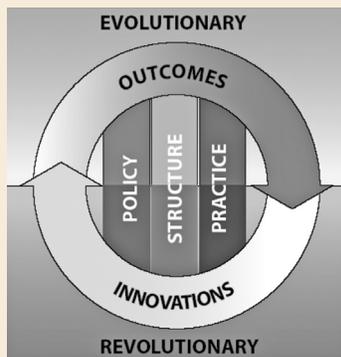


Human Services 2.0™: A Framework for Interoperability

FORWARD-LOOKING HUMAN SERVICES WORKERS HAVE ALWAYS DREAMED of systems in which services are planned, coordinated, delivered, monitored and evaluated in an integrated and efficient manner, maximizing positive outcomes for children, families and communities. Until recently, technological limitations have prevented this bold vision from becoming a reality. Today, though, the emergence of “interoperable” technology has created a real opportunity for new systems and approaches that connect across conventional boundaries and silos in exciting ways. The potential and the challenges of this new interconnectivity are tremendous, and represent the cutting edge for development of new service models and approaches.

Decisions about expensive new technology systems are a serious matter with significant implications for leadership and governance at all levels and functions. Every year an estimated \$14 billion is spent on information technology in state and local government health and human services alone. Unlike private industry, which has a more rapid redeployment cycle, government usually makes decisions about major information system changes only once every 10 years or so. Today’s leaders must fully understand current and emerging interoperability trends to effectively guide their organizations through the complex and high-risk decision-making and implementation processes.



Policy

The principles or rules that guide decisions by which human services organizations define how they will achieve a desired outcome across the range of programs, activities and disciplines

Structure

The way public and private human services systems design, organize and implement work processes to achieve policy and practice goals

Practice

The way public and private human services organizations deliver services and care, monitor and report results and achieve intended outcomes

POLICY EXAMPLES

- » Information sharing is clearly defined, meets confidentiality and privacy requirements, and is integrated in training and practice.
- » Integrated case management is clearly articulated by leadership and embedded in operations, procedures, training and practice.
- » Business processes are designed to treat clients holistically so that they receive maximum services allowable.
- » Systems are designed to focus on achieving and measuring client outcomes.

STRUCTURE EXAMPLES

- » Information technology exists to support data collection at the point of client contact and enables real-time access for analysis and reporting.
- » Business processes are designed to support efficient practice and coordinated case management that cuts across programs and department silos.
- » Systems are designed so eligibility can be determined for all programs at the same time and not just for the presenting problem.
- » The workforce is in alignment and organized to support agency mission, vision, values and goals.

PRACTICE EXAMPLES

- » The agency’s leadership and culture supports caseworkers to plan and execute a client-centered, integrated services approach.
- » Workers are trained in and feel competent operating in a data-driven, evidence-based environment.
- » Organizational goals clearly reflect the mission, vision and values for all workers.
- » Performance management systems provide accurate, constructive and timely feedback tied to individual performance.

Yet despite the massive implications of interoperability, few resources have been dedicated to provide up-to-date information about the status of past or current interoperability initiatives; last year, there was no national clearinghouse to document best practices, research key operational considerations, publish best/worst practices or provide technical guidance about planning for interoperability. Moreover, when Stewards of Change™ began focusing on these issues, there was no conceptual model to guide leadership’s thinking and efforts to help navigate the interoperability journey.

During the first Stewards of Change annual conference in 2005, SOC introduced its Theory of Change model as a means of organizing change and innovation within child welfare and human services more broadly. The intent was to provide a structure for rethinking the field’s overall business model in response to the enormous transformations and opportunities afforded by interoperability. The model (see next page) defined change along three continua, each of which has an impact on the overall purpose, rate and impact of change:

- PURPOSE OF CHANGE: Innovation or Improved Outcomes
- RATE OF CHANGE: Evolutionary to Revolutionary
- IMPACT OF CHANGE: Policy, Structure and Practice

More About the Human Services 2.0 Theory of Change

Over the past five years, Stewards of Change has continued to build, test and fine-tune the Theory of Change model. Input for this model has been derived from custom research, consulting engagements, case study development and the generous input and feedback from hundreds of passionate leaders who have participated in conferences and other convenings. SOC has aggregated, synthesized and refined the thinking to create Human Services 2.0, our enhanced Theory of Change.

Human Services 2.0™ is a conceptual architecture that portrays the “To Be” vision of an interoperable ecosystem that includes health, education, human services and other consumer-oriented social services. It describes the long-term image, or future state, of what a connected and coordinated human services system could or should look like:

- » It is a “theory of change” that can guide the development of interoperability initiatives across business, organization and technical levels to achieve better client outcomes and improved operational efficiencies.
- » It is customer-centric, family-focused, community-based and technology enabled.

InterOptimability™ is a standardized nine-step process organizations can use to assess, plan, build, communicate, monitor and refine interoperability initiatives. InterOptimability provides organizations a proven process they can leverage to rapidly and efficiently advance interoperability. It includes:

- » An engaging and powerful collaborative experience for creating a graphically illustrated “Change Vision Landscape” and “Roadmap” to guide the overall interoperability process for leaders and stakeholders.
- » A common language and vocabulary, including 10 core “drivers” describing the range of business, organizational and technical factors required for interoperability. We have captured the driver concepts in unique visual icons to make it easy to share them in a succinct, impactful way.(You’ll find detailed descriptions of

THE 10 INTEROPTIMABILITY™ DRIVERS

- | | |
|--|---|
| 1. Creating a Consumer-Centric Focus | 6. Building Public and Political Will |
| 2. Bridging and Integrating Service Silos | 7. Developing Innovative Funding Streams |
| 3. Building Open and Inclusive Processes | 8. Redesigning Workforce, Workflow and Training |
| 4. Managing Confidentiality and Privacy | 9. Articulating Governance and Leadership |
| 5. Measuring Data and Performance | 10. Creating an Interoperable Technology Framework |

all the drivers on page 4-5 and in the Stewards of Change publication *The InterOptimability Handbook*, which you can download at www.stewardsofchange.com).

- » A set of analytical tools, maturity matrices and templates that can be used to create an organizational baseline and readiness assessment for change across the three domains of policy, structure and practice as well as the 10 drivers.

How the Human Services 2.0 Framework Will Create Change

Human Services 2.0 is intended to help jurisdictions with their own “central information nervous system” to support the entire health and human services enterprise according to general standards. The framework is already having impact on the way jurisdictions design and build, upgrade or modify their systems. At the federal level, the Administration for Children and Families (ACF/HHS) has adopted the approach and is beginning to implement it across the agency’s programs and grantees across the nation.

States, counties and tribes can leverage this approach by assessing their individual needs and then focusing on elements of the framework (and interoperability drivers) that best meet their strategic and tactical goals and objectives. States and counties may collaborate on joint projects to develop and implement shareable, reusable IT components and business processes and services.

State participation will help shape the world of human services IT during the upcoming years, and the vendor community can use the framework to define a conceptual approach, articulate a common language and shape product offerings to enable services to be leveraged and reused across states and programs.

To support the evolving interoperability learning, SOC has created an online collaborative community and repository where stakeholders can discuss relevant topics and access interoperability information and case

Service-Oriented Architecture Explained

SERVICE-ORIENTED ARCHITECTURE (SOA) is a relatively new way to build systems that share data across organizational and territorial boundaries. It has been used in fields as diverse as banking, transportation, law enforcement and healthcare. Each of these industries has experienced the need to move key information quickly and seamlessly across counties and states and around the world. This data exchange must take place not only within companies but with other stakeholders and even with their competitors—all on behalf of better customer service, increased operating efficiencies and improved client outcomes. When it comes to implementing SOA, the business case—achieving the mission, goals and objectives integral to that vision—is of paramount importance; technology is only an enabler to achieve it.

SOA is based on three distinct but related architectures:

- » The “**business architecture**” is best described according to groupings of business services into business areas that support the goals and objectives of the vision. These services are described at such a rudimentary level that they are standardized for use across the country. A particular business service/process is defined identically whether it is used by a small county in Wyoming or a large system in Chicago.
- » The “**information/data architecture**” supplies the standard definition and protocols for data within the business architecture.
- » The “**technical architecture**” provides the underpinnings to overcome the challenges of a tightly coupled system and ties together the business and information architectures using Web services, enterprise service buses and other tools.

studies from across the nation and, in fact, the globe. Over the past year SOC has facilitated the writing of a charter, in conjunction with participants from prior conferences, to align interests and principles and to support action moving forward.

The interoperability journey is just beginning. The models and approaches will continue to evolve and expand with the input and support of human services stakeholders and partners.

You'll find more specifics about Human Services 2.0 at www.stewardsofchange.com.

Get to Know the Top 10 InterOptimability™ Drivers

SOC's 10 InterOptimability drivers include organizational, operational and technological competencies—derived originally from our study of past interoperability initiatives. The driver icons, shown below, provide an entertaining and memorable shorthand you can use to quickly communicate about your organization's interoperability priorities and efforts.

The SOC readiness assessment uses a variety of analytic and survey tools to create baseline measures of each driver. This information provides guidance for leadership to construct project plans and timelines, and identify development and investment priorities. You can use the baseline to measure the progress of your interoperability project over time.

1. CUSTOMER-CENTRIC FOCUS



better client outcomes the foremost goal of the InterOptimability process. By improving organizational awareness of, and sensitivity to, consumers' strengths, limitations, resources, needs and

preferences, it helps ensure that clients can communicate openly with agency personnel and that services are delivered in a meaningful and satisfying manner.

2. BRIDGING SERVICE SILOS



coordinated way across multiple programs. It addresses the organization's ability to work

holistically and collaboratively across programs, increasing data portability and securely linking people, information and services to maximize efficiency and effectiveness.

3. BUILDING OPEN & INCLUSIVE PROCESSES



refers to the degree to which all external stakeholders, including those outside the organization—the courts, funders, legislators, private providers and the public at large—can access information about a department's services and accountability measures. It also relates to the depth of communication and collaboration in which the organization routinely engages.

4. CONFIDENTIALITY & PRIVACY INFORMATION MANAGEMENT

addresses an organization's need to store, use and share regulated information. It covers policies and practices about safeguarding sensitive data and maintaining confidentiality within legal bounds. It also encompasses employee knowledge, beliefs and attitudes about the policies and boundaries of information sharing.



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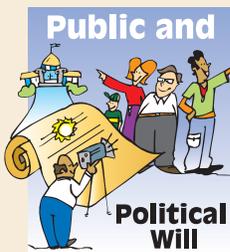


Top 10 InterOptimability™ Drivers *continued*

5. DATA & PERFORMANCE MEASUREMENT SYSTEMS help determine how much and how well the organization and its users work with data, including data collection, storage, access, sharing, usage and analysis. The output from this driver informs performance metrics for individual workers, programs and the organization as a whole.



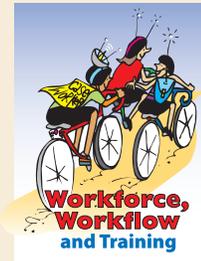
6. PUBLIC & POLITICAL WILL refers to the degree to which government leaders and their constituents understand and have confidence in the organization. Contributing factors include the groups' awareness of organizational direction, the strength of each group's belief in that direction, and the ability of the organization to deliver the results promised.



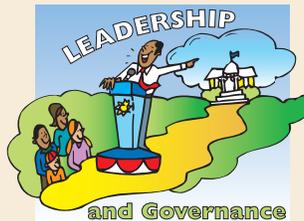
7. FUNDING & RESOURCING focuses on the organization's ability to pay for the people, systems and tools fundamental to ongoing operations and innovation. It includes the department's ability to maximize funding from local, state, federal and alternative sources.



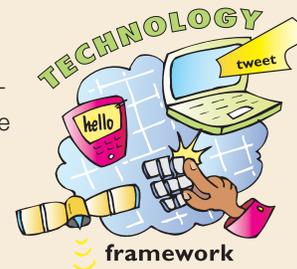
8. WORKFORCE, WORKFLOW & TRAINING relates to the systems and supports necessary for workers to do their jobs effectively, meeting responsibilities to both the organization and its customers. It encompasses worker satisfaction and retention as well.



9. LEADERSHIP & GOVERNANCE are intimately linked to the organization's ultimate mission and vision. Governance provides the policies, systems and decisions that establish that vision, authority and responsibility, and affects how initiatives are measured. Leadership guides the implementation and strategies provided by the governance structure.



10. TECHNOLOGY FRAMEWORK encompasses all hardware and software architecture, systems and functionality that enable the organization's IT processes, including data collection, storage and sharing.



Contact us at info@stewardsofchange.com for more information.