

# HS2.0: Getting Started on the Road to Interoperability

Achieve  
your change  
management  
and information-  
sharing goals  
with the HS2.0  
Methodology



# HS2.0: Getting Started on the Road to Interoperability

## Executive Summary

**T**HIS ARTICLE WILL PROVIDE A DEEPER UNDERSTANDING of SOC’s HS2.0 Theory of Change and Symposium facilitation methodology to help you get started in your thinking, planning and preparation for implementing interoperability. Our Symposium process and approach we believe can support your organization’s overall journey toward information sharing and interoperability to enhance client-outcomes and operational effectiveness.

“HS2.0: Getting Started on the Road to Interoperability” complements our HS2.0 InterOptimability Handbook, which serves as a compact guide describing the nine-step interoperability process. It is also a companion to “Human Services 2.0: A Framework for Interoperability,” “Human Services 2.0 – InterOptimability: A Results-Driven Process Tailored to Your Team,” “Vision Mapping: Drawing Your Roadmap to an Interoperable Future,” and other related content at [www.stewardsofchange.com](http://www.stewardsofchange.com).

Call or email us (631-385-9246 or [info@stewardsofchange.com](mailto:info@stewardsofchange.com)) to learn more on how we can help you achieve interoperability now!



Click on the link to the HS2.0 intro video at <http://www.stewardsofchange.com/how-we-do-it/pages/human-services-2.aspx>

**S**TEWARDS OF CHANGE CONSULTING™ has long supported the creation of a connected national health and human services system, integrating entrepreneurial solutions from the public, private and nonprofit sectors to make sustainable, innovative improvements that transform systems of care. Stewards of Change serves as thought leaders, trusted advisors, professional conveners, and marketing and communications experts.

We have been immersed in the interoperability field for nearly a decade, partnering productively with the leading organizations and change agents at the national, state and local levels. We were the first external technical assistance agency with interoperability as our mission, and it remains our exclusive focus.

Our methodology, described here, was first tested at our first national Symposium at the Yale School of Management in 2005, and its design and

content has been continually enhanced by the participation of more than 1,000 senior leaders in conferences, seminars and workshops as part of a continuous quality improvement process.

SOC is distinctive in having partnered closely with the academic sector as well, including administrators and professors at Johns Hopkins University, the University of Pennsylvania and the Yale School of Management. This has allowed us to tap into the latest expertise on cognitive learning theory far beyond most generic conference facilitators’ understanding. It has allowed us to promote working environments in which senior leaders meeting together, often for the first time, experience the camaraderie and collegiality necessary to discuss problems and solutions engagingly and insightfully.

In 2009 SOC was invited to submit a proposal to the Administration for Children and Families, U.S. Department of Health and Human Services to support an agency-wide interoperability

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initiative. We won the bid and recently concluded three years of work with the agency on a variety of internal and external initiatives, many relying on the models, tools and approaches described here.

Our work is guided by the Human Services 2.0™ Theory of Change, which encompasses both a conceptual model and a practical approach to achieving interoperability for health and human service agencies. HS2.0 focuses not just on discovery but also on implementation – helping participants in symposia and workgroups reach a tightly defined set of actionable “next steps” and equipping them with the tools to implement sustainable change within and across organizations.

Graphics facilitation has long been an integral component of our process. We have invested heavily in graphic illustration as a tool to facilitate learning at our conferences sessions and workshops. We also draw on graphic illustration and iconography in our consulting and training sessions, so that participants can better integrate their input and visualize it in the context of their organizational processes and goals.

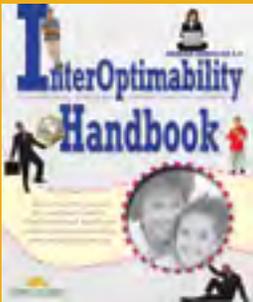
Below, you’ll discover more in-depth information about SOC’s methodology and its potential to help you get your organization started on the road to interoperability.

## Preparing for Interoperability

THE STEWARDS OF CHANGE SYMPOSIUM methodology is part of a comprehensive process designed to guide organizations pursuing interoperability. It is based on our well-established Theory of Change and a comprehensive nine-step process model. This work began in 2005 and has evolved since then, based on research conducted with early innovators of interoperability at the county level, including the respective Departments of Health and Human Services in Allegheny County, Pennsylvania; Montgomery County, Maryland; Montgomery County, Pennsylvania; Nassau County, New York; Mecklenburg County, North Carolina; and San Diego County, California.

Working with these counties, Stewards of Change identified a common set of “Change Drivers,” which reflect the core competencies that undergird successful implementation of interoperability initiatives. We documented key findings, common processes and operational models, and conducted extensive additional research on the ten drivers we had identified (**see sidebar below**).

We have tested the validity of these drivers and the process overall in national and regional Symposia and in our consulting practice over the past eight years. Our findings contributed to the



Download SOC’s interoperability handbook at [http://www.stewardsofchange.com/consulting/documents/InterOptimability\\_Handbook\\_Final.pdf](http://www.stewardsofchange.com/consulting/documents/InterOptimability_Handbook_Final.pdf)

## The 10 Change Drivers

1. Consumer-Centric Focus
2. Bridging Service Silos
3. Building Open and Inclusive Processes
4. Confidentiality and Privacy Information Management
5. Data and Performance Measurement Systems
6. Public and Political Will
7. Funding and Resources
8. Workforce, Workflow and Training
9. Leadership and Governance
10. Technology Framework

You can find more detailed descriptions of each Change Driver in the HS2.0 InterOptimability Handbook at [http://www.stewardsofchange.com/consulting/documents/InterOptimability\\_Handbook\\_Final.pdf](http://www.stewardsofchange.com/consulting/documents/InterOptimability_Handbook_Final.pdf).

### 2. BRIDGING SERVICE SILOS

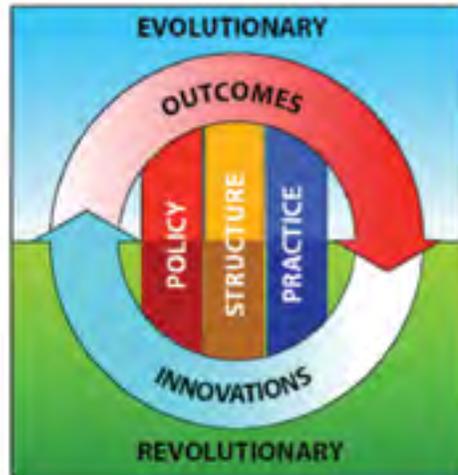


Involves planning and providing services in a streamlined, coordinated way across multiple programs. It addresses the organization’s ability to work holistically and collaboratively across programs, increasing data portability and securely linking people, information and services to maximize efficiency and effectiveness.

SAMPLE DRIVER

development of SOC's Theory of Change and a standardized process for guiding interoperability initiatives.

Human Services 2.0 is a Theory of Change to guide the design, development and implementation of complex interoperability initiatives. It is a conceptual architecture for organizations to use to guide their progress along their interoperability journey.



THEORY OF CHANGE OVERVIEW

This model provides a structure for rethinking the field's overall business model in response to the enormous transformations and opportunities afforded by interoperability. It defines change along three continua: Policy, Structure and Practice, each with an impact on the overall purpose, rate and impact of change in any organization:

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

InterOptimability™ describes a nine-step process to design, plan, build, assess and refine interoperability initiatives in large and complex organizations. It includes a common language describing the ten competency domains represented by the Change Drivers. It includes qualitative and quantitative methods for assessing, measuring and base lining organizational change readiness, a Maturity Matrix that includes a five-level rubric for defining organizational maturity for each of the

ten drivers, and a quadrant analysis matrix for assessing overall organizational readiness. It also includes a graphic illustration process and an iconographic language that helps “make thinking visual” and is used for creating and communicating detailed Vision Landscapes and actionable roadmaps. (You can find more details about our Vision Landscapes in the InterOptimability Handbook at [http://www.stewardsofchange.com/consulting/documents/InterOptimability\\_Handbook\\_Final.pdf](http://www.stewardsofchange.com/consulting/documents/InterOptimability_Handbook_Final.pdf) and in “Vision Mapping: Drawing Your Roadmap to an Interoperable Future” at <http://www.stewardsofchange.com/how-we-do-it/pages/vision-mapping.aspx>.)

Design and implementation of our symposia and training sessions draw heavily upon the Theory of Change, assessments tools, models and approaches to guide participants toward achieving their specific objectives and outcomes.

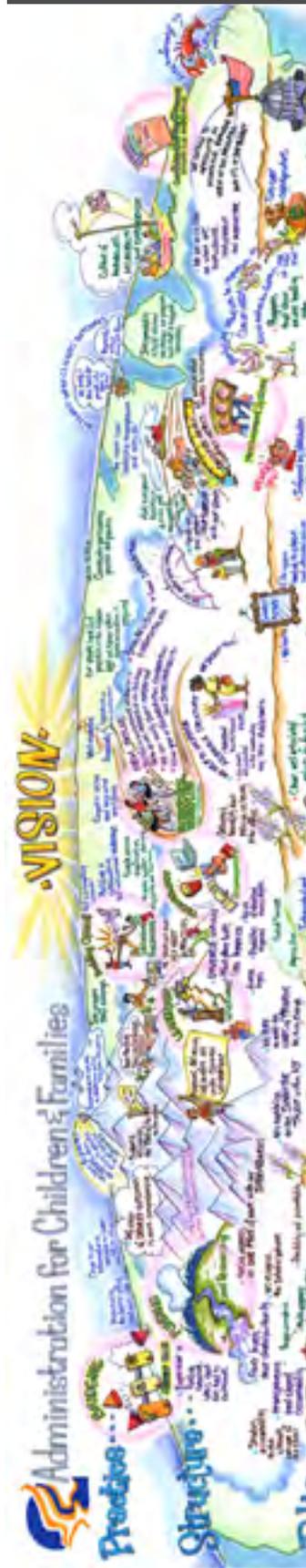
### The SOC Symposium Design Approach

OUR SYMPOSIUM PROCESS AND GROUP engagement technology are based on state-of-the-art findings from SOC's Theory of Change and the cognitive learning disciplines, including the latest research from organizational effectiveness and adult learning theory. This methodology is designed to actively engage all participants in discussion, ideation, creation and synthesis activities to maximize comprehension and to enhance participants' ability to serve as change agents in their respective organizations. These tools and methods have been deployed successfully in Symposia SOC has conducted across the country over the past eight years.

Specific programs and agendas vary depending on the goals of the event and the sponsoring client. They have included a broad range of stimulating thought leadership seminars, conferences, and workshops that inspire innovation and generate creative solutions, team-building and community-solidifying collaborations, evaluation and prioritizing of programmatic options, and creation of visionary roadmaps and operational plans. The Symposium can be used as a standalone process by leadership to establish an organizational vision and/or operational roadmap. More often it is embedded into the organization's larger change efforts associated with enhancing information



For info about SOC's national, state and regional conferences, go to <http://www.stewardsofchange.com/what-we-do/pages/conferences.aspx>



AN ORIGINAL VISION MAP  
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sharing, horizontal integration and interoperability across multiple health and human agencies, departments and programs.

## ASSESS AND PREPARE

**Situation Analysis:** SOC performs literature research, environmental scans and customized primary research in advance of each engagement to gather the newest data and provide valuable insights about industry developments, technology capabilities, best practices and emerging trends within the field and/or jurisdiction. These activities are essential for gaining a firm grasp on the current environmental factors, including organizational readiness, interoperability maturity, and other influencing trends. This scan is also critical for assessing the current level of stakeholder engagement, resistance to change, strengths and challenges associated with new data systems and technology, degree of “siloe” operations, as well as leadership challenges and competing priorities among stakeholders. Technical assessments also include a review of national models, such as the National Human Services Interoperability Architecture (NHSIA), National Information Exchange Model (NIEM) for Human Services and Medicaid Information Technology Architecture (MITA).

This foundational analysis informs the design and structure of each Symposium to ensure that the convening is appropriately aligned with the participants’ goals, readiness and level of expertise. We document the results for subsequent training and dissemination to Symposium participants and others using a variety of approaches, including presentations, videos, written reports, graphic summaries and synthesized summary documents. When appropriate, we also create discussion forums, host webinars and publish papers. We develop customized web sites to make materials available to participants prior to the events, to jump-start the activities and make the most efficient use of attendees’ time during and after the conference.

## BUILD A FOUNDATION, DEVELOP A ROADMAP

**Orientation:** The Symposium facilitation process starts with an orientation to a common vocabulary and to the HS2.0 conceptual model, so that all participants understand and can communicate with

each other effectively. Here, we introduce our Theory of Change, which encompasses the policy, structure and practice continua, and the ten Change Drivers, incorporating written and iconic/visual descriptions, to create a common vocabulary. We also bring to this orientation the results of our situation analysis, including relevant concepts and findings from business, technology, government, market trends and best practice case studies that are the underpinnings of interoperability.

**Symposium Activities:** SOC uses a variety of techniques at its events to stimulate thinking, gather data, synthesize ideas, encourage communication, build group identity, present meaningful results and provide detailed recommendations. Some of the most common techniques we use to inform, invigorate and empower Symposium participants include:

- » interactive group exercises to explore, analyze and synthesize presentation materials that are designed to increase retention and integration
- » Carefully selected lectures by subject matter experts (limited to a maximum of 50% of formal Symposium time)
- » Small and large group dialogue, discussion, ideation and distillation processes, and
- » Synthesis approaches to capture learning and ideas as accurately with as much detail and nuance as possible.

**Visual Learning:** We use video, written documentation as well as graphic illustration and mapping to address participants’ various learning styles. Graphic mapping is particularly useful when it comes to technology solutions, given the daunting challenges most nontechnical people, even senior management, face when attempting to understand the many inevitably highly technical and complex legal issues – chief among them confidentiality – that are central to any interoperability initiative. Graphics also provide a visual roadmap and artifacts that can be used to disseminate learning and train staff who aren’t able to attend the conference.

The Vision Landscape at left (18 feet long in actuality) represents the collective input, distillation and refinement of 65 participants over a two-day session at our 2007 national conference. (You can explore more Vision Maps at

<http://www.stewardsofchange.com/how-we-do-it/pages/vision-mapping.aspx>.)

**Discussion Architecture:** Most people learn best when they personally engage in dialogue and discussions directly. SOC has pioneered a number of innovative techniques that have proven exceptionally useful for encouraging participant communication and promoting group identity and collaboration while facilitating meaningful and detailed results. Four of these techniques are described below:

- » **PEER INTERVIEW AND DIALOGUE:** We use a highly engaging and structured interview process whereby participants break into groups to explore with another colleague several carefully crafted questions designed to elicit thoughtful responses about pertinent topics. The responses are then synthesized by the participants in caucus-style discussion groups to ensure that the emerging data represents the variety of opinions of the participants who answered each question. The result is rich, highly nuanced content that informs ongoing discussions and future decisions regarding interoperability.
- » **EXPLORATION CAFES:** This is an iterative discussion approach that engages participants in reviewing and refining learning about a series of subjects – often based on the ten Change Drivers, for example – in a concise manner. By implementing several rounds of discussion, we ensure that data is gathered on a relatively large number of topics in a short period of time. Each participant is invited to contribute thoughts on two to four topics. We then review and synthesize all the input on each topic and make it immediately available for further discussion, refinement and assessment.
- » **PROJECTIVE EXERCISES:** Using a variety of highly engaging, often theatre-based techniques, participants engage in defining and describing the desired future state of an interoperability project, initiative or program. Using creative interactive and projective approaches helps suspend cynicism, skepticism and the limits of individual or agency missions (“silo thinking”) to allow for new possibilities. The goal of these exercises is for participants to

stretch their imaginations beyond their usual institutional constructs to consider and create new options and possibilities.

- » **CLIENT-CENTERED SIMULATIONS:** Using a carefully crafted set of case studies participants are guided through a multi-step simulation where they are asked to consider various scenarios from the client or users perspective. A typical exercise we use, In Their Shoes, puts a participant and other team members into a scenario where they experience service delivery challenges of a particular program from the client’s viewpoint. The exercises are constructed in a manner to simulate the barriers, challenges, frustrations, needs, and wants of a client. They help participants experience and articulate their responses and reactions (emotional and intellectual) about reality-based situations. These simulations help initiate productive group processing, grounds the work in practical terms, and helps create an understanding and empathy among Symposium participants. It can be adapted and customized to a large number of scenarios and situations.

**Defining the ‘As Is’ and ‘To Be’ Environment.**

We use the HS2.0 Theory of Change model and assorted tools and assessments (including the Change Drivers) as the basis for gathering data, researching, facilitating discussions, and articulating the current (“As Is”) environment for the entity (typically a city, county, state or federal agency). We then use the output to assemble a readiness assessment which provides qualitative and quantitative measures for each of the key competencies articulated by the Change Drivers e.g. consumer-centric focus, leadership and governance, and so on. This provides a baseline for understanding current competencies and also for measuring and comparing change over time.

The visionary future (“To Be”) exercise that follows is crucial. We use it to define, early in the planning process, the desired future of the client organization to establish a common vision for that organization’s future. We then compare the “To Be” findings with the “As Is” state. This enables us to perform a gap analysis to identify organizational readiness for interoperability and areas that need further improvement to reach the desired future state.



The method is being implemented in CA to develop an interoperability plan for the state.

Call or email us  
(631-385-9246 or [info@stewardsofchange.com](mailto:info@stewardsofchange.com)) to learn more  
on how we can  
help you achieve  
interoperability now!

### MONITOR AND REFINE

Unlike conference-based strategies that only facilitate high-level professional networking and “consciousness-raising” about interoperability challenges but fall short of an organization’s real-world change goals, our methodology is designed from beginning to end to equip participants with the plans, tools and vocabulary they need to be informed agents of change in their own agencies and in the system overall.

The Vision Landscape and Change Roadmaps produced during sessions articulate core principles, actionable steps and intended outcomes that are essential for tracking results, accomplishments and progress. This information can be used to create detailed project plans that can be used to track and manage the planning and implementation process. The quantitative baseline assessments are used to build organizational capacity through targeted training programs, and serve as a means to measure change and make course corrections over the life of the project.

The graphically illustrated Landscape and Roadmaps provide powerful visual reminders to maintain post-conference awareness and attention to agreed upon next steps. These artifacts contribute to a collective understanding and a sense of ownership which translates to having real impact on achieving system interoperability within and across agencies and jurisdictions.

Symposia sessions can be videotaped for future study and dissemination. Videos, graphic illustrations, Vision Landscapes and Change Roadmaps

are made available to participants to take back to their respective organizations to disseminate findings and take action steps to realize recommendations across entire enterprises.

### SOC’S VALUE-ADDED PROPOSITION

SOC’s Symposia and other customized events are designed to deliver actionable outcomes and immediate return on total investment of time and resources dedicated to convening senior leaders. As noted, the specific program and agenda may vary depending on the goals of the sponsoring client. All events are designed to incorporate a learning component, convey a common vocabulary and create teaching materials that are immediately available for participants to use in subsequent training or for dissemination purposes. We leverage state-of-the-art learning technologies, adult learning theory, group dynamics and highly engaging interactive sessions to maximize time invested by working together. When applicable, we use our knowledge repository to educate, create a common understanding and drive thought leadership.

As you prepare to embark on your interoperability journey, we encourage you to read through the HS2.0 InterOptimability Handbook, a compact guide designed to articulate each of the nine steps along the way.

And feel free to contact us (call 631-385-9246 or email [info@stewardsofchange.com](mailto:info@stewardsofchange.com)) for more on how to get your organization started on the road to interoperability.

# APPENDIX

## SOC Symposia at a Glance

**S**INCE 2005 STEWARDS OF CHANGE has hosted more than 1,000 senior leaders from across the country at eight national Symposia and has planned and implemented six other major conferences focused on interoperability planning and implementation with federal, state and county organizations. These conferences have allowed service sector and industry leaders to participate in strategic planning, teaching and learning with an elite class of talented colleagues, all with different backgrounds and perspectives. The table below summarizes our qualifying Symposium experience:

Go to <http://www.stewardsofchange.com/what-we-do/pages/conferences.aspx> for more information about the SOC Symposia

Type	Title	Date	Location	Number of Attendees
National	Advancing Health and Human Service Interoperability Amid the Challenges and Opportunities of Healthcare Reform	2012	Johns Hopkins University, Baltimore, MD	110
National	Linking Systems to Sustain Interoperability in Challenging Times	2011	Yale School of Management, New Haven, CT	105
National	Building an Interoperability Continuum of Care	2010	Yale School of Management	98
National	InterOptimability: From Theory to Practice	2009	Yale School of Management	105
National	Human Services 2.0; Preparing for the 21st Century Technology Revolution	2007	Yale School of Management	92
National	Building a New Child Welfare Business Model	2006	Yale School of Management	85
National	Entrepreneurial Solutions to Child Welfare Challenges	2005	Yale School of Management	68
California	Advancing Information Sharing Across California to Improve Outcomes for Children Served by the Child Welfare System & the Courts Symposium'	2011	The Administrative Office of the Courts, Sacramento, CA	110
National	Addressing the Myth and Reality of Confidentiality and Privacy in Cross System Information Sharing	2009	University of Pennsylvania School of Social Policy & Law School, Philadelphia, PA	67
Federal Agency	Brainstorming, Action Planning and Training Session: Advancing ACF's Leadership Role Linking Human Services and Affordable Care Act	2011	Administration for Children and Families/HHS, Washington, DC	68
Federal Agency	Administration For Children and Families - National Visioning and Roadmap Conference	2009	Administration for Children and Families/HHS, Washington, DC	55
Regional	Regional County Consortium Convening #1	2009	Montgomery County, Maryland	38
Regional	Regional County Consortium Convening #2	2009	Montgomery County, Pennsylvania	40

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