

DALE KEITH KLATZKER, PhD, MSW

Expert Witness and Litigation Consultant

Residential Standards of Care · I/DD · Mental Health
Substance Use Disorder · Organizational Accountability

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QUALIFICATIONS SUMMARY

Dale Keith Klatzker, PhD, MSW, has more than four decades of executive leadership and direct line accountability for residential and community-based behavioral healthcare, including services for individuals with intellectual and developmental disabilities (I/DD), serious mental illness, and substance use disorders. He has served as President and Chief Executive Officer of five behavioral health and human services organizations in Massachusetts, New Hampshire, Rhode Island, and the Mid-Atlantic, with operational responsibility for licensed residential programs, staffing and supervision systems, staff competency and training, incident reporting and sentinel event review, psychotropic medication oversight, behavioral support planning, and state and federal regulatory compliance.

His doctoral research at the Florence Heller Graduate School, Brandeis University, examined residential placement changes for seriously emotionally disturbed youth, including the service profiles and characteristics associated with placement instability. He is a licensed clinical social worker by training (LCSW, Massachusetts and New Hampshire, 1982–2005, inactive) and is a co-author of peer-reviewed research on the implementation of evidence-based practices for persons with severe mental illness.

Dr. Klatzker served as Board Chair of the National Council for Behavioral Health (now the National Council for Mental Wellbeing) and also served as Board Chair of Mental Health Corporations of America. He has held gubernatorial, legislative, regulatory, Medicaid, healthcare-reform, and quality advisory appointments. These roles have given him direct exposure to the development, implementation, oversight, and dissemination of practice, quality, governance, and regulatory standards across behavioral healthcare.

He provides independent review, written opinion, deposition and trial testimony, and litigation consultation concerning residential standards of care, organizational and administrative negligence, regulatory and accreditation compliance, medication oversight, staffing and supervision, behavioral supports, documentation integrity, and executive and governance accountability. He accepts engagements from both plaintiff and defense counsel, subject to conflicts review.

AREAS OF EXPERT OPINION

Residential Standards of Care

Group home and congregate residential standards for I/DD and behavioral health populations; supervision levels and line-of-sight requirements; resident safety, including elopement, choking, falls, wandering, and aspiration risk; abuse, neglect, and exploitation prevention and reporting; individual service plan development, implementation, and revision; positive behavioral support plan design, human rights review, approval, and monitoring; restrictive intervention and restraint practices; residential placement appropriateness and placement stability; environmental safety and physical plant conditions.

Clinical and Medication Oversight Systems

Psychotropic medication administration, monitoring, and informed consent; medication error identification, reporting, and corrective response; nursing delegation and medication administration by unlicensed direct support staff; clinical documentation standards and record integrity; interdisciplinary team process; assessment and reassessment of changing clinical condition.

Regulatory, Licensing, and Accreditation Compliance

CMS Conditions of Participation and Medicaid Home and Community-Based Services requirements; state licensing, certification, and waiver regulations; Joint Commission and CARF accreditation standards; state protective-services

and developmental-disability agency investigations; survey response, plan of correction, remediation, and sustained compliance.

Organizational Accountability and Executive Oversight

Administrative and corporate negligence; staffing adequacy, ratios, and acuity-based deployment; hiring, screening, credentialing, training, and competency verification; supervisory structure and span of control; quality assurance and performance improvement systems; incident reporting, trend analysis, root cause analysis, and sentinel event review; board governance, fiduciary oversight, and executive duty of care.

BASIS OF EXPERTISE — DIRECT OPERATIONAL ACCOUNTABILITY

The opinions offered are grounded in direct executive responsibility for the operation and oversight of licensed residential and treatment programs, not solely in academic or consultative study of them.

- Served as President and Chief Executive Officer of behavioral health and human services organizations in Massachusetts, New Hampshire, Rhode Island, and the Mid-Atlantic, with responsibility for residential, outpatient, emergency, community-based, withdrawal-management, recovery-housing, and integrated behavioral health services.
- Approved and promulgated enterprise policy governing incident reporting, abuse and neglect response, medication administration, behavioral support and restrictive interventions, staff training and competency, supervision, quality, and regulatory compliance.
- Held executive accountability for licensing and accreditation readiness, survey response, plans of correction, remediation, clinical quality, and regulatory oversight.
- Chaired or convened executive-level incident review, sentinel event, root cause analysis, and quality improvement processes, including review of deaths, serious injuries, and allegations of abuse and neglect in residential settings.
- Reported to and advised governing boards on quality, risk, compliance, resident safety, workforce, operations, and organizational accountability, and served as the executive accountable to state licensing and funding authorities.
- Maintains current consulting exposure to provider operations, organizational transformation, I/DD services, health technology, Medicaid strategy, quality improvement, governance, and post-incident systems analysis through Consulting for Human Services.

LITIGATION CONSULTING AND EXPERT WITNESS EXPERIENCE

Retained to conduct independent review and render opinions regarding residential care, behavioral health operations, regulatory compliance, medication oversight, behavioral support implementation, staffing and supervision adequacy, documentation practices, and executive and organizational accountability. Reviews encompass policies and procedures, clinical and administrative records, incident and investigative reports, personnel and training files, depositions, accreditation standards, and applicable state and federal regulation.

Representative Engagement

- 2025–2026 — Massachusetts. Retained by plaintiff's counsel for comprehensive expert review of residential I/DD services concerning resident safety, incident response, supervision, medication and behavioral-support systems, documentation, regulatory compliance, and organizational oversight. Review integrated incident records, state Department of Developmental Services investigative material, policies and procedures, longitudinal service documentation, depositions, and related records; provided written analysis and deposition-preparation support.

Testimony History

Dr. Klatzker has not previously testified as an expert witness at trial or by deposition. A list of all cases in which he has testified at trial or by deposition during the previous four years is maintained and furnished in accordance with Fed. R. Civ. P. 26(a)(2)(B)(v).

Compensation

A statement of compensation for review, report preparation, deposition, and trial testimony is furnished in accordance with Fed. R. Civ. P. 26(a)(2)(B)(vi). Fee schedule and engagement terms available on request.

PUBLIC POLICY, LEGISLATIVE, AND REGULATORY SERVICE

Appointed to and served on state legislative commissions, executive-branch working groups, regulatory advisory councils, and Medicaid and healthcare-reform bodies addressing behavioral health regulation, financing, healthcare system design, quality oversight, and organizational accountability. Service has included formal presentation to and deliberation before these bodies.

- Working Group to Reinvent Medicaid — appointed by the Governor and Lieutenant Governor of Rhode Island; Behavioral Health Work Group and High Utilizers Work Group subgroups (2015).
- Working Group for Healthcare Innovation — gubernatorial appointment, State of Rhode Island (2015).
- Rhode Island Healthcare Reform Commission — gubernatorial appointment (2011–2017).
- Special House Commission to Study Enacting Legislation Establishing an Internet System for Tracking Over-Prescribing (I-STOP), Rhode Island General Assembly (2013–2014).
- Special Senate Commission to Study Emergency Department Diversion, Rhode Island General Assembly (2011–2013).
- Rhode Island Health Care Planning and Accountability Advisory Council (2012–2017), including Certificate of Need Subcommittee (2012).
- Rhode Island Coordinated Health Planning and Accountability Advisory Council, Rhode Island Department of Health (2012–2013).
- Medicaid Expansion Taskforce, Rhode Island Department of Human Services (2014).
- Emergency Department Stakeholder Advisory Committee, Rhode Island Department of Human Services (2010–2011).
- Re-entry Housing Subcommittee, Rhode Island Department of Corrections (2012–2013).
- Secretariat Structure Committee, Rhode Island Executive Office of Health and Human Services (2011).
- Community Health Advisory Board, Brown University School of Public Health (2014–2017).

PROFESSIONAL EXPERIENCE

Principal Consultant, Consulting for Human Services (CFHS) | 2024–Present

Independent consultant to healthcare organizations, nonprofit providers, attorneys, insurers, and health technology companies. Advises on residential operations, regulatory and accreditation compliance, quality improvement, Medicaid strategy, organizational transformation, governance, and post-incident systems analysis; provides expert review and litigation consultation. Representative engagements include work with KenCrest, Elwyn, IPMG, Eleos Health, and Akido Labs.

President and Chief Executive Officer, Gaudenzia, Inc. | 2019–2024

Chief executive of one of the Mid-Atlantic's largest nonprofit substance use disorder treatment organizations, operating residential, withdrawal-management, outpatient, and recovery-housing programs across multiple states. Accountable for enterprise compliance, residential operations, licensing and accreditation, clinical quality, incident and sentinel event review, workforce redesign, governance interface, and regulatory oversight.

Senior Consultant, The Margolin Group | 2017–2019

Advised behavioral health providers, integrated delivery systems, physician organizations, and payers on population health, integrated care, behavioral health strategy, and healthcare transformation.

Senior Vice President, Ambulatory Behavioral Health, Care New England Health System | 2015–2017

Built enterprise population-health capabilities and developed system-wide ambulatory behavioral health services across a \$1 billion academic health system, concurrent with service as President of The Providence Center following its affiliation with the system. Member of the system Executive Leadership Team, Quality Council, Quality Committee of the Board, Operations Council, and Primary Care Council.

President and Chief Executive Officer, The Providence Center | 2004–2017

Chief executive of Rhode Island's largest community behavioral health organization, operating outpatient, residential, emergency, and community-support services. Expanded annual services from 8,000 to 18,000 individuals, doubled the operating budget, pioneered integrated primary and behavioral healthcare, developed recovery-oriented residential services, and led the organization's affiliation with a major integrated health system.

President and Chief Executive Officer, Riverbend Community Mental Health | 1994–2004

Directed a comprehensive community behavioral health organization in New Hampshire providing outpatient, residential, emergency, and community-based services, and led its integration with a regional healthcare system. The organization received the Walter J. Dunfey Award for Excellence in New Hampshire Nonprofit Management and was featured in a 2001 HBO documentary on suicide prevention.

President and Chief Executive Officer, Eastern Middlesex Human Services | 1987–1994

Chief executive of a comprehensive Massachusetts behavioral health and human services organization providing outpatient, residential, and community-support services. Concurrently served as President, Vice President, and Treasurer of the Board of Directors, Mental Health Corporations of Massachusetts (1988–1994).

EDUCATION AND LICENSURE

- PhD, Social Policy, Planning and Administration — Florence Heller Graduate School for Advanced Studies in Social Welfare, Brandeis University, 1992. Dissertation: Residential Placement Changes for Seriously Emotionally Disturbed Youth: Their Service Profiles and Characteristics.
- MSW — Boston University School of Social Work, 1981. Concentrations in casework and group work; services to children and youth.
- BA, American Studies — Brandeis University, 1976. Magna cum laude; Senior Honors in American Studies; Jacob and Bella Thurman Award.
- Licensed Independent Clinical Social Worker (LICSW), Massachusetts and New Hampshire, 1982–2005; inactive.
- Academy of Certified Social Workers (ACSW), 1983–2004.

ACADEMIC AND TEACHING APPOINTMENTS

- Clinical Assistant Professor of Psychiatry and Human Behavior, Alpert Medical School, Brown University (2015–2018).
- Adjunct Professor of Psychology, Johnson & Wales University (2010–2012, 2025–Present).
- Adjunct Professor of Social Services, Colby-Sawyer College (2000–2002).
- Clinical Field Instructor, Boston College Graduate School of Social Work (1985–1989).

NATIONAL AND STATE LEADERSHIP AND STANDARD-SETTING ROLES

- National Council for Behavioral Health (now National Council for Mental Wellbeing) — Board Chair (2003–2005); Chair, Nominating Committee (1997–2003); Member (1997–2017).
- Mental Health Corporations of America — Board of Directors and Executive Committee (2011–2017); CEO Advisory Board (2012–2013); Investment Committee (2014).
- Mental Health Corporations of Massachusetts — President, Vice President, and Treasurer, Board of Directors (1988–1994).
- Behavioral Health Network of New Hampshire — Vice Chair (1997–2004).
- Rhode Island Council of Community Mental Health Organizations — Board of Directors, Executive Committee, and Administrative Advisory Committee (2004–2017).

- About Families CEDARR Center (Comprehensive Evaluation, Diagnosis, Assessment, Referral and Reevaluation for children with disabilities) — Board of Directors and Executive Committee (2004–2017).
- Rhode Island Quality Institute — Board of Directors (2014–2017); Operations Oversight Committee (2016–2017).
- Integra Community Care Network, Medicaid Accountable Entity — Governing Body (2016–2017).
- Rhode Island Health Center Association — Board of Directors, Associate Member (2012–2017).

PUBLICATIONS

Peer-Reviewed Journal Articles

- Torrey WC, Drake RE, Dixon L, Burns BJ, Flynn L, Rush AJ, Clark RE, Klatzker D. Implementing evidence-based practices for persons with severe mental illnesses. *Psychiatric Services*. 2001;52(1):45–50.
- Taylor D, Terry S, Gunn W, Towle S, Eubank D, Klatzker D. Collaborative care in a family health care setting. *Families, Systems & Health*. 1999;17:389–398.

Doctoral Research

- Klatzker DK. Residential Placement Changes for Seriously Emotionally Disturbed Youth: Their Service Profiles and Characteristics. Doctoral dissertation, Florence Heller Graduate School for Advanced Studies in Social Welfare, Brandeis University, 1992.

Publications Within the Preceding Ten Years

A list of publications authored within the preceding ten years is furnished in accordance with Fed. R. Civ. P. 26(a)(2)(B)(iv).

SELECTED INVITED PRESENTATIONS

- Survival of the Savviest. National Council for Behavioral Health Annual Conference (2015). National.
- The Power of Partnership: Is Your Future Part of a Hospital System? National Council for Behavioral Health Annual Conference (2015). National.
- Population-focused approaches to integrated care for individuals with serious mental health and behavioral health conditions. Mental Health Summit, Rhode Island Department of Behavioral Healthcare, Developmental Disabilities and Hospitals (2015).
- Data Analytics Provider Panel. Mental Health Corporations of America Winter Conference (2014). National.
- Health Homes, Integrated Care and the Final Frontier. Iowa Learning Collaborative (2013). National.
- What to Consider When Involving Peers in Integrated Work Settings. Substance Abuse and Mental Health Services Administration (2013). National.
- Making the Business Case for Integration — Experiences from the Ground Up. 42nd National Council for Behavioral Health Conference (2012). National.
- Healthcare Reform Panel: Implications of Reform for Providers and Their Clients. Center for Prisoner Health and Human Rights, Brown University (2011).
- Formal vs. Informal Power. Mental Health Corporations of America, Pittsburgh, Pennsylvania (2006). National.

A complete list of invited presentations is available on request.

PROFESSIONAL MEMBERSHIPS

- American College of Mental Health Administration (2011–2015).
- American Psychological Association (2013–2017).
- Association of Recovery Schools (2010–2017).
- National Association of Social Workers (1978–2004).

- Fellow, American Orthopsychiatric Association (1983–2004).

HONORS AND AWARDS

- Award of Excellence — Visionary Leader, National Council for Behavioral Health (2012).
- Bronze Key Award for Outstanding Contribution to the Field, Rhode Island Council on Alcoholism and Other Drug Dependence (2012).
- Advocate of the Year, Rhode Island Communities for Addiction Recovery Efforts (2010).
- Rhode Island Foundation Fellows Program (2010).
- Behavioral Health Champion, Behavioral Healthcare Magazine (2007).
- Award for Elderly Assisted Living, MetLife and Enterprise Foundation (2001).
- Walter J. Dunfey Award for Excellence in New Hampshire Nonprofit Management (2001).
- Behavioral Healthcare Leadership Award, Eli Lilly and Company (2000).
- Efficient and Effective Provider Award, National Council for Community Behavioral Healthcare (2000).
- Health Care Provider of the Year, Business New Hampshire (1999).
- CMHC Administrator of the Year, New Hampshire Alliance for the Mentally Ill (1997).

RETENTION, AVAILABILITY, AND DISCLOSURES

- Accepts engagements from both plaintiff and defense counsel; available nationally, subject to conflicts check.
- Services include case screening and merit review, standard-of-care analysis, written expert reports, Rule 26 disclosures, deposition and trial testimony, rebuttal review, and consultation on discovery and deposition strategy.
- Current and recent consulting relationships with behavioral health and I/DD provider organizations, insurers, and health technology companies are disclosed on conflicts review and are available on request.
- Fee schedule and engagement terms furnished on request.