Human Services 2.0™

CONNECTING SYSTEMS • OPTIMIZING OUTCOMES

Handbook

Join us on the journey to customer-centric, family-focused health and human services enabled by interoperable technology

InterOptimability: Where Will It Take You?

HUMAN SERVICE LEADERS have long 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" offers an unprecedented opportunity to connect systems across traditional boundaries in exciting and rewarding ways. This interconnectivity represents the cutting edge for development of new service models and approaches.

Since our first Stewards of Change™ conference in 2005, we've been studying emerging technology and business trends and the impact of interoperability on new operational models in health and human services. Our research makes it clear that, just as interoperability is driving innovation in other sectors, it will transform the fundamental structure and function of human services.

Despite the profound implications of these changes, few resources have been dedicated to interoperability initiatives. There is no national clearinghouse to document best practices, study key operational considerations or provide technical guidance. Moreover, there is no handbook for leaders undertaking this complex and critical journey.

To fill the gap, SOC has developed Human Services 2.0 InterOptimability, which comprises a conceptual architecture, common language and practical approach to large-scale interoperability.

"Human Services 2.0" is our theory of change and long-term vision of a connected health and human services system; "InterOptimability" refers to the process we've designed to help organizations successfully assess, plan and implement their interoperability initiatives. This handbook takes you on a journey through that process. To get more details go to www.stewardsofchange.com.

OUR INTEROPERABILITY JOURNEY BEGINS HERE

InterOptimability Process at a Glance

THE GOAL OF THE INTEROPTIMABILITY PROCESS is to create a comprehensive roadmap for pursuing interoperability across an organization. It encompasses 9 phases incorporating myriad business, organizational and technological factors that influence the organization's capacity to prepare for and implement interoperability to ultimate client benefit:

1 Orientation: Getting to Know HS2.0 InterOptimability Theory and Process

2 Create a 'To-Be' Change Vision Landscape and InterOptimability Roadmap

3 Review 'As-Is' Business Processes

4 Conduct an 'As-Is' Information Technology Assessment

5 Evaluate Your Organizational Readiness

6 Build a 'To-Be' Business Process Framework

7 Develop a 'To-Be' Information Technology Solution

8 Perform a Gap Analysis

9 Synthesize Learning, Present Recommendations and Action Plans

ENJOY THE JOURNEY!

Orientation

1

THE INITIAL STEP IN THE INTEROPTIMABILITY PROCESS is a training module designed to help you develop a deeper understanding of the Human Services 2.0 concept and related InterOptimability practice. It includes an overview of HS2.0 and the latest trends, case studies and best practices in business, technology and government that together form the essential underpinning of interoperability. WIth a clear understanding of the major factors critical to create and sustain interoperability, you now have a solid foundation on which to conduct an InterOptimability assessment specific to your organization.

'To-Be' Change Vision Landscape & InterOptimability Roadmap

2

COLLABORATING IN A FACILITATED WORKSHOP setting, with an on-site graphic artist in real-time, the organization's cross-functional InterOptimability team creates two billboard-size "maps":

The 'To-Be' Change Vision Landscape displays the group's unique, collective vision of the organization in its desired interoperable state — one that is both aspirational and achievable. The work is grounded in a deep and wide-ranging exploration of what its consumer-centered, family-focused, technology-enabled system will look like within five years.

The InterOptimability Roadmap draws upon the core concepts portrayed in the Vision Landscape to define key principles on which to base ongoing assessments and communication. Integral to this map are 10 "InterOptimability drivers" — these cover a range of competencies SOC has identified and defined as crucial to an organization's successful interoperability implementation. (For a closer look at the individual InterOptimability drivers, see the Organizational Readiness Assessment section, Step 5).

Individually and together, the Vision Landscape and InterOptimability Roadmap serve as rich tools to articulate, refine and disseminate an intriguing image of the interoperable organization pictured by the InterOptimability team, to help ensure rapid, large-scale buy-in from all stakeholders. They also provide a basis for comparing the "to-be" future state with the current "as-is" reality of organizational operations and IT systems during the assessment phases of the InterOptimability process. This comparison of differences — what exists now and what could or should be — allows for a rich gap analysis that serves the agency and its clients well.

Governance models provide clear direction for leadership to manage business processes, administration and technology efficiently and effectively

The first national Human Services 2.0 Vision Landscape was created with participation of 60 organizational leaders at the third annual Stewards of Change conference, in 2007

Funding streams from across program silos are blended in innovative ways to maximize utility and minimize redundancy

Case workers' efforts are coordinated to ensure delivery of comprehensive and integrated services to customers

Strong partnerships of public and private providers result in combined efforts to build capacity and sustainability

Performance management and information systems are designed to turn data into actionable knowledge for real-time use

INTEROPERABILITY PLANNING IN ACTION

Multidisciplinary organizational teams design unique versions of SOC's InterOptimability Roadmap (see model below), with the support of a graphics faciliator. This roadmap complements the Vision Landscape and helps present the core principals of the transformation the team envisons.
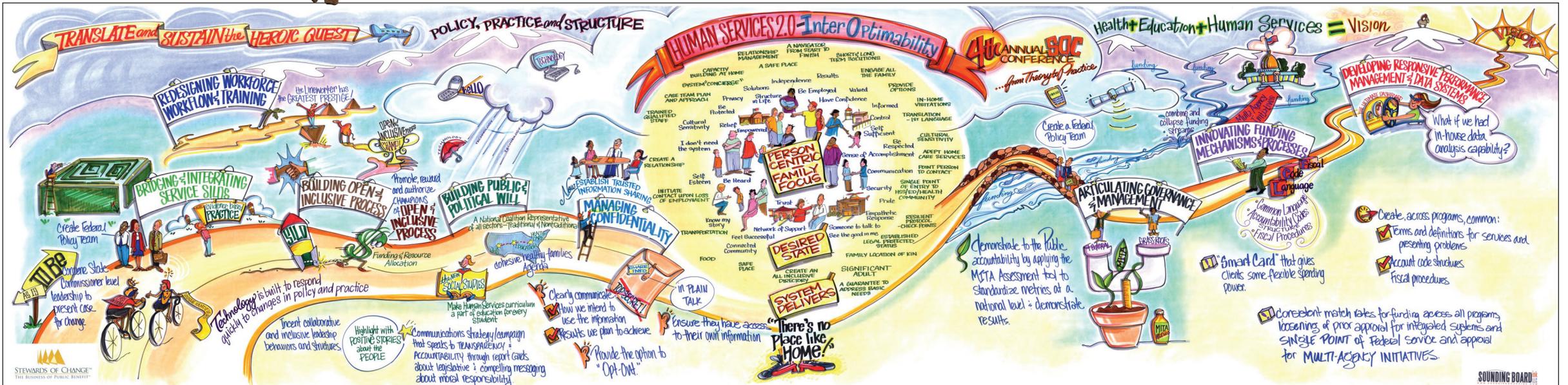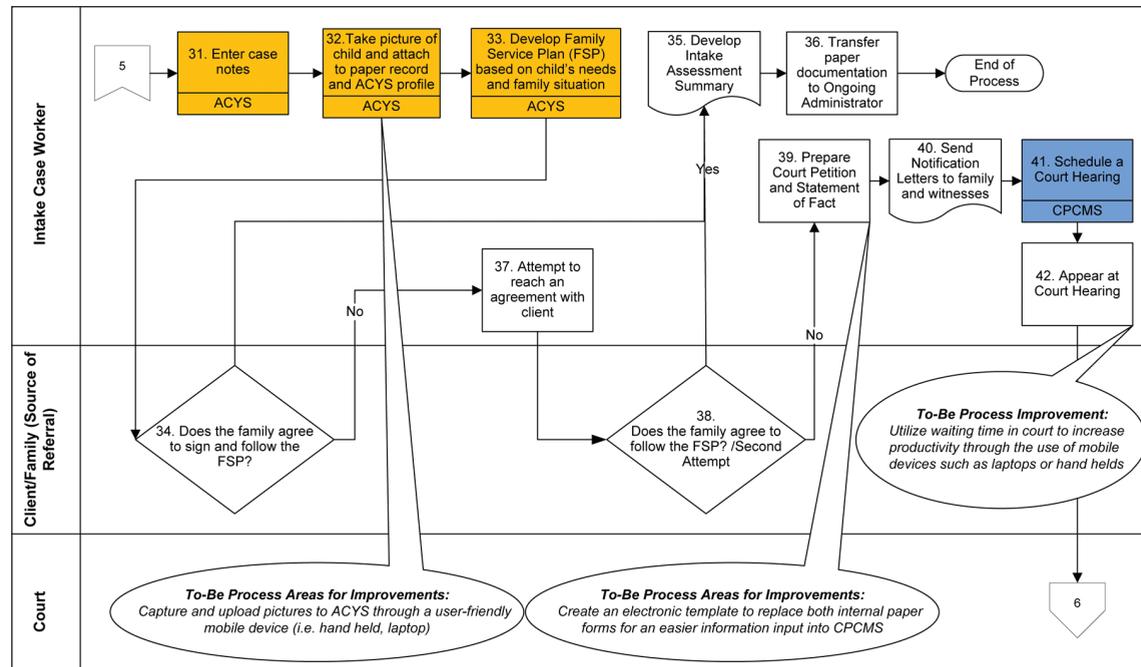
'As-Is' Business Process Assessment

WITH OUR VISION LANDSCAPE and InterOptimability Roadmap complete, we take stock of the organization's current business processes to develop a detailed understanding of operations, including structural impediments and enabling strengths. This 'As-Is' Business Process Assessment

includes identifying the various stakeholders and doing a data network analysis (see next page), bringing the system's current process, data and communication flows into focus. The goal is to identify process improvement opportunities that will increase operational efficiency and lead to better client outcomes.

Example of a Multistep Human Services Administration Process

Network Map of Work Interactions Organized by Community of Knowledge
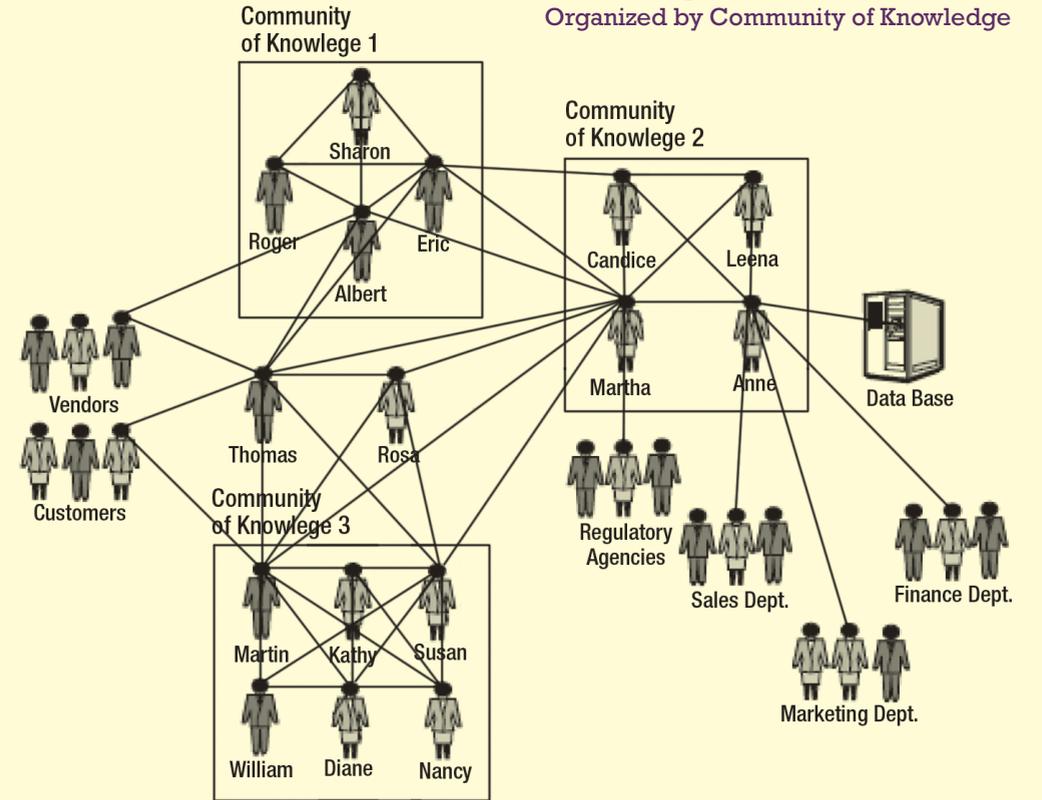
DATA NETWORK ANALYSIS is a primary piece of the "as-is" business process review. It makes visible the information exchanged among the various members of an organization, and provides a foundation for improving the data collection, sharing and usage required for monitoring, tracking, decision-making, communication and performance management throughout the organization, from field level to executive management. Understanding both formal and informal interactions is critical to achieve interoperability.
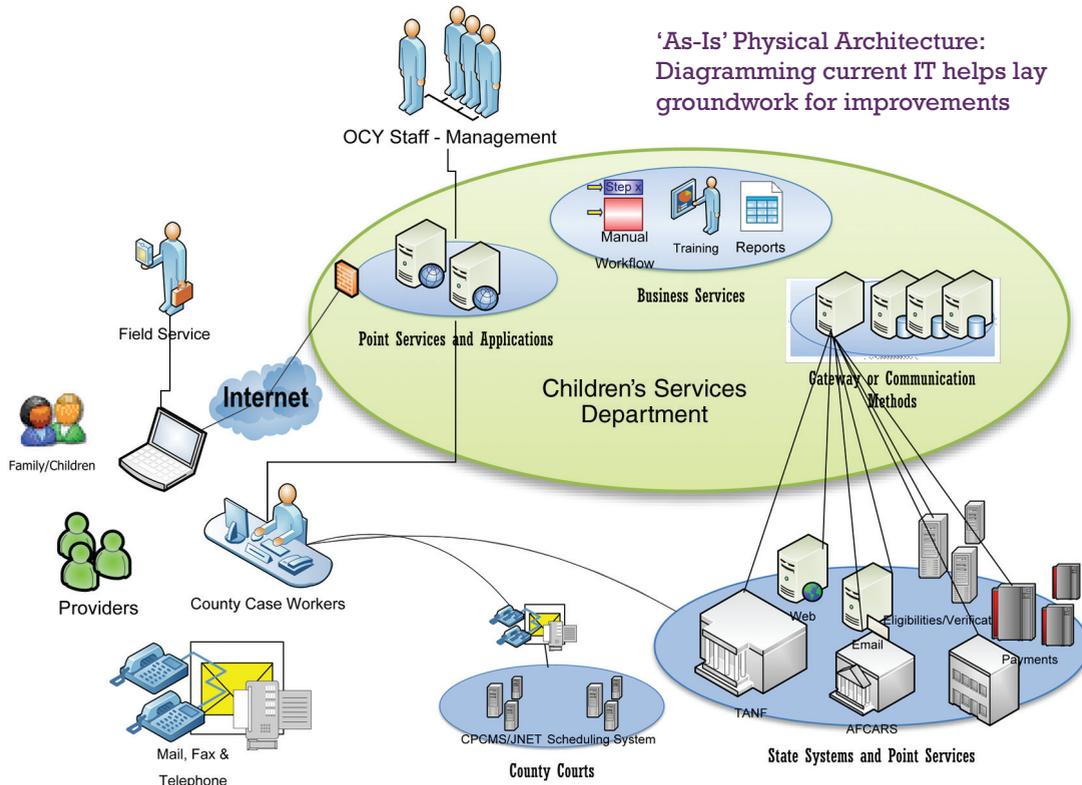
4

'As-Is' Information Technology Assessment

EQUALLY CRITICAL to the business process assessment is an evaluation of the organization's current information technology. This step begins with an inventory of the existing IT environment, including architectures, systems, services, applications, platforms and underlying infrastructure. The inventory is validated through document review as well as interviews and discussions with key
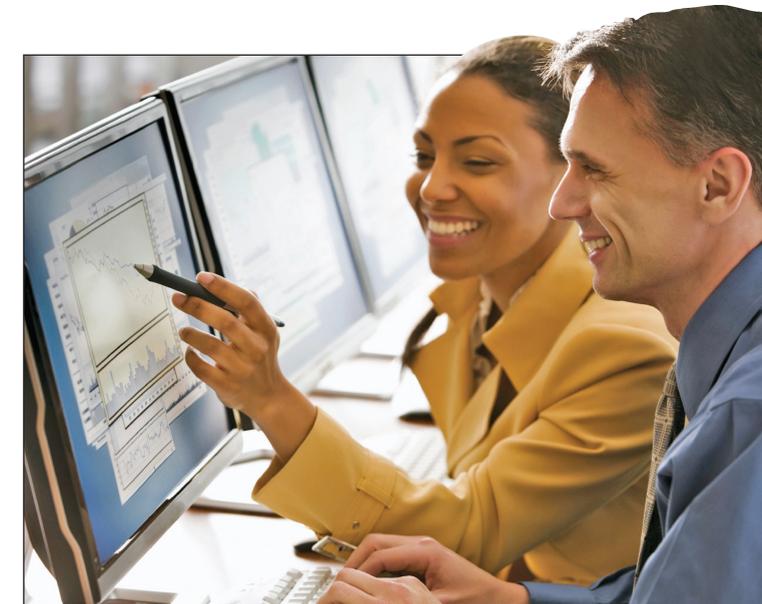
IT personnel. Additional considerations include:

- User requirements, including number of users and concurrent users, and specifics about user access

- Boundaries and overlaps between organizations, service-level agreements, rules and practices for sharing across boundaries

- Interoperability capabilities and constraints among the various entities' existing IT systems

- Rules and approaches governing data collection, storage, sharing and usage

- Physical and virtual security of the data and the overall IT environment.

An in-depth analysis of the information gathered during this inventory will serve as the basis for IT interoperability recommendations.

'As-Is' Physical Architecture:
Diagramming current IT helps lay groundwork for improvements

OCY Staff - Management

Field Service

Internet

Family/Children

Providers

County Case Workers

Mail, Fax & Telephone

CPCMS/JNET Scheduling System

County Courts

Step x

Manual

Training

Reports

Workflow

Business Services

Point Services and Applications

Children's Services Department

Gateway or Communication Methods

Web

Email

Eligibilities/Verification

Payments

TANF

AFCARS

State Systems and Point Services

ORGANIZATIONAL READINESS ASSESSMENT

THE ORGANIZATIONAL Readiness Assessment is a comprehensive evaluation of the organization's preparedness for change. It also helps measure the organization's maturity level against a wide range of factors critical to planning, implementing and sustaining interoperability initiatives.

SOC's 10 primary InterOptimability drivers (detailed below) are at the core of the Readiness Assessment. Analysis tools include an in-depth survey, interviews, focus groups, document review and best practice comparisons. Findings are supplemented with data from the Business Process and Information Technology Assessments. Results from the Readiness Assessment help establish priorities for interoperability investment and development.

Get to Know the Top 10 InterOptimability Drivers

1. CUSTOMER-CENTRIC FOCUS makes 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 involves planning and providing services in a streamlined, 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 effectivness.

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.

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.

6

Multifunction handhelds allow field workers to connect with clients, supervisors and peers for data sharing and safety

'To-Be' Business Process model

BASED ON THE VISION LANDSCAPE, InterOptimability Roadmap and 'As-Is' Business Process Assessment, the InterOptimability team diagrams the business process changes it envisions in a "to-be" business process model. Later, after conducting a gap analysis, the team identifies more specific changes to improve business processes.

OUR CHALLENGE HERE is to provide a flexible technology solution that can connect disparate legacy systems with diverse technical requirements, data formats and file structures, keeping our strategic goal of consumer-centricity front and center. Relying on the Visual Landscape, InterOptimability Roadmap and information gathered during our 'As-Is' Information Technology Assessment, we identify an overarching IT solution that enables data sharing and use of commercial, off-the-shelf products. This incorporates an iterative design strategy that starts with simple initiatives and builds functionality as systems mature, providing immediate value as well as steady progress toward long-term interoperability goals. Adoption of a service-oriented architecture is typically recommended to maximize flexibility and reusability of components — online applications and intake forms, for instance — across organizations, and helps ensure rapid, cost-effective adaptation to new and evolving requirements over time.

Technology Trends

Category	Present (2009)	Future (2011+)	Category	Present (2009)	Future (2011+)
Architecture	Client Server–Fat Client	HTML Web–Thin Client	Systems Training	Classroom Training	Self Directed (Video/Web)
Architecture	Integration of Silos/Data Sharing	Enterprise Architecture–Service Oriented Architecture/Data	Performance Management	Process-Based/Measured Performance Mgmt (Reactive)	Outcomes-Based Performance Management (Proactive)
System Orientation	Compliance and Practice	Integration Service Delivery	Case Management	Paper/Electronic Case Record	Unified Family Case Record
Funding	Funding Match	ROI/SROI–Outcomes	Implementation	Phased	Continuous Update
Information Management	Standardized Reporting and Dashboards	Expert Technology Systems (Analytics)	Software	Proprietary & Open Standards	Open Standards Services
Data Sharing	State-Developed Data Stores	Standardized Data Store/Data Dictionary	Development Process	Transfer	Commercial Off The Shelf
Information Access	Field Access	Remote Access	Development Process	Top Heavy	Bottom Up/Top Down

8

Gap Analysis

PERFORMING A GAP analysis lets us compare the organization's current state, captured in the "as-is" assessments, with its future state, portrayed in the Vision Landscape, InterOptimability Roadmap and "to-be" business process and IT architecture steps. This gap analysis yields rich, detailed information about organizational strengths and development areas related to each of the 10 key InterOptimability drivers. Based on this data, we develop an overall solution, recommendations and action plans to achieve Interoperability.

Synthesize learning, Develop Recommendations and Action Plans

9

BY INTEGRATING AND SYNTHESIZING findings from the visioning process, readiness assessment, business process and information technology evaluations and gap analysis, we develop a set of recommendations for achieving interoperability. This document describes the overall solution design conceptually, functionally, logically and physically. It also describes how the suggested solution meets the organization's business needs in addition to its clients' needs, and provides options with related information, including return on investment, business case and risk analyses. The overall solution and technology framework are designed to support a customer-centric, family-focused and technology-enabled model for all agencies and departments across the organization. Detailed action plans are constructed to match the organization's timeframe and funding.

Human Services 2.0 InterOptimability is an evolving concept and process. SOC will continue to incorporate improvements over time as we learn more from our work with colleagues and systems across the country. Please join us on this exciting and transformative journey.

STEWARDS OF CHANGE™ facilitates cross-sector learning, catalyzes innovation, and is building a national vision for a connected health, education and human services system. We focus on creating sustainable improvements that transform systems of care by integrating entrepreneurial solutions from the public, private and nonprofit sectors. Stewards' "Human Services 2.0 InterOptimability" is both a concept and process of organizational change that includes operational models to assess, design and build interoperable solutions. We act as thought leaders, trusted advisors, professional conveners and marketing and communications experts. We approach our work as social entrepreneurs and are structured as a business with a social mission.

Human Services 2.0™
Actualizing Customer Centric Care

STEWARDS OF CHANGE™
THE BUSINESS OF PUBLIC BENEFIT™

InterOptimability™
Connecting Systems & Optimizing Outcomes