



INTEROPERABILITY

2011 National Child Welfare Evaluation Summit

Washington D.C.
 August 30, 2011
 9:00 AM – 10:30 AM
 Session 4

David Jenkins
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 Ron Ozga



ACF Interoperability Human Services 2.0 Overview

August 2011
 David Jenkins
 Administration for Children and Families



Interoperability For ACF

“If we seize this opportunity, we can move to an approach that is fundamentally collaborative, technologically enabled, and absolutely focused on the children, families and communities we serve.”

Acting Assistant Secretary David Hansell





Interoperability: An Operational Definition

- Creating a Health and Human Service System in which services are planned, coordinated, delivered, monitored, and evaluated in an integrated, efficient manner, maximizing positive outcomes for children, families, and communities.
- Technology now allows new systems and approaches to connect across conventional barriers and silos.



ACF Strategic Initiatives - Interoperability

- Build Interoperability Capacity within ACF
 - Create a Long-term **'To Be' Vision and Roadmap**
 - Build Repository of Interoperability Practices and Activities
 - Develop Interoperability Plans for Every Program and Service Office
- Develop National Human Services Interoperability Architecture (NHSIA) and Pilots
- Establish and Provide Leadership for the Human Services Domain for National Information Exchange Model (NIEM)
- Initiate Programs and Build Toolkit to Support Linkages between Human Services and Health/ACA initiatives



Opportunities for Interoperability

- Affordable Care Act – Requirements for Health Insurance Exchange by 2013
- Federal Agency Collaboration
- National Human Services Information Architecture
- Human Services Domain for NIEM – (National Information Exchange Model)
- Confidentiality Guidance



Communications and Resources

- ACA 1561 Recommendations - Health and Human Services Linkages
- Executive Order 13563 – Administrative simplification
- **Joint Letters – ACF, CMS, CCIIO, USDA (FNS)**
- Enhanced Funding: 7 Conditions and Standards to receive 90% match
- NHSIA
- NIEM
- Confidentiality Guidance
- A-87 Cost Allocation Exception



YOUR ESSENTIAL
**INTEROPERABILITY
TOOLKIT**
An ACF/HHS Resource Guide

State human services agencies have an unprecedented opportunity to connect with their health counterparts to maximize Affordable Care Act benefits. Use this unique compendium of interoperability policy, funding and technology documents to:

- ▶ *Improve outcomes for your clients*
- ▶ *Enhance your agency's operational efficiency*
- ▶ *Save money, lower costs and reduce improper payments*

MAKE THE MOST OF THESE MATERIALS NOW...
AND WATCH FOR FUTURE UPDATES!

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CMS Enhanced funding for Eligibility: 7 Conditions and Standards

1. Modularity Standard – Use of a modular flexible approach to systems development.
2. MITA Condition – Align to and advance increasing MITA maturity.
3. Industry Standards Condition – Align and incorporate industry standards (including HIPAA).
4. Leverage Condition – Promote sharing, leverage and reuse of Medicaid technologies.
5. Business Results Condition – Systems support results (i.e. timely processing of claims).
6. Reporting Condition – Solutions produce data that contribute to program evaluation, improvement, and accountability.
7. INTEROPERABILITY CONDITION →→→→→→→→→→



7. Interoperability Condition

- Systems must ensure seamless coordination and integration with the Exchange, and allow interoperability with HIX, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services.
- ...**“CMS expects a key outcome of the government’s technology investments will be a much higher degree of interaction and interoperability...”**



National Human Services Interoperability Architecture NHSIA Project Objectives

Challenge – Develop a national architecture to enable information exchange across currently siloed federal, state, local and private human service information systems.

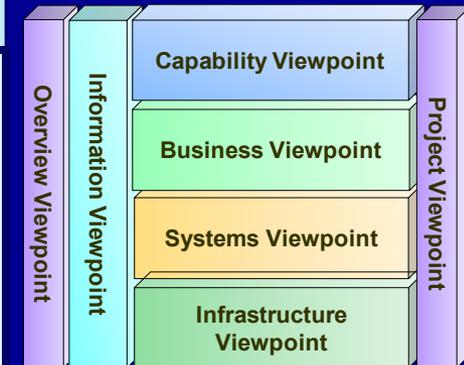
Project Tasks

1. Analyze existing human service programs and IT architecture
2. Define required capabilities to share information
3. Define a to-be architecture in migrating to interoperable systems

Outcome and Desired Impact

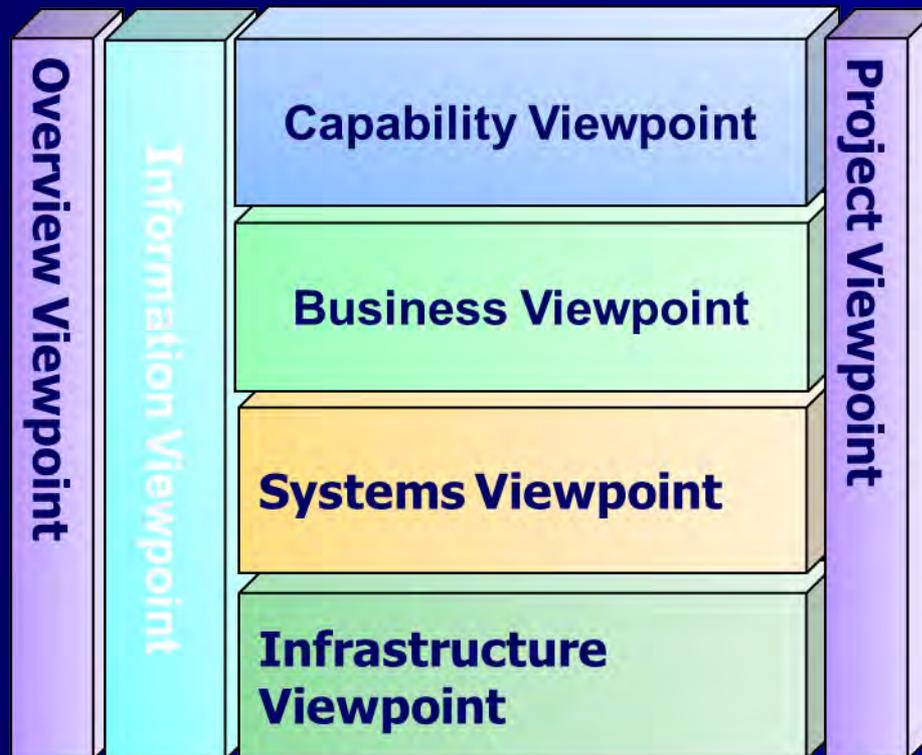
- **Outcome:** A national architecture to guide federal, state, and local governments and private institutions and vendors in improving information sharing across human service programs and systems.
- **Impact:** Improved effectiveness and efficiency in providing human services.

NHSIA: National
Human Services
Interoperability Architecture





NHSIA - Architecture Framework



NHSIA will be described from multiple viewpoints. Each viewpoint serves a different purpose and is useful to different stakeholders.



Overview Viewpoint Artifact:

NHSIA Key Concepts – Requirements

- Enable, encourage, and reward information sharing and portability.
- Develop a consumer oriented environment (e.g., no wrong door).
- Provide an integrated environment for case workers.
- Leverage Medicaid IT Architecture (MITA) and behavioral health business processes – extend to include human services in general.
- Use APD process to encourage NHSIA-compliance.
- Use a Service-Oriented Architecture (SOA) model to encourage service reuse, flexible applications, and incremental deployment.
- Allow for cloud computing.
- Use of common confidentiality/privacy agreements.
- Use National Information Exchange Model (NIEM) standards as the basis for information exchange.



What is NIEM?

- **The National Information Exchange Model (NIEM) is a Federal, State, Local and Tribal interagency initiative providing a foundation for seamless information exchange. NIEM is a framework to:**
- **Bring stakeholders and Communities of Interest together to identify information sharing requirements in day-to-day operational and emergency situations;**
- **Develop standards, a common lexicon and an on-line repository of information exchange package documents to support information sharing;**
- **Provide technical tools to support development, discovery, dissemination and re-use of exchange documents; and**
- **Provide training, technical assistance and implementation support services for enterprise-wide information exchange.**



NIEM Brief Timeline

- NIEM Launched in 2005 by U.S. Department of Homeland Security and the U.S. Department of Justice.
- In 2011, the U.S. Department of Health and Human Services joined as a full partner.
- HHS Role includes the Stewardship of two Domains:
 - Health @ Office of the National Coordinator (ONC)
 - Human Services @ Administration for Children & Families (ACF)



Scope of Human Services Domain

Education

SNAP

VA

Substance Abuse Programs

Energy Assistance

Mental Health

Homeless

Emergency Financial Assistance

Juvenile Justice

Youth in Transition

Courts

Child Welfare

Elder Services

Child Support

Community Services

Children, Youth and Families Domain

Refugee Assistance

Child Care



Why is NIEM Important to State and Local Human Service Systems?

- Improve services and save lives through improved communication across silos.
- Common language reduces development costs for agencies and vendors—dollars that can be used instead for service provision.

Imagine:

- *Child protective workers receiving educational attendance records in real-time for the children in their caseloads*
- *Sharing information quickly between foster care and supportive housing to secure newly available housing for at-risk families*
- *So much more...*



Practical Solutions to Confidentiality and Privacy

- Share information AND protect confidentiality and privacy rights
- Confidentiality and Privacy can no longer be a roadblock to information sharing
 - STOP Sign, then proceed down the appropriate path
 - Client-centric approach
 - **Defining “need to know” and “minimum necessary” standards**



Toolkit for Information Sharing

- 4Q 2011 availability
- Federal Guidance
- Assistance to understand state and local laws regarding confidentiality and privacy
- **Index of “Best Practices” for sharing of information**
- Models to facilitate information sharing
 - Comprehensive Authorizations/Consent Forms
 - State legislation
 - Court Orders
 - Memorandums of Understanding (MOU)
 - Organizational Design



Interoperability

William E. Travis, Jr.
CIO/IT Deputy Commissioner
New York State Office of Children and Family
Services

August 29, 2011



Why Interoperability?

- Inability of Human Services systems to share information has resulted in less than optimum outcomes for the children and families of New York State
 - Data redundancy
 - Reduced information quality
 - Increased cost of government operations



Business Needs

- Human Services systems see many of the same children and families
 - Duplicate data is maintained in separate systems throughout numerous agencies
- Siloed Human Services Systems
 - Do not share information about a single family which leads to:
 - Increased cost of government operations
 - Multiple data requests
 - More time spent on administrative work
 - Less time spent with family or child in need
 - Reduced quality of data



Business Needs

- NOW, Each agency has its own system for:
 - Gathering data, storing data, reporting data
 - Employees at each agency are doing the same work
- To create efficiency and improve service delivery, we need to answer:
 - How is the data is used?
 - What are the common factors?
 - Where to begin?
 - “If you don’t know where you are going, any road will get you there.” – Lewis Carroll.



NYS Siloed Human Services Systems

- Example
 - Child Protective Report is received in NYS
 - A case is opened in the SACWIS system
 - All prior NYS child welfare cases are available for review
 - Child becomes adjudicated a Juvenile Delinquent and is placed in OCFS care
 - Case remains open in SACWIS system
 - No prior mental health, medical or educational information available to the CPS worker assigned to the case, nor the facility that is providing services to the child
 - Child is court ordered to complete services
 - Lengthy process to complete necessary recommendations due to **unnecessary “wait time” to gather the information**
 - Redundant, duplicate efforts and costs



Siloed Human Services Systems

- All Human Services Agencies have same goal – to serve the children and families
 - No Interoperability causes:
 - Lack of accessible information
 - Multiple information storage systems at various agencies
 - Delay of services
 - High cost of government operations
 - An interoperable system would produce:
 - Increased efficiency
 - Faster delivery of services
 - Holistic view
 - Lower cost of government operations



New York State Siloed Human Services Systems

- Department of Health
 - Medicaid
- Office Children and Family Services
 - child welfare and juvenile justice
- Office of Temporary and Disability Assistance
 - TANF
- Office of Court Administration
 - Part of the judicial branch of government
 - Creates further challenges
- Office of Mental Health
- Office of Substance Abuse Services
- Office of People with Developmental Disabilities
- State Education Department
 - Developing relationship



NYS Experience

- CONNECTIONS is the OCFS SACWIS System
 - Maintains information on child welfare cases within NYS
 - OCFS considers:
 - Older technology – FCP/infrastructure
 - More requirements/federal reporting
 - How can we help the caseworker?
 - Numerous enhancements have been made to the system
 - Goals:
 - Protect children
 - Improve the caseworkers experience
 - ↓ Decrease the amount of time at the computer
 - "Casework, not mouse-work"*
 - ↑ Increase the amount of time with children and families



Government As a Business

- Private organizations achieve operational efficiencies and reduce costs
- Collaborative technologies and technologies that enhance collaboration have the greatest return
- The NY Agenda demands change



NY Agenda

- New Governor, Andrew Cuomo
 - Goals:
 - Eliminate waste, fraud, and abuse
 - Increase Operational efficiency
 - Reduce costs
- Spending And Government Efficiency Commission (SAGE)
 - Tasked to determine where Shared Services can increase efficiency in government



Key Technologies

- Master Data Management
- Entity Analytics
- Identity Management
- Enterprise Content Management
- Business Rules and Process Management
- NIEM is key Architecture



Barriers

- Cultural
- Administrative
- Legal
- Federal
- Operational
- Financial



Solutions to Barriers

- Colorado concept
 - Chief Data Officer (CDO)
 - Government Data Advisory Board (GDAB)
- Allows one entity to manage overcoming barriers
- Objectives
 - Governance, data standards, integration, optimization, and security
 - Enterprise level Master Data Management



Additional Solutions

- Create a Platform for Innovation
 - Creation of applied research laboratory
 - Partner with local University
 - Open Source technologies & standards
 - ▣ Software & hardware components shared, reused, enhanced
 - ▣ Research shows these technologies are of higher quality, have shorter development time/cost, and engages broader community involvement
 - ▣ Creation of new job opportunities & competitive market place



Efficiency in Government

- Consider
 - Opportunities to combine or align programs that address similar populations;
 - Opportunities to combine or align programs that may address different populations but perform similar functions; and
 - Opportunities to eliminate redundancy in collecting, storing, using, or modifying identical or related information.



Data Sharing in Colorado

Breaking Down Data Silos, Creating Interoperable
Information Systems

2011 Child Welfare Evaluation Summit
Washington, D.C.

Ron Ozga
Agency IT Director
Governor's Office of Information Technology
Colorado

August 29, 2011



Topics

- Government Data Advisory Board (GDAB)
- Colorado Data Sharing Initiatives
 - Child Welfare to Judicial
 - Child Support Enforcement to Judicial
 - Colorado Integrated Criminal Justice Information System



Government Data Advisory Board

- Established through statute (HB 09-1285)
 - Specifically to:
 - Provide recommendations and to advise the State Chief Information Officer regarding the ongoing development, maintenance and implementation of the interdepartmental data protocol



Government Data Advisory Board

- Mission
 - To provide guidance and recommendations on how the state should govern and manage data and data management systems to improve the efficiency and effectiveness of state government, citizen service delivery and policy-making
- Vision
 - To foster collaboration, innovation and agility in delivering government services to the citizens of Colorado through the seamless, efficient, strategic exchange of core data sets resulting in increased effectiveness of government operations



Government Data Advisory Board

- Duties
 - Advise on the best practices for sharing and protecting citizen data
 - Review, advise, and provide input into the strategic plan for improving data governance
 - Advise on compliance, privacy and security data requirements
 - Advise on internal and external data policies and procedures
 - Advise on financial and budgetary components required for implementation
 - Specifically recommend education data sharing and management



Government Data Advisory Board

- Guiding principles:
 - Security and Privacy are core missions.
 - Engage the State's highly skilled and dedicated workforce
 - Information is one of our most valuable assets and should be shared
 - Businesses will maintain data sovereignty
 - Our technology should be agile enough to meet the changing needs of agencies and citizens
 - The Board will strive to constantly improve cost effectiveness



Government Data Advisory Board

- Goals

- Develop recommendations for enterprise data sharing, integration and consolidation
- Recommend policies and procedures for managing data and resolving conflicts
- Identify areas to reduce operational costs and complexity
- Provide recommendation to improve data privacy, regulatory compliance and access management
- Identify change management opportunities (service delivery, process improvement, organizational re-alignment)



Government Data Advisory Board

- Subcommittee
 - Privacy
 - Make recommendations to the Government Data Advisory Board (GDAB) on policies and procedures relating to privacy and confidentiality of data in data sharing
 - Strong privacy and confidentiality policies and compliance are key enablers of information sharing



Government Data Advisory Board

- Privacy and Confidentiality
 - Proposed Data Privacy Policy
 - Adhere to applicable federal, state, local and tribal laws
 - Establish Data Sharing Agreements
 - Specific sections:
 - Privacy and confidentiality of data
 - Use of data
 - Access to data
 - Release of data
 - Entity Data Privacy Checklist
 - Data Privacy Checklist



Colorado Data Sharing Initiatives

- Child Welfare to Judicial
- Child Support Enforcement to Judicial
- Colorado Integrated Criminal Justice Information System (CICJIS)



Child Welfare to Judicial

- Approach
 - Service oriented architecture
 - Web services technology
 - Integration of the incoming data into existing application with a minimal change of business rules
 - Storage of data transfers into staging tables before processing



Child Welfare to Judicial

- Approach
 - Used XML/SOAP Standards for XML schemas and SOAP messages
 - Integration of the incoming data into existing application with a minimal change of business rules
 - Online and batch transaction processing by storing incoming and outgoing data into staging area before processing data transfers



Child Welfare to Judicial

- Results
 - Implemented statewide June 2007
 - Less paperwork
 - Eliminated redundant data entry
 - Reduced research time
 - Reduced calls to staff
 - Performance based measures
 - Outcome based management reports
 - Eliminated divergent local databases
 - Improved the quality of data



Child Support Enforcement to Judicial

- Approach
 - Service oriented architecture
 - Using NIEM
 - Human Services Domain
 - Office of Child Support Enforcement data model
 - Information Exchange Package Documentation (IEPD)
 - Schema generation tool
 - Added data elements



Child Support Enforcement to Judicial

- Benefits of NIEM
 - NIEM is a catalyst for increasing intra and inter agency data sharing
 - Reduced costs by sharing schemas and IEPDs
 - Improved data quality
 - Improved workflow



Child Support Enforcement to Judicial

- Results
 - Implemented statewide December 2009
 - Quicker delivery of child support payments
 - Establishment to Enforcement within one week
 - Significant cost savings
 - 50% reduction in time to establish cases
 - Elimination of manual copying of documents
 - Elimination of need to verify receipt of documents
 - Increased accuracy of data
 - 80% reduction in number of cases returned due to errors



Child Support Enforcement to Judicial

- Results

- Improved workflow efficiency

- 90 seconds to:

- Send a filing

- Receive it back with docket and FSR number

- Meeting compliance timeframes

- Stipulations: Pre-DISH – 72%, Post-DISH – 96%

- Temporary Orders: Pre-DISH – 57%, Post-DISH – 93%

- Default Orders: Pre-DISH – 33%, Post-DISH – 55%



Colorado Integrated Criminal Justice Information System (CICJIS)

2009 “Best of NIEM” Honoree



CICJIS

- Approach
 - Implement a business process management server that:
 - Supports orchestration workflow design
 - Supports Service Oriented Architecture (SOA)
 - Supports Web Services Security (WS-Security) specification
 - Supports NIEM 2.0
 - Guarantees message delivery aligned with Global JRA



CICJIS

- Agency Integration Web Services Requirements
 - Accept incoming transfers/queries in NIEM
 - Send outgoing transfers/queries in NIEM
 - Implement WS-Security for encryption
 - Assist with development of NIEM IEPDs



CICJIS

- Using NIEM
 - Scheduled NIEM Practical Implementer's Training Course
 - Developed two IEPDs
 - Utilized existing NIEM domains
 - Utilized schema generation tool



CICJIS

- Results
 - SOA solution deployed in production in June 2009
 - Data contained in a NIEM conformant IEPD
 - Data encrypted using the WS-Security specification
 - Developed and uploaded 20 IEPDs to the NIEM Clearinghouse
 - Response time of transfers and queries reduced by 50%



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