states, including Arizona. The states selected represent the comparison states from Winsor et.al. (2019). The percentage of closures into competitive/supported employment range from 20% to 45%, with Iowa having the highest percentage and highest number. Out of 2,660 closures in Arizona, 673 (25%) resulted in successful employment outcome.

Table 1: VR closures into employment for individuals aged 14-24 with any disability by state

State	Number of Closures	Closure into employment	Percentage of closures into employment
US	167,973	48,167	29%
Arizona	2,660	673	25%
Alaska	289	100	35%
Iowa	2,465	1,111	45%
Kansas	1,230	400	33%
Minnesota	4,261	1,094	26%
Nevada	905	178	20%
North Dakota	667	223	33%
South Dakota	724	209	29%

Source: RSA911 FY 2020

Figure 1: VR closures into employment for individuals aged 14-24 with any disability by state

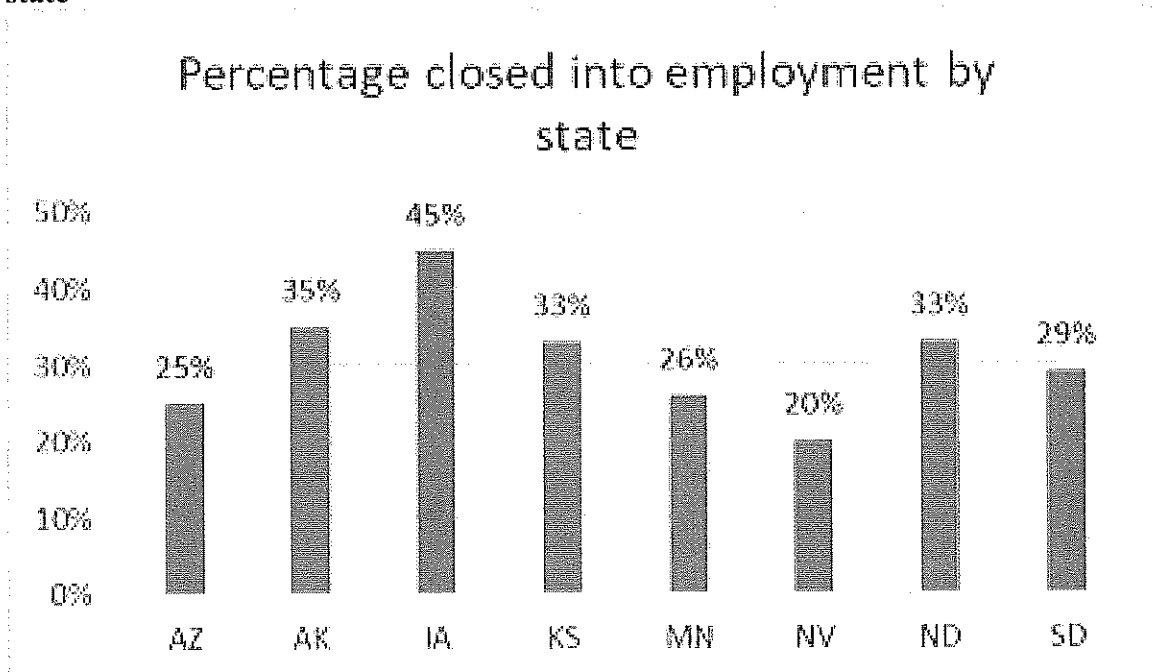


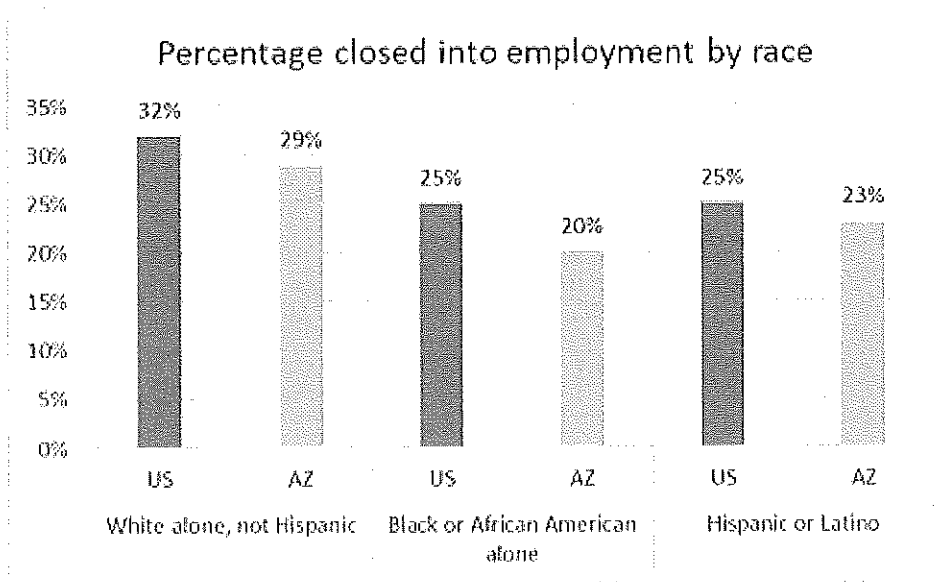
Table 2 and Figure 2 compare the percentage of closures into employment in Arizona to the overall percentage across the US for youth, by race and ethnicity. The percentage of closures into employment in Arizona is slightly lower than the US average. Compared to the national percentages when race and ethnicity are included in the analysis the percentage of closures into employment for VR clients who identify as Black or African American alone, and Hispanic and Latino individuals, are lower than those who identify as White alone and not Hispanic in Arizona.

Table 2: VR closures into employment for individuals aged 14-24 with any disability by race

State	Race	Number of Closures	Closure into employment	Percentage of closures into employment
US	White alone, not Hispanic	94,845	30,067	32%
	Black or African American alone	34,715	8,539	25%
	Hispanic or Latino	26,404	6,727	25%
Arizona	White alone, not Hispanic	1,260	361	29%
	Black or African American alone	210	41	20%
	Hispanic or Latino	914	213	23%

Source: RSA911 FY 2020

Figure 2: VR closures into employment for individuals aged 14-24 with any disability by race



Appendix C

Sample interview questions

Interview questions will be specific to the type of engagement the interview has had with the VR program

For current and recent VR clients and their families:

- How were you first introduced to the Arizona VR system?
- Was the VR system able to secure you employment?
- If so, was the employment VR helped you find aligned with your employment goals?
- What were some of the positives about working with the VR system?
- Were there things about the VR system you did not like?
- What would you change about the VR system?

For current and former VR staff:

- How long were you/have you been involved with Arizona's VR system?
- What are some examples of VR services that work well with regards to successful employment outcomes for youth?
- Are there areas of the VR system that could be improved in regard to the successful employment of youth?
- How well do you feel Arizona's VR system serves its diverse racial / ethnic / geographic population?

For school staff and state agencies:

- What is Arizona's VR system's current timeline for engaging with youth?
- Describe the current relationship between Arizona schools and the state's VR system?
- What are some examples of VR services that work well with regards to successful employment outcomes for youth?
- What are some areas of Arizona's VR system where you could see improvement in regard to the successful employment of youth?
- How well do you feel Arizona's VR system serves its diverse racial/ethnic/geographic population?

Appendix D
Sample survey questions for youth

Please answer how much you agree with the following statements using the following scale:

(1) Strongly Disagree (2) Disagree (3) Neither Disagree or Agree (4) Agree (5) Strongly Agree

1. I found a job through Arizona's VR system in a reasonable amount of time
2. The job VR found for me matched what I wanted to do
3. I learned about the VR system through my school
4. VR involved my parents/guardians when talking with me about my employment plans
5. The people I met at VR clearly explained to me what their services were
6. The people I dealt with at VR were able to talk to me using the language I felt most comfortable communicating in
7. The people I dealt with at VR listened to any questions and concerns I had
8. I was satisfied with the overall VR services I received
9. If I could change one thing about the VR services I received it would be: _____
10. The thing I liked the most about VR services was: _____



Appendix E
UMASS Boston Institutional Review Board Documents

University of Massachusetts Boston
Department of _____
100 Morrissey Boulevard
Boston, MA 02125-3393

Consent Form for [insert Title of Research Project]

[Please Note: There are many different ways to construct a consent document. Researchers are encouraged to create a form that best fits the context, population, and other parameters of the proposed study. Researchers should construct forms that participants can easily understand in terms of language, tone, grammar and content. Use lay terms and not jargon. Consent forms should be written in second person (if you agree to participate in the study, this is what you are asked to do).

*This template provides the required **basic elements of informed consent**. They are identified in bold face in each section of this form. **Starred [*] elements can be omitted if there are none in the research.***

In the case of participants who are minors or adults lacking decision-making capacity, the consent process should be conducted with a parent, guardian, or legally authorized representative. Additionally, the researcher should gain assent from the study participants when possible.]

For some research (e.g., clinical trials supported by a Common Rule agency, research involving more than minimal risk, etc.), the consent form may require additional elements of informed consent not listed here. Contact the IRB in advance for guidance.

Introduction and Contact Information

You are asked to take part in a research study. **Participation is voluntary.** The researcher is _____ (name, title, department). The faculty advisor is _____ (name, title, department). The sponsor of the study is (list any federal funding source). Please read this form and feel free to ask questions. If you have questions, _____ (name) will discuss them with you. His/her telephone number is _____.

[Required Element:

*A statement that the study involves **research**.*

This section should provide a general statement about the research and a brief introduction to the investigators (name, title, department). Students should include the name and contact information of their faculty advisor.]

Description of the Project:

The purpose of this research is _____ (state the purpose of the research).
Your participation in this study will take _____ (state the duration of participation).



If you decide to participate in this study, you will be asked to _____ (state or list specific study procedures.)

[Required Elements:

*An explanation of the **purpose** of the research, **duration** of participant participation, and the **procedures** to be followed. Identify any **experimental procedures**.**

For studies involving randomization, include the probability for random assignment to each group.

For research involving questionnaires, surveys, focus groups, or interviews, describe the type of questions that will be asked (or topics discussed).

Include the amount, type, and schedule of any incentives/payments in the discussion of the research procedures or in a separate section. Do not list incentives/payments in the benefits section.]

Risks or Discomforts:

A risk of participation is a loss of confidentiality. We will do everything we can to protect your information.

You may feel uncomfortable when completing the research materials. You may skip any questions or stop participating at any time.

[Include information about resources when emotional or psychological distress is a risk; otherwise delete] You may speak with _____ (name of the researcher, if applicable) to discuss any distress or other issues related to study participation. If you wish to discuss concerns with _____ (other resources such as counseling), you are encouraged to contact _____ (provide phone number, address, etc.).

[Required Element:

*An explanation of any **risks or discomforts*** to the subject that might reasonably be expected to occur. Inform the participant of any risks (e.g. physical, psychological, social, economic) as a result of study procedures.*

If personally identifying information is collected about participants and data can be linked by the researcher to the specific participant's identity (such as through a coding system), then a breach of confidentiality needs to be listed.]

Benefits:

There is no direct benefit to you from participating in this study. Your participation may help us learn more about _____ (explain benefits of knowledge gained).



[Required Element:

*An explanation of any **benefits*** to the subject or to others that might reasonably be expected from the research. Do not overstate the benefits. Do not list any incentives (financial or others) offered to participants in the benefits section.]*

Alternatives:

Instead of being in this study, you can get _____.

*[Include for **SONA**; otherwise delete]* If you do not wish to participate in this study, there are other studies in which you can participate. You can also contact your instructor to learn more about an alternative way to fulfill the experimental participation requirement—e.g., through reading a short paper <edit to give a specific example of alternative if it's not reading a short paper>.

[Required Element:

*Disclose any **alternatives*** or courses of treatment that might be advantageous to the subject. Omit this section if not applicable. If the research involves a classroom intervention, it is appropriate to describe the available alternatives to participation.]*

Confidentiality:

Your part in this research is **confidential**. That is, the information gathered for this project will not be published or presented in a way that would allow anyone to identify you. Information gathered for this project will be password protected or stored in a locked file cabinet and only the research team will have access to the data.

The University of Massachusetts Boston Institutional Review Board (IRB) that oversees human research and other representatives of this organization may inspect and copy your information. *[Add to this list other organizations that may have access to the subject's records such as the Department of Health and Human Services, when the research is conducted or funded by DHHS.]*

[Include for focus groups; otherwise delete] Due to the nature of focus groups, confidentiality cannot be guaranteed. To respect the privacy of your fellow participants, do not repeat what is said in the focus group to others.

[Include for Photovoice; otherwise delete] When you take pictures for this project, it is important that you don't take any identifying pictures of yourself or other people. For example, don't take any pictures of someone's face, even if it's your own. *[Include if participants are asked to upload photos; otherwise delete]* Please do not upload any photos that includes faces or other identifying information. If you accidentally do upload a picture of someone's face (even if it is your own), we will have to delete the photo for privacy reasons and will not be able to use it for the project. We may ask you to upload a replacement photo in that case.



[If identifiable private information or identifiable specimens will be collected during the research, add one of the following statements (please edit to fit your study). Delete the statement that is not applicable]:

Your information <or samples> collected as part of this research will not be used or shared for future research studies, even if all of your identifiers are removed. (Delete “samples” if no biospecimens are collected.)

<OR>

All identifiable information that could directly identify you (e.g., your name) will be removed from the information <or samples> collected in this study. After we remove all identifiers, the information <or samples> may also be used for future research or shared with other researchers without additional consent. (Delete “samples” if no biospecimens are collected.)

[If identifiable private information or biospecimens will be retained (e.g., banked, stored in a database) after the study for future research, explain where the data or specimens will be stored, who will have access to the data or specimens, and how long the data or specimens will be retained.]

[Include for NIH-funded studies or those receiving a CoC by request from NIH.]

This research is covered by a Certificate of Confidentiality from the National Institutes of Health. This means that the researchers cannot release or use information, documents, or samples that may identify you in any action or suit unless you say it is okay. They also cannot provide them as evidence unless you have agreed. This protection includes federal, state, or local civil, criminal, administrative, legislative, or other proceedings. An example would be a court subpoena.

There are some important things that you need to know. The Certificate DOES NOT stop reporting that federal, state or local laws require. Some examples are laws that require reporting of child or elder abuse, some communicable diseases, and threats to harm yourself or others. The Certificate CANNOT BE USED to stop a sponsoring United States federal or state government agency from checking records or evaluating programs. The Certificate DOES NOT stop disclosures required by the federal Food and Drug Administration (FDA). The Certificate also DOES NOT prevent your information from being used for other research if allowed by federal regulations.

Researchers may release information about you when you say it is okay. For example, you may give them permission to release information to insurers, medical providers or any other persons not connected with the research. The Certificate of Confidentiality does not stop you from willingly releasing information about your involvement in this research. It also does not prevent you from having access to your own information.

[Include for NIH-funded clinical trials]

A description of this clinical trial will be available on <http://www.clinicaltrials.gov>, as required by U.S. law. This Web site will not include information that can identify you. At most, the Web site will include a summary of the results. You can search this Web site at any time.

[Required Element:



*A statement should be included describing the extent to which **confidentiality*** (i.e., the procedures used to not disclose identifying information and to protect the identity of participants) of data will be maintained. For example, the participant is assigned a pseudonym or ID number such that the participant's specific identity (e.g., name) can only be linked to their data via a coding system known to only the researcher. If personally identifying information will be destroyed during the course of the research or at its conclusion, state when the link between identifying information and participant data will be destroyed.*

When data are recorded by the researcher in a manner in which they can be linked by the researcher to the specific participant's identity, data should not be described as anonymous.

*A statement about whether or not information or biospecimens will be used for future research for any research that involves the collection of **identifiable private information or identifiable biospecimens***.
N/A if research is subject to Pre-2018 Requirements]*

Voluntary Participation:

The decision whether or not to take part in this research study is voluntary. If you do decide to take part in this study, you may end your participation at any time without consequence. If you wish to end your participation, you should _____ (state the procedure for terminating participation such as directly telling or phoning the researcher; for online surveys, explain steps for how to securely quit the survey application). Whatever you decide will in no way penalize you or involve a loss of benefits to which you are otherwise entitled, <and it will not affect your grades or status as a student> (include appropriate language for the populations enrolled).

*[Include for **SONA** if awarding credit for withdrawal; otherwise delete] To withdraw from the study at any time, look for the item asking you whether you want to Continue or Exit the Survey. When you click to Exit the Survey, you will be asked whether you want your data to be included in the final dataset or removed from the final dataset. After you indicate your preference, you will be redirected to the SONA website and will receive full credit for your study involvement.*

[Required Elements:

*A statement that participation in the research is **voluntary** and that refusal to participate or withdrawing from participation will involve **no penalty or loss of benefits** to which the participant is otherwise entitled.*

If applicable, discuss the process for participants to withdraw once the project has begun, including how participants can request their data not be used for research.]

Questions:

You have the right to ask questions about this research before you agree to be in this study and at any time during the study. If you have further questions about this research or if you have a research-related



By (verbally agreeing to participate, completing a survey, participating in the interview/focus group, clicking “OK”), you will be agreeing to participate in the research. Please keep a copy of this form for your records or if you need to contact me.

Investigator Protocol

Instructions for Writing a Protocol:

- Use this “PROTOCOL TEMPLATE (HRP-503)” to prepare your investigator protocol specifically for IRB review with the information from the following sections.
- As you are writing the protocol, **remove all instructions in BLUE** throughout this document so that they are not contained in your submission to the IRB.
- **Some sections may not be applicable to your research** depending on the nature of your study. If not applicable, leave the section in (unless otherwise noted) but delete the instructional blue text and mark the entire section as “NA.”
- **Keep an electronic copy** to ensure you are using the most recent version approved by the IRB. You will need to modify this copy when making changes.
- **For versioning control**, include the version number and/or date of this protocol (and for subsequent protocol revisions).

Study Title

Include the study title as listed in the IRB application.

Objectives

- **Purpose:** Describe the purpose, specific aims, or objectives.
- State the research question (e.g., themes or theories to be explored) or the hypotheses to be tested.
- **Study design:** Describe and explain the study design.
- **Study intervention:** Describe the study intervention (if any) that is being evaluated.
- **Study endpoints (clinical trials):** For clinical trials, describe the primary and secondary study endpoints. (An endpoint is an event or outcome that can be measured objectively to determine the effect of the intervention being studied).

Background

- **Significance of research question/purpose:** Describe the relevant prior experience and gaps in current knowledge.
- **Preliminary data:** Describe any relevant preliminary data.
- **Background literature with references:** Provide the scientific or scholarly background for, rationale for, and significance of the research based on the existing literature and how it will add to existing knowledge. Include a list of references in the protocol.

Study Population

- **Inclusion and exclusion criteria:** Describe the criteria that define who will be included and excluded in your study (e.g., ages, gender, and racial/ethnic composition, etc.). If only adults are enrolled, describe any relevant local context. (Note: The legal of age of an adult is not 18 years old in all locations such as in Alabama (19), Mississippi (21), and Nebraska (19)).

Investigator Protocol

- **Inclusion of vulnerable populations:** Indicate whether you will specifically target the inclusion of any of the following special populations (and then provide more details in the “Vulnerable Populations” section later in the document):
 - UMass Boston students or employees
 - Children (i.e., individuals who are not yet adults such as infants, children, teenagers)
 - Prisoners
 - Pregnant women
 - Adults unable to consent (i.e., adults lacking decision-making capacity)

Study Duration

Describe:

- The duration of an individual participant’s participation in the study.
- The estimated timeframe for the investigators to complete this study.

Number of Participants

- Indicate the total number of participants to be accrued.
- If applicable, distinguish between the number of participants who are expected to be enrolled and screened, and the number of participants needed to complete the research procedures (i.e., numbers of participants excluding screen failures.)

Setting

Describe the sites or locations where your research team will conduct the research.

- **Sites/locations:**
 - Identify where your research team will identify and recruit potential participants.
 - Identify where research procedures will be performed.
- **Prior approvals:** If the research requires ancillary review by other UMass Boston research committees, offices, departments (e.g., Office of Environmental Health and Safety; Institutional Biosafety Committee (IBC); Public Safety; conflict of interest review; departments or divisions that require approval of the use of their resources, etc.), provide details of the review and the status.
- **External IRB/ethics review:** If external IRB or ethics review committees are reviewing this study, provide details of the review including the name of the institution/organization’s IRB and approval status.
- **Local permissions/local context:** For research conducted outside of UMass Boston and its affiliates describe:
 - Procedures for gaining local permissions access to the site(s) or location(s) for recruitment and/or to carry out research procedures at the selected site(s) or location(s). Include support letter (or other written correspondence) from site/location if available.
 - Any local requirements, regulations, or customs affecting the research.
 - Any local/ethical/IRB review structure or approvals needed from those sites or locations prior to conducting the research.

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Recruitment Methods

- **Recruitment process:** Describe when, where, and how potential participants will be identified and recruited.
 - Describe the source of subjects.
 - If applicable, describe procedures for oral or written communication with the prospective subject or legally authorized representative that will be done for purposes of screening, recruiting, or determining eligibility.
 - If applicable, describe procedures for accessing records or stored identifiable biospecimens for purposes of screening, recruiting, or determining eligibility.
- If using **SONA**, review "IRB SONA Guidance" for guidelines to ensure you are following the appropriate steps.
- **Recruitment materials:** Describe materials that will be used to recruit participants. Review "Advertisements WORKSHEET (HRP-315)" for guidelines. Attach copies of these printed, audio, video, screening scripts with the application. (Final copies of advertisements including any images, audio, and video, must be first reviewed and approved by the IRB prior to use. You may submit the draft for IRB review prior to submitting the final for IRB review.)
- **Screening for eligibility:** Describe how individuals will be screened for eligibility. For individuals who are determined ineligible or who decline to participate, how will any identifiable information collected in the screening be securely destroyed?

Procedures Involved

- **Study procedures:**
 - Describe all research procedures being performed and the order in which they are performed and the amount of time to complete the different procedures (e.g., survey, interview, focus group). If needed, include a table or flow chart.
 - Describe what data (or biospecimens) will be collected during the study and how the data (or biospecimens) will be obtained. (Attach surveys, instruments, interview scripts, data collection forms.)
 - Describe any randomization process and the probability for random assignment to each group.
- **Follow-up:** If there are plans for long-term follow-up of participants (once all research related procedures are complete), what data will be collected during this period.
- **Payment/incentives:** If paying participants (or providing other incentives for participation), describe the amount, method, and timing of disbursement. Review "Payments WORKSHEET (HRP-316)" for guidelines.

Data Analysis

- **Data analysis:** Describe the data analysis plan (including any statistical procedures and/or power analysis if applicable).
- **Data integrity:**

Investigator Protocol

- Describe any procedures that will be used for quality control of collected data.
- Review the **Online Survey Protection References** if you are creating an online survey to incorporate adequate protection against bots and other unwanted responses.

Risks to Participants

- **Risks:** List the reasonably foreseeable risks, discomforts, hazards, or inconveniences to the participants related the participants' participation in the research. Include as may be useful for the IRB's consideration, a description of the probability, magnitude, duration, and reversibility of the risks. Consider physical, psychological, social, legal, and economic risks.
- If identifiers are obtained and can be directly or indirectly linked to data by the investigator(s), a breach of confidentiality should be addressed.
- **If research is conducted in person during the pandemic**, risks of COVID-19 transmission and the plans to follow local safety protocols should be described.
- Describe any procedures performed to lessen the probability or magnitude of risks or to monitor participants for safety.
- If applicable, indicate the following:
 - Which procedures may have risks to the participants that are currently unforeseeable.
 - Describe any risks to others who are not participants.
 - Which procedures may have risks to an embryo or fetus should the participant be or become pregnant.

Potential Benefits to Participants

- Indicate if there is no direct benefit to participants.
- Or, describe any direct benefits of the research individual participants may experience. (Do NOT list payment or other participant incentives as a benefit of participation.)

Resources Available

- Describe your process to ensure that all persons assisting with the research are adequately informed about the protocol, the research procedures, and their duties and functions.
- Describe the qualifications required to serve in each research role (e.g., training, including training by the PI; experience; oversight). When applicable, describe knowledge of the local study sites, culture, and society to demonstrate cultural understanding and sensitivity.
- Describe the availability of resources (e.g., psychological, medical, counseling, etc.) that participants might need because of anticipated consequences of the human research.

Consent Process

If you will be obtaining consent:

Investigator Protocol

- Describe:
 - Where will the consent process take place.
 - The role of the individuals listed in the application as being involved in the consent process.
 - Any provisions such that participants have enough time to consider whether to participate.
 - Steps that will be taken to minimize the possibility of coercion or undue influence.
 - Steps that will be taken to ensure the participants' understanding.
 - Any process to ensure ongoing consent throughout participation.
 - Describe if and how consent will be documented in writing (i.e., obtaining signed consent). Or, explain if signed consent will not be documented (e.g., by verbal agreement; by presentation of consent form online before taking survey). Review "Waiver of Written Documentation of Consent CHECKLIST (HRP-411)" to ensure that you have provided sufficient information. (In general, signed consent is not required for minimal risk research procedures which do not normally require consent outside of the research context.)
 - Attach the consent form(s) or script(s) with your submission. You may use Consent template to create the consent document or script.

- If you will enroll **non-English speaking participants**:
 - Indicate what language(s) other than English are understood by prospective participants or representatives. Indicate the language that will be used by those obtaining consent.
 - If participants who do not speak English will be enrolled, describe the process to ensure that the oral and written information provided to those participants will be in that language.
 - Confirm that translations will be an accurate translation of the English-approved version.
 - Confirm that translations are conducted by an individual fluent in the language.

If your study involves **incomplete disclosure or deception**:

- Explain how the study meets a Waiver or Alteration of Consent Process. Review the "Waiver or Alteration of Consent Process CHECKLIST (HRP-410)" to ensure you have provided sufficient information (e.g., rationale; any debriefing process) for the IRB to make these determinations.

If you will NOT have any consent process with participants:

- Explain how the study meets a **Waiver or Alteration of Consent Process**. Review the "Waiver or Alteration of Consent Process CHECKLIST (HRP-410)" to ensure you have provided sufficient information for the IRB to make these determinations.

Vulnerable Populations

Investigator Protocol

If the research specifically seeks involvement of individuals who are vulnerable to coercion or undue influence, describe additional safeguards included to protect their rights and welfare (e.g., permission process; assent process; provision of accessible formats of research consent and materials; etc.). For example:

- **UMass Boston students or employees:**
 - If enrolling members of these groups, does anyone on the study team teach, supervise, or have the ability to influence a participant's grades, academic success, or professional advancement? If yes, what additional protections are in place to ensure that participants do not feel unduly influenced to participate?
 - If students are offered course credit for research participation, will another comparable method of obtaining course credit be available besides research participation?
 - If using **SONA**, review "IRB SONA Guidance" for guidelines to ensure you are following the appropriate steps.
- **Children:** Review the "Children CHECKLIST (HRP-416)" to ensure that you have provided sufficient information.
 - Indicate the process to obtain parental permission.
 - If permission will be obtained from individuals other than parents, describe who will be allowed to provide permission. Describe the process used to determine these individuals' authority to consent.
 - Describe the assent process:
 - How will you explain the research so that the children understand what they are being asked to do?
 - How will you obtain the child's overt agreement to participate?
 - Confirm you will not enroll a child if there is any sign of unwillingness.
 - Are there children you will not ask to assent? If yes, which ones and why?
 - If you obtain assent from children, will it be documented, and if so, how?
 - Describe the criteria that will be used to determine whether a prospective participant has not attained the legal age for consent to treatments or procedures involved in the research under the applicable law of the jurisdiction in which the research will be conducted.
 - For research conducted in the state, review "Legally Authorized Representatives, Children, and Guardians SOP (HRP-013)" to be aware of which individuals in the state meet the definition of "children."
 - For research conducted outside of the state or in a foreign country, provide information that describes which persons have not attained the legal age for consent to treatments or procedures involved the research, under the applicable law of the jurisdiction in which research will be conducted.

Investigator Protocol

- **Prisoners:** Review “Prisoners CHECKLIST (HRP-415)” to ensure that you have provided sufficient information.
- **Pregnant women:** Review “Pregnant Women CHECKLIST (HRP-412)” to ensure that you have provided sufficient information.
- **Adults unable to consent:** Review “Adults Lacking Decision Making Capacity CHECKLIST (HRP-417)” to ensure that you have provided sufficient information.
 - How will you determine when an adult has the capacity to consent?
 - Who will provide permission for the participant to participate?
 - Describe the assent process:
 - How will you explain the research so that individuals understand what they are being asked to do?
 - How will you obtain the individual’s overt agreement to participate?
 - Will you not enroll an individual if there is any sign of unwillingness?
 - Are there individuals you will not ask to assent? If yes, which ones and why?
 - If you obtain assent, will it be documented, and if so, how?

Provisions to Protect the Privacy Interests of Participants

“Privacy” interest pertains to the person and refers to a person’s desire to place limits on whom they interact or whom they provide personal information.

- **Protection of privacy:**
 - Describe the steps that will be taken to protect participants’ privacy interests.
 - Describe what steps you will take to make the participants feel at ease with the research situation in terms of the questions being asked and the procedures being performed. “At ease” does not refer to physical discomfort, but the sense of intrusiveness a participant might experience in response to questions, examinations, and procedures. For example, will procedures be conducted in a private setting and without third party monitoring or surveillance? Is the collection of sensitive information about participants limited to the information that is necessary to conduct the research? Will participants be told that they can skip any question they wish?
 - If using **Zoom**, confirm you will follow the Zoom guidelines set forth by UMass Boston IT (https://www.umb.edu/it/avsct/zoom_video_conferencing/secure_your_zoom_meeting). Contact IT for questions about how to run a secure Zoom.
 - Inform participants of steps they can take to protect privacy (e.g., closing their web browser after survey completion, avoid using shared devices, finding a private location to complete interviews, etc.).
 - When conducting interviews via Zoom or other videoconferencing – take precautions to protect participant privacy (e.g., do not conduct a video

Investigator Protocol

interview in a publicly occupied space or a common room where roommates/family members may overhear).

- Likewise, ensure the researcher is in a private area (use headphones in a location where other people are not able to see or overhear the interviews).
- **Access to private information:**
 - Indicate how the research team is permitted to access any sources of information about the participants (e.g., data use agreements).
 - If the research team will access protected health information for research purposes, address compliance with **HIPAA** regulations.
 - If the research team will access student education records for research purposes, address compliance with **FERPA** regulations. Review *“FERPA Compliance WORKSHEET (HRP-331)”* to ensure that you have provided sufficient information.

Data Confidentiality

“Data confidentiality” pertains to the data/documents and the steps in place to protect data and documents.

- Describe what, if any, personally identifying information (e.g., direct identifiers such as name, address, phone number, IP address) will be collected from participants.
- If personally identifying information will be collected from participants, indicate whether or not the investigator will keep a link between the individual participant’s data and the participant’s identity (e.g., in a master list with access to the key limited to investigator).
- Or, clarify if and how identifying information be collected but never linked to the data (e.g., contact information is collected only for purposes of paying participants who completed online survey).
- For **international travel**, the data confidentiality plan should take into consideration any restrictions for Data Protection and Export Control Laws.
- Recordings:
 - If recording interviews or focus groups, are you only recording the audio and not video (generally, video should not be recorded unless it is necessary to meet the study objectives).
 - Are recordings saved to a secure drive like UMass Boston OneDrive (and not to a location that could be backed up to a cloud or with third party access)?
- Describe the steps that will be taken to secure the data during storage, use, and transmission such as:
 - Separation of direct identifiers and data (e.g., will data be labeled with pseudonyms or ID code numbers instead of direct participant identifiers)
 - Password protection
 - Encryption (e.g., if using portable devices like laptops, are they encrypted?)
 - Physical controls (e.g., locked cabinets)
 - Training, authorization of access
 - Certificates of confidentiality

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- Describe how data or specimens will be handled study-wide:
 - What information will be included in that data or associated with the specimens?
 - Where and how data or specimens will be stored?
 - How long the data or specimens will be stored?
 - Who will have access to the data or specimens?
 - Who is responsible for receipt or transmission of the data or specimens?
 - How data or specimens will be transported?
 - How soon will identifying information will be destroyed?
 - If the research uses audio or video recording, please also state how long the recordings will be kept after transcription and when they are destroyed.

Data (and Specimen) Banking for Use in Future Studies

This section is not applicable (“NA”) unless you will bank data and/or specimens that maintain direct or indirect participant identifiers for use in future studies.

- **Storage and access:** If data (or specimens) will be banked for future use, describe where they will be stored, how long they will be stored, how they will be accessed, and who will have access to the data (or specimens).
- **Data elements:** List the data elements to be stored or associated with each specimen and banked for future use.
- **Data release/sharing:** Describe the procedures to release data or specimens, including: the process to request a release, approvals required for release, who can obtain data or specimens, and the data to be provided with specimens.

Sharing of Results with Participants

- Describe whether or not results (study results or individual participant results) will be shared with participants. If so, describe how the results will be shared.

Economic Burden to Participants

- Describe any costs that participants may be responsible for because of participation in the research.

Withdrawal of Participants

This section is not applicable (“NA”) unless you may withdraw participants from the research without their consent.

- **Withdrawal circumstances:** Describe any anticipated circumstances under which participants will be withdrawn from the research without their consent.
- **Withdrawal steps:** Describe any procedures that will be followed (such as for safety reasons) when participants withdraw from the research, including partial withdrawal from procedures with continued data collection, and any procedures for orderly early termination.

Community-Based Participatory Research

Community-Based Participatory Research is a collaborative approach to research that equitably involves all partners in the research process and recognizes the unique strengths

Investigator Protocol

that each brings. *Community-Based Participatory Research* begins with a research topic of importance to the community, and aims to combine knowledge with action and to achieve social change to improve health outcomes and eliminate health disparities or work towards beneficial outcomes for all participants, including communities.

- Describe how community partners will participate in various stages of the research.
- Describe the plan for educating community partners about human research protections.
- Describe the agreement with the community partner organization. If appropriate, provide a letter or memorandum of understanding.

Compensation for Research-Related Injury

- If the research involves more than Minimal Risk to participants, this section is required. In general, UMass Boston has not set aside funds for research-related injury.

Provisions to Monitor the Data to Ensure the Safety of Participants

This section is required for NIH-funded clinical trials OR when research involves more than Minimal Risk to participants.

Describe:

- The plan to periodically evaluate the data collected regarding both harms and benefits to determine whether participants remain safe. (The plan might include establishing a data monitoring committee and a plan for reporting data monitoring committee findings to the IRB and the sponsor.)
- What data are reviewed, including safety data, untoward events, and efficacy data.
- How the safety information will be collected (e.g., with case report forms, at study visits, by telephone calls with participants).
- The frequency of data collection, including when safety data collection starts.
- Who will review the data.
- The frequency or periodicity of review of cumulative data.
- The statistical tests for analyzing the safety data to determine whether harm is occurring.
- Any conditions that trigger an immediate suspension of the research.

Multi-Site Research

Delete this section unless you are part of a multi-site study. A multi-site study is a study in which PIs from two or more sites are conducting the same protocol.

Describe:

- Study-Wide Number of Participants
 - Indicate the total number of participants to be accrued across all sites.
- Study-Wide Recruitment Methods
 - If participants will be recruited by methods not under the control of the local site (e.g., call centers, national advertisements), describe those methods.

Investigator Protocol

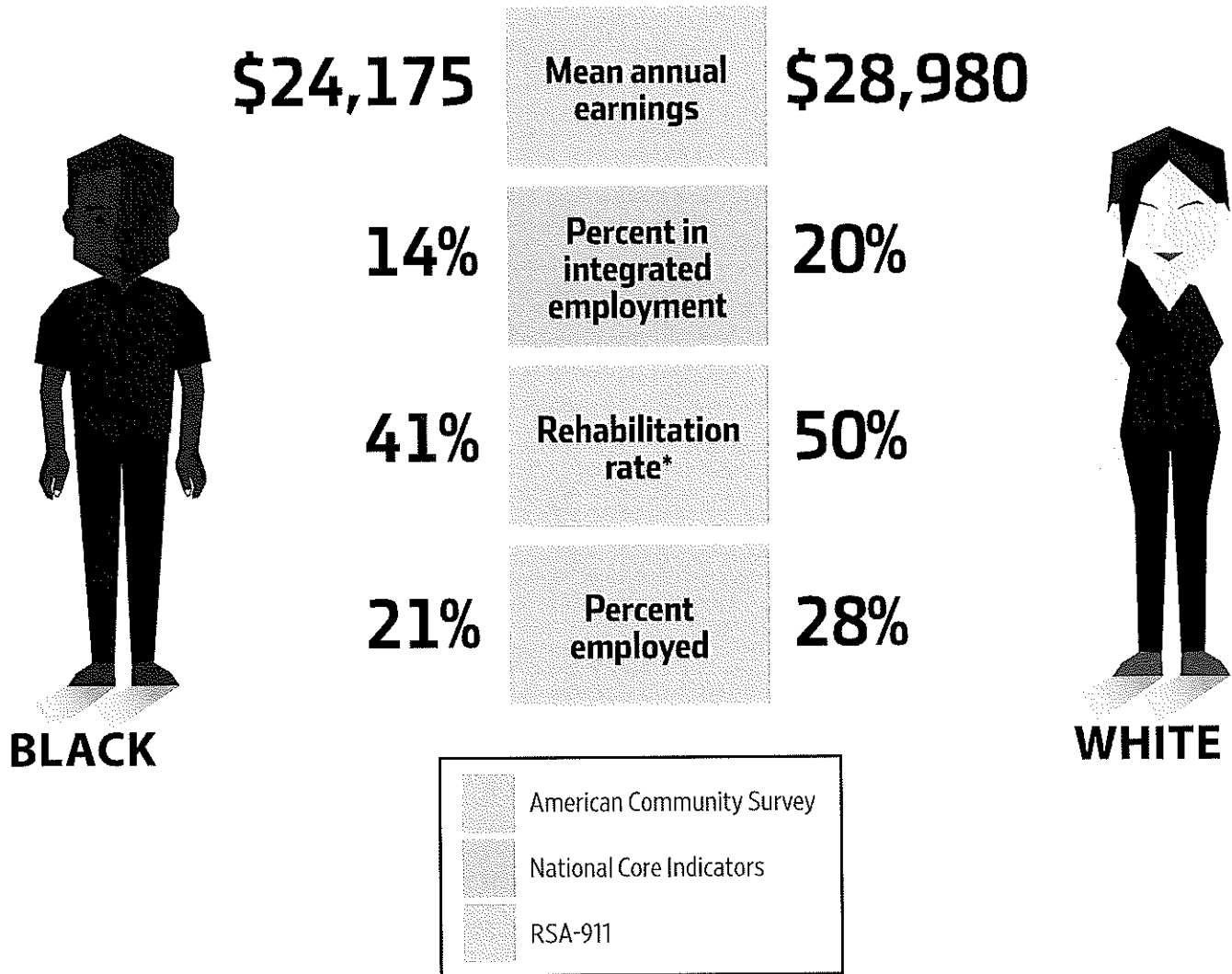
- Describe study-wide materials that will be used to recruit participants.
- Indicate if you are the lead investigator of all sites.

If you are the **lead investigator** of a multi-site study (delete this section if you are not the lead investigator):

- Describe the processes to ensure communication among sites for the following:
 - All sites have the most current IRB-approved version of the protocol, consent/assent document, subject/recruitment materials, HIPAA authorization, and other study documents.
 - All required approvals (initial, continuing review and modifications) have been obtained at each site (including approval by the site's IRB of record).
 - All modifications have been communicated to sites, and approved (including approval by the site's IRB of record) before the modification is implemented.
 - All engaged participating sites will safeguard data, including secure transmission of data, as required by local information security policies.
 - All local site investigators conduct the study in accordance with applicable federal regulations and local laws.
 - All Relying Institutions and/or local site investigators are responsible for ensuring that its investigators and research personnel meet the Relying Institution's standards for eligibility to conduct research. This includes, but is not limited to, having appropriate qualifications, human research training, appointments, credentials, privileges, insurance, and background checks.
 - All non-compliance with the study protocol or applicable requirements will be reported in accordance with local policy.
- Describe the method for communicating to engaged participating sites:
 - Problems (inclusive of reportable events).
 - Interim results.
 - The closure of a study

Appendix F

Disparities in Workforce Participation between White and Black Individuals with Intellectual and Developmental Disability



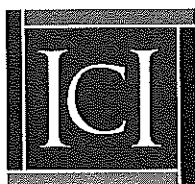
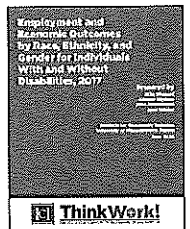
Disability Terminology by Data source:

- cognitive disability (American Community Survey)
- intellectual disability (RSA-911)
- intellectual and developmental disabilities (National Core Indicators)

* Rehabilitation rate is defined as exiting vocational rehabilitation with integrated employment

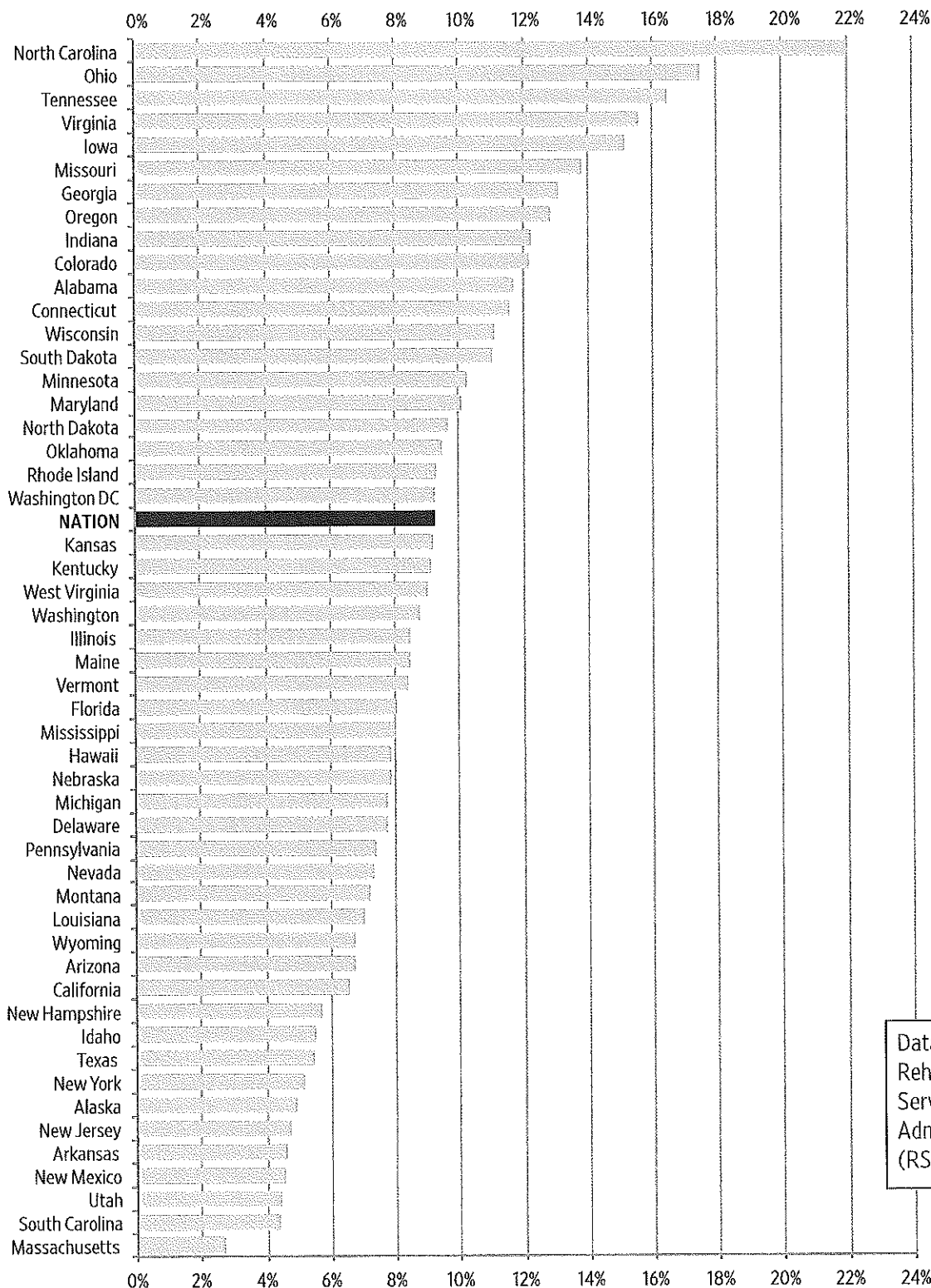
To learn more, please refer to: [Employment and Economic Outcomes by Race, Ethnicity, and Gender for Individuals With and Without Disabilities, 2017](#)

This report describes the employment and economic outcomes for individuals with and without intellectual disabilities in 2017. These national data are divided according to race, ethnicity, and gender and are drawn from the American Community Survey, the Rehabilitation Services Administration 911, and the National Core Indicators (NCI).



ThinkWork!
 INSTITUTE FOR COMMUNITY INCLUSION, UMASS BOSTON

Closures From Vocational Rehabilitation: How Many Are Individuals With an Intellectual Disability?



Data Source:
Rehabilitation
Services
Administration 911
(RSA-911), 2017



StateData.info



ThinkWork!

This graphic is a product of StateData, a project of ThinkWork! at the Institute for Community Inclusion, University of Massachusetts Boston, supported in part by the Administration on Intellectual and Developmental Disabilities, Administration for Community Living, US Department of Health and Human Services, under cooperative agreement #90DNPA0002. The opinions contained herein are those of the grantee and do not necessarily reflect those of the funders.

Winsor, J., Timmons, J., Butterworth, J., Migliore, A., Domin, D., Zaleska, A., & Shepard, J. (2019). StateData: The national report on employment services and outcomes through 2017. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Table 1. Race and ethnicity, American Community Survey

	Race					Ethnicity		Gender		Total
	White	Black	Native American /AK Native	Asian	Pacific Islander	Hispanic	Not Hispanic	Male	Female	
Total	3,272,989	197,470	199,654	166,440	9,463	1,371,716	2,906,426	2,116,398	2,161,744	4,278,142
No disability	2,944,014	175,818	168,699	157,910	9,013	1,256,697	2,585,372	1,898,505	1,943,564	3,842,069
All disabilities	328,975	21,652	30,955	8,530	—	115,019	321,054	217,893	218,180	436,073
Cognitive disability	136,989	11,217	12,256	3,005	—	48,350	136,505	99,288	85,567	184,855
Percentage employed	70%	69%	53%	67%	67%	69%	69%	75%	63%	69%
No disability	74%	74%	58%	68%	68%	71%	73%	79%	67%	73%
All disabilities	36%	26%	25%	49%	—	41%	34%	39%	33%	36%
Cognitive disability	26%	19%	—	32%	—	34%	24%	29%	23%	26%
Mean annual earnings*	\$50,460	\$38,892	\$31,826	\$60,383	\$41,828	\$32,852	\$54,871	\$54,975	\$39,661	\$47,851
No disability	\$51,072	\$38,033	\$31,601	\$60,880	\$41,613	\$33,102	\$55,534	\$55,613	\$40,018	\$48,357
All disabilities	\$39,309	\$58,621	\$34,705	\$47,702	—	\$28,091	\$43,438	\$43,675	\$33,270	\$38,857
Cognitive disability	\$29,398	\$25,564	—	\$58,677	—	\$26,236	\$30,262	\$30,034	\$27,323	\$28,913
Mean weekly work hours	39	38	38	38	40	38	39	40	37	38
No disability	39	38	38	38	39	38	39	40	37	39
All disabilities	37	37	37	33	—	35	37	37	35	36
Cognitive disability	33	31	—	32	—	34	32	32	34	33

* In 2017 dollars

Table 2. Race and ethnicity, Vocational Rehabilitation Closures (RSA-911)

	Race					Ethnicity		Gender		Total
	White	Black	Native American /AK Native	Asian	Hawaiian	Hispanic	Not-Hispanic	Male	Female	
Total number of closures										
All disabilities	4,400	614	275	107	54	1,364	3,880	2,948	2,296	5,244
Intellectual disability	296	50	13	8	5	129	224	204	149	353
% Intellectual disability	6%	8%	5%	7%	8%	9%	5%	6%	6%	6%
Rehabilitation rate										
All disabilities	37%	37%	26%	43%	38%	35%	37%	37%	35%	36%
Intellectual disability	43%	54%	30%	25%	0%	36%	48%	47%	40%	44%
Percentage employed of the total										
All disabilities	22%	22%	15%	26%	24%	20%	23%	23%	21%	22%
Intellectual disability	26%	38%	23%	13%	0%	22%	30%	29%	24%	27%
Mean weekly work hours										
All disabilities	30	28	31	29	29	29	30	30	29	29
Intellectual disability	23	23	17	40	—	24	23	24	22	23

Table 3. Race and ethnicity, State Intellectual and Developmental Disabilities Agencies (National Core Indicators)

	Race					Ethnicity		Gender		Total
	White	Black	Native American /AK Native	Asian	Pacific Islander	Hispanic	Male	Female		
Total reporting	—	—	—	—	—	—	—	—	—	—
Integrated employment	—	—	—	—	—	—	—	—	—	—
Individual employment	—	—	—	—	—	—	—	—	—	—
Hourly earnings	—	—	—	—	—	—	—	—	—	—
2 week hours worked	—	—	—	—	—	—	—	—	—	—

**Attachment A
Project Implementation Plan**

Activities	Staff hours				Quarter			
	Winsor	Lyons	Shepard	MaC	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Project Management	28				x	x	x	x
Project advisory meetings with ADDPC Executive Director and Meaningful Careers Committee	12	12	8		x	x	x	x
IRB approval	10				x			
Objective 1: Analysis of AZ outcomes	5	45	85		x			
Product 1: Summary of AZ outcomes	5	10	10		x			
Objective 2: Examine and analyze AZ practices and compare to national best practices	30	90			x			
Objective 3: Conduct interviews and analyze data	100	205				x	x	
Objective 4: Development, dissemination and analysis of survey	20	45.5	50				x	x
Product 2: Summary of survey of transition age VR clients	10	10	20	17.5			x	x
Objective 5: Project meetings with ADDPC (2 required)	5	5			x		x	
Objective 6: Development of final reports and presentation								x
Product 3: Final report and recommendations	22.5	35	22					x
Product 4: Plain language executive summary report	15	20		40				x
Product 5: Presentation to full ADDPC	30							x
Total hours	292.5	487.5	195	97.5				

Attachment C

Research on Vocational Rehabilitation Policies and Programs

Budget

(September 1, 2022 through August 31, 2023)

Primary Functions of Team Members

Personnel/Salaries: Include information such as position title(s), name of employee (if known), salary, time to be spent on this program (hours or %), number of months assigned to this program, etc. If you need additional fiscal personnel to manage this grant, include those costs also. Explain how the salary rate for each position was determined. If salaries are expected to increase during the project year, indicate the percentage increases for each position and justify the percent of the salary increase. Also be sure to include the scheduled salary increases on the Budget Form.

Jean Winsor, Ph.D., is a Senior Research Associate and Project Manager will serve as Principal Investigator (PI) and will manage all aspects of this project including work plan development, communication and meetings with the ADDPC, and management of project staff. She will participate in all project activities, including stakeholder interviews and the final presentation to the ADDPC. She will be supported by contract funds (.15 FTE @ \$95,733/yr=\$14,360)

Oliver Lyons, MA, is a Research Associate II and will be primary staff (PS) providing research and policy analysis support to all objectives. He will manage and analyze qualitative data, participate in stakeholder interviews and conduct thematic analysis, collect and analyze documents, and participate in development, implementation, and analysis of the survey. He will lead development of the final report. He will be supported by contract funds (.25 FTE @ \$64,216/yr=\$16,054)

John Shepard, BA is a Data Analyst and will provide data analysis (DA) in the analysis of quantitative data, implementation of Objectives 1 and 4, and the development the final report. He will be supported by contract funds (.10 FTE @ \$48,954/yr=\$4,895)

The ICI Marketing and Communications team (MAC) will provide editorial support for the survey, final and plan language reports, design graphics to support presentation of findings, and provide layout and design for the final and plain language reports. They will be supported by contract funds (.05 FTE @ \$98,831/yr=\$4,942)

The Grants Administrator will provide financial, human resource management and administrative support to the project including budget management and will be supported by contract funds (.05 FTE @ \$83,418/yr = \$2,085).

All salaries are based on current rates and include a 2% annual cost of living increase effective July 1, 2022 and July 1, 2023.

Total Salary request from contract funds is \$42,377 for benefitted staff.

Fringe Benefits: The UMB fringe benefit rate is set at 37.46% of salary for general fringe plus 1.97% for payroll taxes and 0.26% for worker's compensation insurance. The Employee Health and Welfare Fund is assessed at \$16.50/week per FTE for all benefited staff. UMB assesses the cost of fringe benefits and payroll taxes based on the state's approved rates. The rates are established in accordance with an agreement between the Commonwealth of Massachusetts and the U.S. Department of Health and Human Services (DHHS); the listed rates have been effective since 7/1/2021. Total fringe request from contract funds = \$17,296.

Supplies: Support for supplies will be provided through grant resources including such items as computer and presentation hardware, paper (stationery and photocopy), pens and pencils, back-up hard drives, computer software, and other materials. Estimated expenses are based on current prices with our contracted vendors. Total federal funds = \$826.

Budget detail including staff time commitment by objective over the life of the project is provided in Attachment A.

Other Expenses:

Travel: We have included a line item for travel to support two trips. One trip will be for two staff to conduct interviews with stakeholders and meet with Council staff and one trip will be for one staff to present the final report to the full Arizona Developmental Disabilities Planning Council. Costs for trip one are based on per person travel estimates of \$500 for airfare, \$516 hotel 3 nights, \$161 for per diem (2 full days \$46 x 2 travel days \$34.50), \$50 for airport transportation or parking plus \$200 for car rental. Costs for trip two are based on per person travel estimates of \$500 for airfare, \$363 hotel 3 nights, \$161 for per diem (2 full days \$46 x 2 travel days \$34.50), \$50 for airport transportation or parking plus \$200 for car rental. Total contract funds = \$3,928.

Postage: Postage is requested to support research and dissemination efforts. Total contract funds = \$50.

Telephone: Long distance and teleconferencing costs related to project management, telephone interviews and responses to interested parties regarding project activities will be supported through grant funds at \$50 per month per FTE. Total contract funds = \$345.

Printing: Printing will support recruitment materials and envelopes, data collection instruments, communication with respondents, and project outreach and marketing materials. Total contract funds = \$200.

Accommodations and translation: Funds are allocated to support participation of individuals in project meetings and focus groups, webinars, and in the development of accessible materials including captioning, remediation, and translation of print documents as well as translation services during key informant interviews. Total contract funds = \$3,000.

Data Management: Funds are allocated to support subscription to project technology tools for project management including SPSS licenses, Basecamp web-based project management software, and Zoom licenses for web-based meetings. Total contract funds = \$200.

Total Other Expenses = \$8,549

Indirect Rate: Per ADDPC requirements, an indirect rate of 10% MTDC was used to determine the indirect cost for the proposal. Total indirect contract funds = \$6,818.

Matching Funds Source: Forgone indirect costs totaling \$25,000 are being contributed as match on this proposal. The matching funds are calculated based on the University's federally negotiated rate of 52.5% MTDC, minus the indirect rate calculated using the ADDPC 10% rate.

Please see Budget Request Form and Budget Summary Table below.

Budget Summary Table
(September 1, 2022 to August 31, 2023)

One Year Budget Detail: 9/1/2022 to 8/31/2023 University of Massachusetts Boston	Year 1		
	9/1/2022 - 8/31/2023		
	Annual Rate	FTE	Request
Payroll and Fringe Benefits:			
Regular Salary			
Role & Name			
Principal Investigator, Jean Winsor, Ph.D.	\$ 95,733	15.00%	\$ 14,360
Research Assoc/Project Coordinator, Oliver Lyons	\$ 64,216	25.00%	\$ 16,054
Quantative Methodologist, John Shepard	\$ 48,954	10.00%	\$ 4,895
Marketing and Communications	\$ 98,831	5.00%	\$ 4,942
Grant Administrator	\$ 83,418	2.50%	\$ 2,085
Subtotal Salary			\$ 42,337
Fringe Benefits			
Health & Welfare \$33 biweekly/FTE	\$33		\$ 493
General Fringe	37.46%		\$ 15,859
Payroll Tax	1.97%		\$ 834
Worker's Comp Insurance	0.26%		\$ 110
Subtotal Fringe Benefits			\$ 17,296
Subtotal Payroll and Fringe		57.50%	\$ 59,633
Non-Payroll:			
Travel			
Project Travel			\$ 3,928
Supplies			
Office & Admin Supplies			\$ 826
Contractual			
Other Direct Costs			
Postage			\$ 50
Telephone \$50 per month per FTE			\$ 345
Printing			\$ 200
Accommodations and Translation			\$ 3,000
Data Management			\$ 200
Subtotal Non-Payroll			\$ 8,549
Total Direct Cost			\$ 68,182
Subtotal MTDC**			\$ 68,182
F&A Expense (52.50 MTDC)	10.00%		\$ 6,818
Grand Total Budget			\$ 75,000

Budget Request Form

Contractor Name: University of Massachusetts Boston

Contractor Address: 100 Morrissey Boulevard Boston MA 02125-3393
 Street Address City State Zip

Project Name: Research on Vocational Rehabilitation Policies and Programs

Budget Category	Requested ADDPC Funds	Non-Federal Cash Match	Non-Federal In-Kind Match	Total Program Cost
Personnel/Salaries	\$42,337	\$0		\$42,337
Fringe Benefits	\$17,296	\$0		\$17,296
Supplies / Operating Expenses	\$4,621	\$0		\$4,621
Travel	\$3,928	\$0		\$3,928
Rent or Cost of Space	\$0	\$0		\$0
Contracted Services / Professional Services	\$0	\$0		\$0
Administrative / Indirect Costs	\$6,818	\$25,000		\$31,818
Total Costs	\$75,000	\$25,000	-	\$100,000

It is understood that Non-Federal Funds identified in this budget will be used to match only ADDPC Federal Funds, and will not be used to match any other Federal Funds during the period of the ADDPC funded Project.

Additional description and background information shall be included as a budget narrative, including for match. The contractor agrees to submit additional background information to the ADDPC upon request.

Shala Bonyun

Name of Certifying Official

Associate Director, ORSP

Title of Certifying Official

617-287-5370; orsp@umb.edu

Phone

Email

**Attachment D
Staff Resumes**

Name: **Jean E. Winsor**

Title: Senior Research Associate
Institute for Community Inclusion
University of Massachusetts

Education

<u>Degree:</u>	<u>Institution Conferring</u>	<u>Year</u>
B.A., Psychology	Binghamton University, SUNY	1998
M.S., Educational Psychology	State University of New York Albany	2001
Ph.D., Public Policy, (Concentration in Special Ed. and Disability Policy)	University of Massachusetts Boston	2010

Professional Employment

<u>Organization:</u>	<u>Nature</u>	<u>Years</u>
Schenectady ARC, Schenectady, NY	Day Habilitation Specialist	1998-1999
Niskayuna Central School District	Special Education Assistant	1999-2001
University of Massachusetts Boston	Graduate Research Assistant	2002-2004
Western New York Center for Independent Living	Intern	2004-2005
Institute for Community Inclusion	Doctoral Fellow	2004-2008

Representative Publications

Winsor, J., Landa, C., Hall, A., Narby, C., & Kamau, E. (2022). Pushing the Integrated Employment Agenda: Employment Systems Partners and the High Performing States Model. Manuscript submitted for publication.

Winsor, J., Timmons, J., Butterworth, J., Migliore, A., Domin, D., Zalewska, A., & Shepard, J. (in press). StateData: The national report on employment services and outcomes through 2019. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Larson, S.A., Butterworth, J., Winsor, J., Tanis, S., Lulinski, A., and Smith, J. (2021). 30 years of Community Living for individuals with intellectual and/or developmental disabilities (1987- 2017). Washington, DC: Administration for Community Living, U.S. Department of Health and Human Services.

Winsor, J., Timmons, J., Butterworth, J., Migliore, A., Domin, D., Zalewska, A., & Shepard, J. (2021). Summary of StateData: The national report on employment services and outcomes

through 2018. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Shepard, J., Migliore, A., Butterworth, J. & Winsor, J. (2020). Employment and Economic Outcomes by Race, Ethnicity, and Gender for Individuals With and Without Disabilities, 2017. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Landa, C., Hall, A., & Narby, C. (2020). Pushing the integrated employment agenda: A case study of Oklahoma's high-performing employment system. *Bringing Employment First to Scale*, Issue 22. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Landa, C., Hall, A., & Narby, C. (2020). Pushing the integrated employment agenda: A case study of Iowa's high-performing employment system. *Bringing Employment First to Scale*, Issue 24. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Zalewska, A. M., & Winsor, J. E. (2020). State intellectual and developmental disabilities agencies' funding for employment services, FY2017. Data Note Series, Data Note 65. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Landa, C., Perumal, A., & Butterworth, J. (October 2019). The power of disability employment: The impact to Arizona's economy. A report prepared for: Arizona Developmental Disabilities Planning Council. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion

Hall, A., Butterworth, J., Winsor, Kramer, J., Nye-Lengerman K., & Timmons, J. (2018). Building an Evidence-Based, Holistic Approach to Advancing Integrated Employment for Individuals with IDD. *Research and Practice for Persons with Severe Disabilities*.

Winsor, J., Landa, C. Narby, C., & Hall, A. (2018). Pushing the Integrated Employment Agenda: A Case Study of Maryland's Higher Performing Employment System. Boston, MA: Institute for Community Inclusion, UMass Boston.

Winsor, J. & Hall, A. (2017). *State of the Science: State systems and strategy*. Boston, MA: Institute for Community Inclusion, UMass Boston.

Winsor, J., Timmons, J., Butterworth, J., Shepard, J., Landa, C., Smith, F., Domin, D., Migliore, A., Bose, J., Landim, L. (2017). *State Data: The National Report on Employment Services and Outcomes*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Lyons, O., Butterworth, J., & Kennedy-Lizotte, R. (2017). *A Systematic Approach to Revising Florida's Integrated Employment Funding System*. Florida Developmental Disabilities Council.

Winsor, J., Lyons, O., Butterworth, J., & Kennedy-Lizotte, R. (2017). *Planning for Changes to the Florida Agency for Persons with Disabilities Employment and Day Services Funding Structure*. Florida Developmental Disabilities Council.

Smith, F. Winsor, J., Hall, A.C. (Under review). State Employment System Performance Rankings. *Intellectual & Developmental Disabilities*.

Migliore, A., Winsor, J., & Narby, C. (2016). The engagement of young adults with intellectual disabilities in vocational rehabilitation: 2010–2014 state trends (Data Note 54). Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Doxey, E., Jaehning, L., McMillan, E., Vandagriff, K., & Winsor, J. (2016). *Partnerships in Employment Brief: Influencing changes in state policy and practice with data on subminimum wages*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Alliston, J., Christensen, J., Desenberg-Wines, A., Hayward, K., Landa, C., Neugart J., Reighard A., Willis, D., Winsor, J. (2016). *Partnerships in Employment, Community of Practice on Demonstration Projects: Collaboration and Systems Change*. Boston, MA: University of Massachusetts Boston.

Winsor, J. E. (2016). State intellectual disability and developmental disabilities agencies' service trends. DataNote Series, Data Note 55. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J. E. (2015). State intellectual disability and developmental disabilities agencies' Service trends. DataNote Series, Data Note 51. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Domin, D., & Winsor, J. (2015). Federal Data Snapshot of Puerto Rico on Individuals with Disabilities. DataNote series, No. 52. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J. Sulewski, J., Flippo, K., Butterworth, J. (2015). *Supporting Adults with Intellectual and Developmental Disabilities in their Communities*. Boston: Institute for Community Inclusion, University of Massachusetts Boston.

Winsor, J. (2015). *Emerging Practices, Transition: Funding Mechanisms*. Boston: Institute for Community Inclusion, University of Massachusetts Boston.

Winsor, J. (2015). *Emerging Practices, Transition*. Boston: Institute for Community Inclusion, University of Massachusetts Boston.

Winsor, J. and Landa, C. (2015). *Emerging Practices, Interagency Collaboration*. Boston: Institute for Community Inclusion, University of Massachusetts Boston.

Hall, A., Winsor, J., & Butterworth, J. (2014). Data systems and decision-making:

State intellectual/developmental disability agencies and their employment data collection systems. *Journal of Vocational Rehabilitation*.

Hall, A.C., Bose, J., Winsor, J., Migliore, A. (2014). From research to practice: Knowledge translation in job development. *Inclusion*.

Winsor, J. E., & Domin, D. (2014). Vocational rehabilitation closure trends for individuals with intellectual disabilities: A snapshot of five U.S. territories.

Butterworth, J., Smith, F., Hall, A.C., Migliore, A., Winsor, J., Domin, D., (2013). *StateData: The national report on employment services and outcomes, 2012*. Boston, University of Massachusetts Boston, Institute for Community Inclusion.

Migliore, A., & Winsor, J. (2013). State trends in the vocational rehabilitation engagement of young adults with intellectual disabilities.

Butterworth, J., Kennedy-Lizotte, R., & Winsor, J. E. (2012). A Systematic Approach to Revising Iowa's Integrated Employment Funding System. *State Employment Leadership Network*.

Winsor, J., Butterworth, J., & Boone, J. (2011) Jobs by 21 Partnership Project: Impact of cross-system collaboration on employment outcomes of young adults with developmental disabilities. *Intellectual and Developmental Disabilities*, 49(4), 274-284

Timmons, J.C., Hall, A.C., Bose, J., Wolfe, A. & Winsor, J. (2011) Choosing Employment: Factors that Impact Employment Decisions for Individuals with Intellectual Disabilities. *Intellectual and Developmental Disabilities*.49(4).

Boeltzig, H., Winsor, J., & Haines, K. (2011). Collaboration between State Intellectual and Developmental Disabilities Agencies and State Vocational Rehabilitation Agencies: Results of a National Survey. *Research to Practice Brief*, Boston: MA: Institute for Community Inclusion, University of Massachusetts Boston.

Winsor, J. (2010). Improving Integrated Employment Outcomes: How States Demonstrate Commitment, Build Capacity, and Support Choice. Doctoral dissertation, University of Massachusetts Boston.

Migliore, A., Hall, A., Butterworth, J., & Winsor, J. (2010) Job development: what do employment specialists really do? A study on job development practices. *Research and Practice for Persons with Severe Disabilities*, 35(1-2), 15-23.

Hall, A.C., Butterworth, J., Winsor, J., Gilmore, D.S., & Metzel, D. (2007). Pushing the Employment Agenda: Case Study Research of High Performing States in Integrated Employment. *Intellectual and Developmental Disabilities* 45(3) 182-198.

Name:

OLIVER LYONS

Institute for Community Inclusion
University of Massachusetts Boston

Education

M.A.: Forensic Psychology, John Jay College of Criminal Justice, May 2009

B.F.A.: Illustration, School of Visual Arts, May 2002

Employment

Research Associate II, Institute for Community Inclusion at UMass Boston, Boston, MA,
December 2021-Present.

Research Associate I, Institute for Community Inclusion at UMass Boston, Boston, MA, May
2018-December 2021.

Research Study Coordinator, Institute for Community Inclusion at UMass Boston, Boston, MA,
May 2015-May 2018.

Research Associate, Massachusetts Behavioral Health Partnership, Boston, MA, June 2014-May
2015.

Research Assistant, Phoenix House, New York, New York, October 2011 – August 2014.

Representative Publications:

Lyons, O., Sulewski, J., & Kwan, N. (2022). *Content Validity Testing of the Community Life Engagement Guideposts Fidelity Scale* (manuscript submitted for publication). Institute for Community Inclusion, University of Massachusetts, Boston.

Lyons, O., Timmons, J., Hall, A., Enein-Donovan, L., & Kamau, E. (in press). The Benefits of Active, Person-centered Job Placement: Results From Service Providers Undergoing Organizational Transformation Away From Sheltered Employment. *IDD*.

Butterworth, J., Migliore, A., Nye-Lengerman, K., Lyons, O., Gunty, A., Eastman, J., & Foos, P. (2020). Using data-enabled performance feedback and guidance to assist employment consultants in their work with job seekers: An experimental study. *Journal of Vocational Rehabilitation*, 53(2), 219-225.

Timmons, J., Lulinski, A., Hall, A., Lyons, O., Kamau, E., & Thomas, C. (2019). *AgencyChange Toolkit: Ten Elements of Organizational Transformation*. Retrieved April 26, 2021, from <https://act.thinkwork.org/>.

- Timmons, J.C., Kamau, E., Lyons, O., Enein-Donovan, L. (2019). Provider strategies on ten elements of organizational transformation. *Journal of Vocational Rehabilitation, 50*, 307-316.
- Migliore, A., Nye-Lengerman, K., Lyons, O., Bose, J., Butterworth, J. (2018) A Model of Employment Supports for Job Seekers with Intellectual Disabilities. *Journal of Rehabilitation, 84*(2), 3-13.
- Migliore, A., Nye-Lengerman, K., Lyons, O., & Butterworth, J. (2018). *Strengthening employment services for job seekers with intellectual and developmental disabilities*. Bringing Employment First to Scale, Issue 15. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.
- Lyons, O., Timmons, J., Cohen-Hall, A., & LeBlois, S. (2018). The essential characteristics of successful organizational transformation: Findings from a delphi panel of experts. *Journal of Vocational Rehabilitation, 49*, 205-216.
- Butterworth, J., Migliore, A., Bose, J., Lyons, O., & Nye-Lengerman, K. (2017). *Assisting job seekers with intellectual and developmental disabilities: A guide for employment consultants*. Bringing Employment First To Scale, Issue 13. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.
- Sulewski, J.S., Timmons, J.C., Lyons, O., Lucus, J., Vogt, T., & Bachmeyer, K. (2017). Organizational transformation to integrated employment and community life engagement. *Journal of Vocational Rehabilitation, 46* (3), 313-320.
- Timmons, J. & Lyons, O. (2016). *Essential elements in organizational transformation: Findings from a delphi panel of experts*. Bringing Employment First to Scale, Issue 8. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.
- Lyons, O., Migliore, A., Nye-Lengerman, K., Nord, D., & Butterworth, J. (2016). *Who are Employment Consultants? Characteristics of the workforce that connects job seekers with intellectual and developmental disabilities to employment*. Bringing Employment First to Scale, Issue 6. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.
- Lyons, O. & Hall, A. (2015). *Community Life Engagement: Data Sources, Definitions, and Measurement*. Engage...A Brief Look at Community Life Engagement. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Name: **John Shepard**
Institute for Community Inclusion
University of Massachusetts Boston

Employment

<u>Organization</u>	<u>Position</u>	<u>Years</u>
Institute for Community Inclusion Boston, MA	Data Analyst	2017-present
Institute for Community Inclusion Boston, MA	Research Data Coordinator	2015-2017

Education

<u>Degree</u>	<u>Institution</u>	<u>Year</u>
B.A., Psychology	Tufts University	2015

Representative Publications

Winsor, J., Timmons, J., Butterworth, J., Migliore, A., Domin, D., Zalewska, A., & Shepard, J. (in press). StateData: The national report on employment services and outcomes through 2019. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Shepard, J., Timmons, J., Hall, C., Bose, J., Bell, C., & Reynolds, M. (2021). *Promoting future goal achievement through social media: Evidence from Charting the LifeCourse parent engagement Facebook pilot*. [Manuscript submitted for publication]. *Institute for Community Inclusion, University of Massachusetts Boston*.

Kramer, J., Bose, J., Shepard, J., & Winsor, J. (2020). Engaging families in employment: Individuals and families' retrospective transition experiences with employment services. *Intellectual and Developmental Disabilities, 58*(4): 314–327.

Shepard, J. (2020). Disability and occupation. Data Note Series, Data Note 68. University of Massachusetts Boston, Institute for Community Inclusion.

Shepard, J., Migliore, A., Butterworth, J., & Winsor, J. (2020). *Employment and Economic Outcomes by Race, Ethnicity, and Gender for Individuals with and without Disabilities, 2017*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Timmons, J. C., Shepard, J., Hall, A. C., & Bose, J. (2020). [Taking Incremental Actions towards Achieving Future Goals: Results from a Pilot Study with Charting the LifeCourse Using Facebook]. Unpublished raw data.

Shepard, J., Sulewski, J., & Zalewska, A. (2019). Advancing College and Career Conversations in Middle school through Game Based Learning: Future Quest Island Evaluation Findings. Think College Fast Facts, Issue No 23. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Timmons, J., Butterworth, J., Migliore, A., Domin, D., Zalewska, A., & Shepard, J. (2019). *StateData: The National Report on Employment Services and Outcomes through 2017*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Shepard, J., Timmons, J., & Zalewska, A. (2018). *Lessons Learned from the Learning Academy: Optimizing Transition Supports for Young Adults with Autism. Research to Practice Brief, Issue No. 58*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Kramer, J., Bose, J., and Shepard, J. (2017). *Beyond Training: Engaging Families in the Transition to Employment. Bringing Employment First to Scale, Issue 12*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

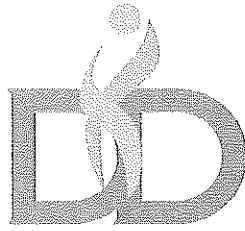
Shepard, J. (2017). *Employment rates for people with and without disabilities. DataNote Series, Data Note 63*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Timmons, J. C., Butterworth, J., Migliore, A., Domin, D., Zalewska, A., & Shepard, J. (2017). *StateData: The National Report on Employment Services and Outcomes through 2016*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Shepard, J. & Smith, F. (2016). *Comparing VR Outcomes for Individuals with and without Disabilities Who Receive Postsecondary Education Services. DataNote Series, Data Note 53*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Winsor, J., Timmons, J. C., Butterworth, J., Shepard, J., Landa, C., . . . Landim, L. (2016). *StateData: The National Report on Employment Services and Outcomes, 2016*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.

Smith, F. & Shepard, J. (2015). *Employment rates for people with and without disabilities. DataNote Series, Data Note 57*. Boston, MA: University of Massachusetts Boston, Institute for Community Inclusion.



Florida
Developmental
Disabilities
Council, Inc.

Kevin Johnson, Chair
Valerie E. Breen, Executive Director

May 18, 2022

Jean Winsor, Ph.D.
Institute for Community Inclusion
University of Massachusetts Boston
100 Morrissey Blvd
Boston, MA 02125

Dear Dr. Winsor,

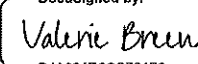
This letter confirms the Florida Developmental Disabilities Council's support for your application to conduct research on vocational rehabilitation policies and programs in Arizona on behalf of the Arizona Developmental Disabilities Planning Council.

Our Council has worked closely with the Institute for Community Inclusion (ICI) staff, particularly Dr. Jean Winsor, to address employment systems change for all Floridians with disabilities. In our work, we have found one factor impacting the employment outcomes of individuals with intellectual and developmental disabilities (IDD) is the quality of services transition-aged youth receive from vocational rehabilitation when they are preparing for and/or seeking employment. ICI has been an essential resource in assisting our state to better understand employment outcomes for individuals with disabilities, including individuals with IDD and transition-aged youth, and supporting us in developing solutions that have brought together multiple state and local level partners, including vocational rehabilitation.

For the past ten years, ICI has been an integral component of Florida's employment efforts by conducting state-wide research on key employment agencies' policies, programs, and practices; developing a report of findings and an implementation plan containing recommendations based on the findings; and providing technical assistance and support that has resulted in the attainment of systems change outcomes in the areas of statutes, policies, practices, and programs.

ICI has the proven ability to translate research into knowledge and practice that lead to better outcomes for individuals with IDD. I enthusiastically support your application and look forward to learning from the results of the Arizona study.

Sincerely,

DocuSigned by:

B4A624EC6C764E9...

Valerie E. Breen, Executive Director
Florida Developmental Disabilities Council, Inc.

124 Marriott Drive, Suite 203, Tallahassee, Florida 32301-2981
Phone: (850) 488-4180 | (800) 580-7801 · Fax: (850) 922-6702
TDD: (850) 488-0956 | (888) 488-8633 · www.fddc.org



DEPARTMENT OF HEALTH

Larry Hogan, Governor · Boyd K. Rutherford, Lt. Governor · Dennis R. Schrader, Secretary

May 16, 2022

Jean Winsor, Ph.D.

Institute for Community Inclusion
University of Massachusetts Boston
100 Morrissey Blvd
Boston, MA 02125

Dear Dr. Winsor,

This letter confirms the Maryland Developmental Disabilities Administration's (DDA) support for your application to conduct research on vocational rehabilitation policies and programs in Arizona on behalf of the Arizona Developmental Disabilities Planning Council.

The DDA has worked closely with Institute for Community Inclusion (ICI) staff, particularly Dr. Jean Winsor, to address employment systems change for individuals with disabilities in Maryland. One factor that impacts the employment outcomes of individuals with Intellectual and Developmental Disabilities (IDD) is the quality of services transition-aged youth receive from vocational rehabilitation when they are preparing for and/or looking for employment. ICI has been an essential resource to assisting our state to better understand employment outcomes for individuals with disabilities including individuals with IDD and supporting us to develop solutions that bring together multiple partners including the state vocational rehabilitation agency.

For over ten years the DDA has worked directly with ICI and ICI has a proven ability to translate research into knowledge that leads to improvements in state level employment outcomes. We look forward to learning from the results of the Arizona study.

Sincerely,

Bernard Simons
Deputy Secretary, Maryland Developmental Disabilities Administration

cc: Patricia Sastoque, Director of Program Services, DDA
Stephanie Jones, Director of Innovations, DDA



Commonwealth of Massachusetts
Massachusetts Developmental Disabilities Council

108 Myrtle Street, Suite 202
Quincy, Massachusetts, 02171

CHARLES D. BAKER
GOVERNOR

KARYN E. POLITO
LIEUTENANT GOVERNOR

HOLLY E. SIMIONE
CHAIRPERSON

DANIEL M. SHANNON
EXECUTIVE DIRECTOR

May 18, 2022

Jean Winsor, Ph.D.
Institute for Community Inclusion
University of Massachusetts Boston
100 Morrissey Blvd
Boston, MA 02125

Dear Dr. Winsor,

This letter confirms the Massachusetts Developmental Disabilities Council's support for your application to conduct research on vocational rehabilitation policies and programs in Arizona on behalf of the Arizona Developmental Disabilities Planning Council.

Former Massachusetts Developmental Disabilities Council Deputy Director, Kristin Britton, previously worked closely with Institute for Community Inclusion (ICI) staff, particularly Oliver Lyons, to address disparities in self-advocacy and self-determination for transition-aged youth with Intellectual and Developmental Disabilities (IDD) in Massachusetts as part of the Massachusetts Partnership for Transition Towards Employment Project (MPTE). She assisted Mr. Lyons along with several self-advocates in creating a survey that asked transition-aged youth (ages 17-25) about their experiences and satisfaction with the self-advocacy and self-determination education they received in their schools. ICI was able to use their resources to distribute the survey across 35 towns and cities in Massachusetts and achieve an 82% response rate for the survey.

ICI has been an essential resource to assisting our state to better understand employment outcomes for individuals with disabilities including transition-aged individuals with IDD and supporting us to develop solutions that bring together multiple partners including the state vocational rehabilitation agency.

We look forward to learning from the results of the Arizona study.

Sincerely,

Daniel Shannon, Executive Director
Massachusetts Developmental Disabilities Council



(617) 770-7676 (Voice)
(617) 770-1987 (Facsimile)
www.mass.gov/mddc

Applicant's Background Information Form

Complete each item, using attachments where necessary and label your response "**Applicant's Background Information Form**". Attachments shall indicate the item number and heading being referenced as it appears below. Failure to make full and complete disclosure may result in the rejection of your application as unresponsive.

1. Contact Name for Project: Jean Winsor

Organization Name: Institute for Community Inclusion, University of Massachusetts Boston

Address: 100 William T. Morrissey Blvd. Boston, MA 02125-3393

Phone Number: 716-406-9780

Email: jean.winsor@umb.edu


2. The Applicant is and was established when:

TYPE	YEAR ESTABLISHED
Corporation – Nonprofit	
Corporation – For Profit	
University or Community College	1964
Unit of Local Government	
Indian Tribal Government	
Other	

3. As the lead applicant, read each statement carefully and mark Yes or No.

	YES	NO
a. Has any Federal or State agency ever made a finding of noncompliance with any relevant civil rights requirements with respect to your business activities? If YES, please attach an explanation.		X
b. Has the Applicant, its major stockholders with a controlling interest, or its officers been the subject of criminal investigations or prosecutions or convicted of a felony? IF YES, please attach an explanation.		X
c. Does the Applicant have sufficient funds to meet obligations on time under the Contract while awaiting reimbursement from ADDPC? If NO, please attach an explanation.	X	
d. Have any licenses ever been denied, revoked or suspended or provisionally issued within the past five years? If YES, please attach an explanation.		X
e. Have you or has your organization terminated any contracts, had any contracts terminated, had any liquidated damages assessed or been involved in contract lawsuits? If YES, please attach an explanation.		X
f. Do you, your staff, any of your relatives, or voting members of your Board of Directors maintain any ownerships, employments, public and private affiliations, or relationships which may have substantial interest (as defined in A.R.S. §38-502, Conflict of Interest) in any contract, sale, purchase, or service involving the ADDPC? If YES, please attach an explanation.		X
g. Has your organization ever gone through bankruptcy? If YES, when? Include the State, District and case number.		X
h. Does your organization have Insurance and Indemnification coverage to enter into a state contract? At a minimum a Certificate of Insurance, for each, shall be provided to the ADDPC if a contract is awarded. This will include coverage for Commercial General Liability (CGL), Business Automobile Liability, Workers' Compensation and Employee Liability, and Professional Liability.	X	

4. Authorized Signatory:


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Shala Bonyun, Associate Director, ORSP is the signatory to this Contract on behalf of the Contractor and is responsible for the delivery of Contract Services during the term of this Contract.